CHAPTER 6
STATE ARCHIVIST

§91. Short title
This chapter shall be known and may be cited as the "Archives and Records Management Law." [PL 1973, c. 625, §16 (NEW).]

SECTION HISTORY
PL 1973, c. 625, §16 (NEW).

§92. Declaration of policy
The Legislature declares that it is the policy of the State to make the operations of State Government and local government more efficient, more effective and more economical through records management; and, to the end that the people may derive maximum benefit from a knowledge of state affairs, preserve its records of permanent value for study and research. [PL 1997, c. 636, §1 (AMD).]

It is also the policy of the State to ensure that operational, nonpermanent records of agencies are preserved for the time required by approved records retention schedules established pursuant to section 95-C, subsection 2, paragraph A, subparagraph (3) to meet administrative use, legal, fiscal and audit requirements and to ensure compliance with requests for public records under the Freedom of Access Act. [PL 2019, c. 50, §1 (NEW).]

SECTION HISTORY

§92-A. Definitions
The following definitions are established for terms used in this chapter. [PL 1973, c. 625, §16 (NEW).]

1. Agency records. "Agency records" means records of government agencies to which they retain legal title, but that have been transferred to the custody of the Maine State Archives to effect economies and efficiency in their storage and use pending their ultimate disposition as authorized by law. [PL 1997, c. 636, §2 (AMD).]

2. Archives. "Archives" means government records that have been determined by the State Archivist, with advice from the Archives Advisory Board, to have sufficient value to warrant their continued preservation and that are in the physical and legal custody of the Maine State Archives. [PL 2019, c. 50, §2 (AMD).]

2-A. Local government. "Local government" means a municipality, county, school district or other special-purpose district or multi-purpose district. [PL 1999, c. 12, §1 (AMD).]

3. Record center. "Record center" means facilities maintained by the State Archivist for the storage, security, servicing and other processing of agency records that must be preserved for varying periods of time and need not be retained in office equipment and space. [PL 1973, c. 625, §16 (NEW).]

4. State agency or agency. "State agency" or "agency" means any unit of State Government or local government, including any state board or commission, and the Legislature and its committees and
subcommittees, but not including the judicial branch, the University of Maine System, the Maine Community College System and the Maine Maritime Academy.
[PL 2019, c. 50, §3 (AMD).]

5. Record. "Record" means all documentary material, regardless of media or characteristics and regardless of when it was created, made or received or maintained by an agency in accordance with law or rule or in the transaction of its official business. "Record" does not include extra copies of printed or processed material of which official or record copies have been retained, stocks of publications and processed documents intended for distribution or use or records relating to personal matters that may have been kept in an office for convenience.

"Record" includes records of historic and archival value to the State, regardless of the date of their generation, including all documents determined to have such value to the State by statute and, when appropriate, by the State Archivist.
[PL 2009, c. 509, §1 (AMD).]

6. Electronic record. "Electronic record" means a record whose content is not readable unless retrieved by means of an electronic device such as a computer or an audio or video player. An electronic record can be in a structured database or an individual file.
[PL 2019, c. 50, §4 (AMD).]

7. Records retention schedule. "Records retention schedule" means a policy document that defines the minimum time a record must be retained and contains disposition instructions on how the record must be handled when no longer needed for agency business.
[PL 2019, c. 50, §5 (NEW).]

SECTION HISTORY


§93. State Archivist

The Secretary of State shall appoint a State Archivist subject to review by the joint standing committee of the Legislature having jurisdiction over state and local government and to confirmation by the Legislature. The State Archivist shall be chosen without reference to party affiliation and solely on the ground of professional competence to perform the duties of that office. The State Archivist shall hold office for a term of 6 years from the date of the appointment and until a successor has been appointed and qualified. The compensation of the State Archivist shall be fixed by the Governor. [PL 1995, c. 148, §5 (AMD).]

This section shall not affect the term of the person holding office as State Archivist on October 1, 1977. [PL 1977, c. 674, §2 (RPR).]

SECTION HISTORY


§94. Maine State Archives

The office of the State Archivist is a bureau within the Department of the Secretary of State and consists of at least 2 organizational units as the State Archivist and the Secretary of State determine best suited to the accomplishment of the functions and purposes of this chapter. One organizational unit consists of archives services and one organizational unit consists of records management. The office is known as the Maine State Archives. The State Archivist is the official custodian of the archival resources of the State and has, upon consent of the Secretary of State, the duties and powers established
under section 95-C governing the creation, use, maintenance, retention, preservation and disposal of agency records. [PL 2019, c. 50, §6 (AMD).]

SECTION HISTORY

§95. Powers and duties of State Archivist
(REPEALED)

SECTION HISTORY

§95-A. Protection and recovery of public records

1. Ownership and possession; notice and demand of return. A record created by or belonging to the State, to a local or county government in the State or to any agency of the State remains the property of the State until ownership and possession are formally relinquished in accordance with statute and rules. Whenever the State Archivist has reasonable grounds to believe that records belonging to the State or to a local government or any agency of the State or to which the State or its agencies have a lawful right of possession are in the possession of a person or entity not authorized by the State Archivist, other lawful custodian or by law to possess those records, the State Archivist may issue a written notice and demand to that person or entity for the immediate return of the records. The notice and demand must be sent by certified or registered mail, return receipt requested. The notice and demand must identify the records claimed to belong to the State or local government with reasonable specificity. Upon receipt of the notice and demand, the person or entity in the possession of records claimed to belong to the State or local government may not destroy, alter, transfer, convey or otherwise alienate those records unless authorized in writing by the State Archivist or by an order issued by a court of competent jurisdiction. The notice and demand must specifically state that any transfer, conveyance or other alienation of the records after receipt of the notice and demand constitutes a Class E crime in violation of section 97. [PL 2009, c. 509, §5 (AMD).]

2. Petition; hearing. Following the issuance of a notice and demand in accordance with subsection 1, the State Archivist, with the assistance of the Attorney General, may petition the Superior Court of Kennebec County or the Superior Court in the county in which records are located for the return of state records that are in the possession of a person or entity not authorized by the State Archivist, other lawful custodian or by law to possess those records. After hearing, the court shall order the records to be delivered to the State Archivist, or other custodian designated by the State Archivist, upon a finding that the materials in question are records and that the records are in the possession of a person or entity not authorized by the State Archivist, other lawful custodian or provision of law to possess the records. The court may issue all orders necessary to protect the records from destruction, alteration, transfer, conveyance or alienation by the person or entity in possession of the materials and may also order the person or entity in possession of the materials to surrender the records into the custody of the State Archivist pending the court's decision on the petition. [PL 1997, c. 636, §7 (AMD).]

3. Presumption. In any proceeding pursuant to subsection 2, there is a rebuttable presumption that records that were once in the custody of the State or a local government were not lawfully alienated from that custody. [PL 1997, c. 636, §7 (AMD).]
4. Definition.

[PL 1997, c. 636, §7 (RP).]

5. Sale or transfer of record prohibited. A person may not sell or transfer a record unless specifically authorized by law. A person who violates this subsection commits a Class D crime.

[PL 2003, c. 365, §1 (NEW).]

SECTION HISTORY


§95-B. Local government records

The following provisions apply to local government records. [PL 1995, c. 148, §10 (NEW).]

1. Omissions or errors corrected. When omissions or errors exist in local government records, those records must be corrected under oath by the person who was responsible for those local government records, whether or not that person remains in office.

A. If an original town meeting warrant is lost or destroyed, the return may be made or amended on a copy of it. [PL 1995, c. 148, §10 (NEW).]

[PL 1995, c. 148, §10 (NEW).]

2. Safe or vault for preservation. Each local government shall provide a fireproof safe or vault for the preservation of all records that must be retained permanently but are not required for business purposes. The official having responsibility for those records shall deposit them in the safe or vault where those records must be kept except when required for use.

A. [PL 2019, c. 50, §8 (RP).]
B. [PL 2019, c. 50, §8 (RP).]
C. [PL 2019, c. 50, §8 (RP).]

[PL 2019, c. 50, §8 (AMD).]

2-A. Retention of archival records currently in digital form.

[PL 2019, c. 50, §9 (RP).]

3. Attestation. The records of a local government official may be attested by volume. Each document is sufficiently attested when the volume in which it is recorded bears the attestation with the written signature of the official.

[PL 1995, c. 148, §10 (NEW).]

4. Delivery to successor in office. Local government officials shall deliver the records of their office to their successors in office upon the expiration of the officials' terms.

[PL 1995, c. 148, §10 (NEW).]

5. Records available for public use. Each local government official shall make records available for public use under that official's supervision at reasonable times unless the use of the records is otherwise restricted by law.

[PL 1995, c. 148, §10 (NEW).]

6. Protection of records. Local government officials shall carefully protect and preserve the records of their office from deterioration, mutilation, loss or destruction.

[PL 1995, c. 148, §10 (NEW).]

7. Disposition of records. Records may not be destroyed or otherwise disposed of by any local government official, except as provided by the records retention schedule established by the State
Archivist pursuant to section 95-C, subsection 2, paragraph A, subparagraph (3). Records that have been determined to possess archival value must be preserved by the municipality.
[PL 2019, c. 50, §10 (AMD).]

[PL 2019, c. 50, §10 (AMD).]

SECTION HISTORY

§95-C. Powers and duties

1. Archives services. The State Archivist has, upon consent of the Secretary of State, the following duties and powers regarding archives services:

A. To administer the office of the State Archivist. In exercising the administration of the office, the State Archivist shall formulate policies, establish organizational and operational procedures and exercise general supervision. The State Archivist shall employ, with the approval of the Secretary of State, and subject to the Civil Service Law, such assistants as are necessary to carry out this chapter. The State Archivist shall adopt a seal for use in the official business of the office. The State Archivist has custody and control of the facilities provided for the administration of this chapter; [PL 2019, c. 50, §11 (NEW).]

B. To have the right of reasonable access to and examination of all state and local government records in the State; [PL 2019, c. 50, §11 (NEW).]

C. To adopt such rules as are necessary to effectuate the purposes of this chapter. No restrictions or limitations may be imposed on the use of records that are defined by law as state and local government records or as records open to public inspection, unless necessary to protect and preserve them from deterioration, mutilation, loss or destruction. Restrictions or limitations imposed by law on the examination and use of records transferred to the archives under subsection 2, paragraph A, subparagraph (3) remain in effect until the records have been in existence for 75 years unless removed or relaxed by the State Archivist with the concurrence in writing of the head of the agency from which the records were transferred or the successor in function, if any. The State Archivist shall adopt rules governing the transfer of records from the custody of one agency to that of another subject to any applicable provision of law. Rules adopted pursuant to this paragraph are routine technical rules as described in chapter 375, subchapter 2-A; [PL 2019, c. 50, §11 (NEW).]

D. To accept gifts, bequests and endowments for purposes consistent with the objectives of this chapter. The Treasurer of State shall invest such funds if given as an endowment in securities according to the laws governing the investment of trust funds. All gifts, bequests and proceeds of invested endowment funds must be used solely to carry out the purposes for which they were made; [PL 2019, c. 50, §11 (NEW).]

E. To publish archival material, reports, bulletins and other publications that promote the objectives of this chapter. The State Archivist shall establish the price at which publications, photocopies and photoduplication services may be sold and delivered. The income received under this paragraph and paragraph M must be credited to a special revenue account. Amounts in the account must be carried forward and expended by the agency for these purposes; [PL 2019, c. 50, §11 (NEW).]

F. To report biennially to the Governor and Legislature facts and recommendations related to the work and needs of the office of the State Archivist; [PL 2019, c. 50, §11 (NEW).]
G. To authorize and receive confirmation of the destruction of the state records of a state agency
that, in the opinion of the head of the agency, are no longer of value to the state agency and that, in
the opinion of the State Archivist, with advice from the Archives Advisory Board, have no archival
value to the State; [PL 2019, c. 50, §11 (NEW).]

H. To receive all agency records transferred to the Maine State Archives under subsection 2 and
to negotiate for the transfer of official records that in the opinion of the State Archivist, with advice
from the Archives Advisory Board, have archival value from the custody of any public official.
The State Archivist shall charge a fee sufficient to cover the cost of receiving and processing all
transfers from the custody of any public official not governed by subsection 2. The fees collected
must be deposited in the General Fund. Any public official in the State is authorized to turn over
to the State Archivist those official records legally in that public official's custody that are not
needed for the transaction of the business of that office whenever the State Archivist is willing and
able to receive them. Whenever such a transfer is made, the State Archivist shall transmit to the
office from which the records are transferred a memorandum in which the records are described in
terms sufficient to identify them. The memorandum must be preserved in the transferring office.
Unless otherwise directed by law, the state records of any public office, commission or committee
in the State must, upon the termination of its existence or functions, be transferred to the custody
of the State Archivist; [PL 2019, c. 50, §11 (NEW).]

I. To preserve the records of the Secretary of State to the extent the Secretary of State determines
desirable under the Constitution of Maine and the rules of the State Archivist adopted pursuant to
paragraph C; [PL 2019, c. 50, §11 (NEW).]

J. To establish such standards concerning the establishment, maintenance and operation of state or
local government administered electronic records as are necessary to ensure the preservation of
adequate and permanent records of the organization, functions, policies, procedures, decisions and
essential transactions of agencies; [PL 2019, c. 50, §11 (NEW).]

K. To receive legislative records. The Secretary of the Senate and the Clerk of the House of
Representatives shall obtain the noncurrent records of the Legislature and of each legislative
committee at the close of each Legislature and transfer them to the Maine State Archives for
preservation, subject to the orders of the Senate or the House of Representatives, respectively, and
subject to schedules established in consultation with the Executive Director of the Legislative
Council; [PL 2019, c. 50, §11 (NEW).]

L. To make archival material under the State Archivist's supervision available for public use at
reasonable times. The State Archivist shall carefully protect and preserve the materials from
deterioration, mutilation, loss or destruction. State records maintained by the State Archivist that
contain information related to the identity of a patron of the Maine State Archives relative to the
patron's use of materials at the Maine State Archives are confidential; those state records and the
information contained in them may be released only with the express written consent of the patron
involved or as a result of a court order; [PL 2019, c. 50, §11 (NEW).]

M. To furnish copies of archival material upon the request of any person on payment in advance
of such fees as may be required. Copies of agency records transferred pursuant to law from the
office of their origin to the custody of the State Archivist, if certified by the State Archivist, under
the seal of that office, have the same legal force and effect as if certified by their original custodian.
A facsimile of the signature of the State Archivist imprinted by or at the direction of the State
Archivist upon any certificate issued by the State Archivist has the same validity as the written
signature of the State Archivist; [PL 2019, c. 50, §11 (NEW).]

N. To provide centralized photoduplication and records preservation services for agencies to the
extent the State Archivist determines advisable in the administration of the programs under
subsection 2 and facilities under paragraph A. The services must be furnished to agencies at cost.
Fees collected under this paragraph must be deposited in the General Fund; and [PL 2019, c. 50, §11 (NEW).]

O. To prepare a detailed explanation of what constitutes a record pursuant to section 92-A, subsection 5 and records belonging to the State or to a local government or any agency of the State pursuant to section 95-A, subsection 1. The State Archivist shall include in the explanation practical examples of such records in plain language. Upon request, the State Archivist shall provide the explanation to an interested party at no cost to the interested party and shall post the explanation on a publicly accessible website. [PL 2019, c. 50, §11 (NEW).]

[PL 2019, c. 50, §11 (NEW).]

2. Records management. The following provisions govern records management.

A. The State Archivist shall, upon consent of the Secretary of State, establish and administer for all state agencies an active, continuing program for the economical and efficient management of agency records and for the proper disposition of government records. The State Archivist shall, with due regard for the functions of the agencies concerned:

1. Provide policies, procedures, standards and techniques for effective management of state and local government records in the conduct of business;

2. Recommend improvements in records management practices for electronic records, including the use of electronic records management systems, and for physical records, including the use of space, equipment and supplies employed in creating, maintaining, storing and servicing state and local government records;

3. Establish records retention schedules, in consultation with the heads of agencies and their records officers appointed pursuant to paragraph B. The records retention schedules must define the period of time for which each agency must retain records based on the following 4 criteria:

   a. Administrative use;
   b. Legal requirements;
   c. Fiscal and audit requirements; and
   d. Historical and research value.

A state agency shall retain records of value, and transfer custody to the Maine State Archives, or dispose, as provided by the records retention schedule, of records no longer possessing sufficient administrative, legal or fiscal value to warrant their further keeping for business purposes; and

4. Obtain such reports from state agencies as are required for the administration of the program, including a biennial assessment of agency records management programs and currency of agency record schedules, in compliance with policies, procedures and standards set by the Maine State Archives. [PL 2019, c. 50, §11 (NEW).]

B. The head of each state agency shall establish and maintain an active, continuing program for the economical and efficient management of records in compliance with the standards, procedures and regulations issued by the State Archivist. The head of each state agency shall appoint a records officer and the head of each large state agency shall appoint a records officer assistant. The head of each state agency, through that agency's records officer, shall enable and ensure the transfer to the Maine State Archives of those records that, in the opinion of the State Archivist, with advice from the Archives Advisory Board, have archival value. [PL 2019, c. 50, §11 (NEW).]

[PL 2019, c. 50, §11 (NEW).]

SECTION HISTORY
PL 2019, c. 50, §11 (NEW).

§96. Archives Advisory Board

1. Established. The Archives Advisory Board, established by section 12004-I, subsection 8, shall serve to advise the State Archivist in administration of this chapter and to perform such other duties as may be prescribed by law.
[PL 2019, c. 50, §12 (NEW)].

2. Members. The Archives Advisory Board consists of 9 voting members with expertise in the administrative, fiscal, legal and historical value of records. Voting members of the board must represent the spectrum of records in the State and are appointed by the Secretary of State as follows:

A. Two public members representing the interests of public access to government records, recommended by a public interest group; [PL 2019, c. 50, §12 (NEW)].

B. Two members from municipal or county government with expertise in local government records, recommended by local or county government entities; [PL 2019, c. 50, §12 (NEW)].

C. One member representing a state or local historical society, recommended by a state or local historical society; [PL 2019, c. 50, §12 (NEW)].

D. One member with expertise in the legal requirements of records retention and public records law, recommended by the Attorney General; [PL 2019, c. 50, §12 (NEW)].

E. One member with expertise in the State's fiscal requirements of records retention, recommended by the Governor; [PL 2019, c. 50, §12 (NEW)].

F. One member from the executive branch with expertise in executive branch records, recommended by the Governor; and [PL 2019, c. 50, §12 (NEW)].

G. One member from the Department of Administrative and Financial Services, Office of Information Technology with expertise in electronic records, electronic records management systems and emerging technology related to electronic records, recommended by the Governor. [PL 2019, c. 50, §12 (NEW)].

The State Archivist serves as a nonvoting member.
[PL 2019, c. 50, §12 (NEW)].

3. Terms; chair; compensation. The voting members under subsection 2 serve a 3-year term and continue serving until either reappointed or replaced. In case of the termination of a member's service during that member's term, the Secretary of State shall appoint a successor for the unexpired term. The voting members shall elect a chair. Voting members must be compensated as provided in chapter 379.
[PL 2019, c. 50, §12 (NEW)].

SECTION HISTORY

§97. Violation

Violation of any provision of this chapter or any rules adopted under section 95-C, subsection 1, paragraph C, except those violations for which specific penalties are provided, is a Class E crime. [PL 2019, c. 50, §13 (AMD)].

SECTION HISTORY

§98. Maine Historical Records Advisory Board
The Maine Historical Records Advisory Board, established by section 12004-I, subsection 18-D and referred to in this section as the "board," is within the office of the State Archivist and serves to encourage the preservation of and access to historical records within the State. [PL 2001, c. 704, §3 (NEW).]

1. Duties. In support of its mission, the board shall conduct the following activities:

A. Make recommendations to the National Historical Publications and Records Commission regarding the funding of proposals seeking support from that commission; [PL 2001, c. 704, §3 (NEW).]

B. Develop, maintain and execute a strategic plan supporting the board's priorities for funding recommendations and other activities; [PL 2001, c. 704, §3 (NEW).]

C. Seek, receive and administer nonstate funds to support its priority activities; [PL 2001, c. 704, §3 (NEW).]

D. Work cooperatively with other state historical records advisory boards, especially those in New England; and [PL 2019, c. 50, §14 (AMD).]

E. Report biennially to the joint standing committee of the Legislature having jurisdiction over state and local government matters on the board's activities and on the condition of historical records in the State. [PL 2019, c. 50, §14 (AMD).]

F. [PL 2019, c. 50, §15 (RP).]

2. Authority. In order to carry out its mission, the board may make expenditures in accordance with the following:

A. Beginning with the 2004-2005 biennium, the Governor shall include in the budget submitted to the Legislature each biennium a line item to allow the expenditure by the board of any non-General Fund revenues received by the board, including federal funds, grants or gifts. [PL 2019, c. 50, §16 (AMD).]

B. [PL 2019, c. 50, §16 (RP).]

3. Membership. The board consists of at least 7 and no more than 11 members who are appointed to serve as follows:

A. Except as provided in paragraph B, the Governor shall appoint all of the members, the majority of whom must have experience in the administration of historical records or in a field of research activity that makes extensive use of historical records; [PL 2001, c. 704, §3 (NEW).]

B. The Director of the Maine Historical Society and the State Archivist are members ex officio and are voting members; and [PL 2001, c. 704, §3 (NEW).]

C. The Governor shall appoint either the Director of the Maine Historical Society or the State Archivist to serve as the Maine Historical Records Coordinator and to serve as the chair of the board. The coordinator shall serve a term of 4 years and may not be compensated but may receive the reimbursements allowed members of the board. [PL 2001, c. 704, §3 (NEW).]

All members, with the exception of the coordinator, serve 3-year terms. All members serve without compensation. All legally allowed expenditures incurred by the members in the performance of their duties may be reimbursed by the National Historical Publications and Records Commission or by other funds available to the board. [PL 2001, c. 704, §3 (NEW).]
4. Maine Historical Records Advisory Board Fund. The Maine Historical Records Advisory Board Fund, referred to in this section as the "fund," is established for use by the board. Balances in the fund may not lapse and must be carried forward and used for the purposes of this section. The board may accept and deposit in the fund money from private and public sources.

[PL 2001, c. 704, §3 (NEW).]

SECTION HISTORY


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