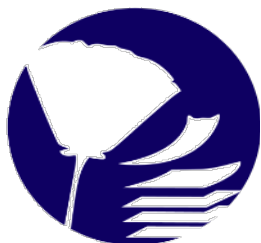


Transferring Paper Records to the California State Archives



**State Records Appraisal Program
California State Archives
1020 O Street, Sacramento CA
SRAP@sos.ca.gov**

Background

The California State Archives was established with the passage of the state's first law in 1850. This law directed the Secretary of State to classify, safely keep, and preserve the state's historic records, including "all public records, registers, maps, papers, rolls, documents, and other writings.". Since that time, the State Archives has accumulated a trove of records that document the state's history. The State Archives continues to receive these valuable records from all branches of state government.

This guide has been put together to assist state agencies with identifying and transferring **paper-based** records to the State Archives. A similar guide is available for transferring electronic records.

Identifying Records for Transfer

Within the State Archives, the State Records Appraisal Program (SRAP) identifies records created by state agencies and departments that have enduring historical value. These identified records must be transferred to the State Archives at the end of their usefulness for a state agency.

As part of the approval process for records retention schedules, the SRAP archivist will review the schedule to determine what records series might have historic value. These series are designated on the retention schedule with a "NOTIFY ARCHIVES" flag, as shown below.

ITEM # (37)	CUBIC FEET* (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	OFFICE
						(43)
8	59	NOTIFY ARCHIVES	Committees, Advisory, and Review Records Contains: Public Hearing Documents, Plans & Goals, Conferences, and Related Correspondence	P		Active

Contacting the SRAP Team

When a record series flagged as "Notify Archives" reaches the end of its retention period, the records **cannot** be destroyed. Agency staff must contact their appointed SRAP Archivists to discuss transfer of the records to the State Archives.

Do not send records to the State Archives without first discussing the transfer with a SRAP Archivist.

SRAP Archivists will collect additional information about these records to determine if they will need to be sent to the Archives. The “Notify Archives” is a designation made by the archivists during the approval process but should not be seen as a final decision about the historic value of the records. After gathering additional information from the agency, SRAP Archivists may determine that records do not require transfer to the State Archives.

Confirming Appropriateness of Transfer

To determine if the record series should be sent to the State Archives, the archivist evaluates the series based on several criteria, including: if the series (or similar record series) have previously been transferred to Archives; the retention schedule and record series information; information about how the records were used and who used them; volume of the records to transfer; restricted or exempted material within the records; and whether the records are paper or electronic. In order to further appraise the records, the SRAP archivist may need to speak to a records custodian knowledgeable about the records' function and content or even require an on-site visit.

For records with archival value, the SRAP archivist will work with the agency to have those records transferred to the State Archives. If the records are determined to not have further value, those records may be disposed of immediately.

Completing the Transfer Form

For all records requiring transfer to the to the State Archives, the agency must complete and submit the CSA-TL-01 Paper (Records Transfer Agreement) prior to sending any records to the State Archives.

The State Archives will not accept records transferred with the STD.71 (Records Transfer List), which is used for sending records to the State Records Center.

State Archives Records Transfer Agreement (CSA-TL-01)

The State Archives Records Transfer Agreement (**CSA-TL-01**) includes information about the transferring agency, record series, and restrictions or exemptions identified within the transfer. This form is for records to be transferred directly to the State Archives.

Government Code section 12274 states that when records are transferred to the State Archives the state agency must notify the State Archives if the records contain sensitive or confidential information that is protected from public disclosure pursuant to the Public Records Act, the Information Practices Act, or other federal or state law.

This information will allow the State Archives to properly store, manage, and provide public access to the records once they are received. The form is used to identify potentially restricted or exempt from disclosure material, what legal codes establish those restrictions, and how to identify the restricted/exempted records. It also includes a Terms of Agreement outlining the change of ownership of the records and that not all records transferred may be permanently retained. Additionally, the Records Transfer Agreement includes a folder list for electronic records which must be completed prior to transfer. Archives staff **will not** accept records without a folder list.

Packing the Records

Once records are confirmed for transfer,

- Place records into standard cubic foot or records storage boxes and number the boxes to match the Records Transfer Agreement (CSA-TL-01 Paper).
- Pack file folders in an upright position so that they are not slumping.
- Pack the files using the same arrangement that was used to create and maintain the record series. Do not create a new filing system.
- Avoid packing records in re-purposed boxes that are used for holding reams of papers (paper boxes).
- Avoid over-packing boxes.
- Place records in folders when possible. There should be no loose or free papers. Do not send files in hanging file folders. Do not use rubber bands to hold records together.
- Clearly label the outside of each box with the Box Number and the name of the Department or Agency.
- Remove files from binders and place in folders.
- Remove duplicate materials from files prior to transfer.
- Place a copy of the Records Transfer Agreement (CSA-TL-01 Paper) form in Box 1 of the transfer. Do not tape or otherwise fasten the form to the box or lid.

Scheduling a Delivery

The delivery of the records to the State Archives is the responsibility of the transferring agency. It is the agency's responsibility to determine how the records will be sent. The department may deliver the boxes directly, have them delivered by Interagency Mail Service (IMS), or ship boxes by private delivery company. The transferring agency should work with the SRAP archivists to coordinate the best method as well as date when the records will be delivered.

The SRAP Archivist will provide instructions on where to deliver the records. **Do not deliver records to the State Archives until you have coordinated with a SRAP archivist.**

Ownership of and Access to the Records

The State Archives assumes the legal and physical control of records after transfer from the state agency. Unlike the State Records Center, *the State Archives does not return records to state agencies.*

Access to records you have transferred can be done through the Archives Reference Desk (contact: 916-653-2246; archivesweb@sos.ca.gov).

Transferring Records Stored at the State Records Center

On a quarterly basis, the State Archives reviews all records that have reached the end of their retention period and for which the SRC has received an agency's Authorization for Destruction. Records selected by SRAP staff during this quarterly review are transferred directly to the State Archives and do not require further action by the agency.

Contact Information

Email: SRAP@sos.ca.gov

Phone: 916-653-7715

SRAP Archivists

Jeff Crawford

Email: jcrawfor@sos.ca.gov

Phone: 916-695-1366

Fiona Du Brock

Email: fdubrock@sos.ca.gov

Phone: 916-695-1394

Mike McNeil

Email: mmneil@sos.ca.gov

Phone: 916-695-1367