

**MICHIGAN STATE UNIVERSITY**

**RECORDS MANAGEMENT HANDBOOK**



**2nd Revision, 1989**

**University Archives and Historical Collections**

**MSU is an Affirmative Action/Equal Opportunity Institution**



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## SAMPLE FORMS

## INTRODUCTION

In 1969, The Board of Trustees established the University Archives. In this action the Board stipulated that: 1) the important inactive records of the University should be preserved to meet legal, fiscal and administrative needs, or because of their historical significance, 2) those inactive records which need to be retained for any of these reasons should be transferred to the University Archives, and 3) non-essential records should be destroyed upon the joint approval of the unit head in which they were generated and the director of the Archives.

As defined by law, the records of a public agency include letters sent and received, books, photographs, maps, drawings, tapes, films, videos, and electronic records, that have been made by that agency or received by it in connection with the transaction of its business. Records which are not currently being used but which must be retained for a reason cited above, are defined as inactive.

This manual has been prepared to assist University personnel to better manage the information which they create and for which they are responsible. It provides guidelines on how and which types of records should be transferred out of active files, and it establishes procedures for the subsequent disposition of inactive records. These procedures supersede those in the 1977 *Hand-Book for Records Management* and the 1985 manual, *Records Management at Michigan State University*.







## EFFICIENT STORAGE OF INACTIVE RECORDS

Michigan State University spent more than \$2 million on paper stock during 1987.<sup>1</sup> The proliferation of microcomputers and photocopiers has made possible the widespread distribution of information cheaply, but on a scale that until recently would not have been possible. Computers can store huge quantities of data in an incredibly compact space; however, when more bytes are used, more paper is generated. This is because we rely on computers without trusting them. They do not always work, their screens are slower to read than paper text, and electronic records are not yet accepted as evidence under law in Michigan as are paper-based text and microfilm. Also, we recognize that computer records are not permanent. Even under the best possible environmental conditions, electronic records produced today deteriorate within 10 to 20 years. The result is that we are generating more paper-based information than ever, simply because it is possible.

When implemented effectively, records management can greatly decrease the cost of storing information. It identifies which records must be maintained, how they should be stored, and how long they should be retained. Practicing good records management by using the facilities of the University Archives will not earn money for MSU but it will result in significant operating cost savings, which, for non-profit institutions, amounts to the same thing.

In exercising concern for their unit's official records, administrators address a number of the important goals in the Provost's document "The Refocusing, Rebalancing, and Refining of Michigan State University", as distributed May 11, 1988. Using the University

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<sup>1</sup>Accurate statistics of this nature are not currently being compiled at MSU. This figure is based on an estimate supplied by Purchasing staff in 1988.

Archives effectively answers one of the "Key qualitative and quantitative questions" on page 4 of the document, namely, "Has the unit adopted space management practices to use assigned space effectively?" More importantly, the University Records Program assists units in contributing to the "Academic Goals" listed in the "R3" document. The orderly transfer to the Archives of important records of administrative and historical value to the institution contributes to the University's collections of primary source materials which can be used for teaching, research, and public service activities. Presently, many offices simply purchase another file cabinet when theirs are full, resulting in increased expense and increased use of valuable floor space. Allowing for room to open the drawers, a standard vertical file cabinet consumes approximately six square feet of space. Existing office space at MSU costs very little in comparison with costs for most private businesses, but there are a number of hidden costs. As campus office space becomes increasingly rare, the real value of floor space available to a unit increases also. When there is no room to expand, existing space is for all practical purposes priceless. Construction of new office space on campus costs at least \$80.00 per square foot, so the cost of purchasing and equipping sufficient space on campus for just one file cabinet would be approximately \$630.00.<sup>2</sup> In contrast, if the contents of that file cabinet, less than 8 cubic feet of records, were transferred to the University Archives, equipment and shelving costs would be only \$36.16

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<sup>2</sup>Conservative estimate based on statistics supplied by the office of the University Architect, 1989. Figure of \$630.00 includes an expenditure of \$150.00 for a vertical filing cabinet.



total. Put another way, for every 10,000 cubic feet of records stored in the Archives, the University avoids a cost of \$740,000 in new equipment and floor space.<sup>3</sup>

By using special equipment the Archives can store inactive records for only *one seventh* the cost of equivalent storage in existing office areas. Part of this savings is in the difference between archival equipment costs and office equipment costs. Office filing equipment costs \$18 and up per cubic foot of records, whereas archival equipment costs are currently \$4.52 per cubic foot. Another part of this savings is in the fact that the Archives makes maximized use of its available space for storage of records, housing three times more records per square foot than can be stored in the same amount of office floor space. A final factor is the relative on-going cost of our storage space which for security reasons has no regular maintenance service costs.

Other factors must also be considered. In files crowded with both current and inactive records, filing becomes more difficult and the probability of misfiling is increased. Searching for lost files is time-consuming and costly. The addition of more file cabinets solves the problem only temporarily. Storage of inactive records in attics, closets and basements, where materials are subject to tampering and rapid environmental damage, is not an acceptable alternative. Furthermore, personnel changes result in a loss of continuity so that records stored this way quickly become forgotten and thus lost. The Archives staff are frequently called to recover small caches of important papers and photographs which turn out to be irreparably damaged because of poor storage conditions.

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<sup>3</sup>This is based on 10,000 cu. ft. occupying 1,250 new file cabinets with an equipment cost of \$187,500, and each cabinet requiring 6 sq. ft. of new floor space or 7,500 sq. ft. at a total cost of \$600,000. Total of space and equipment costs \$787,500 less equivalent Archives equipment costs of \$45,200 for a final total of \$742,300.

The logical solution to the problem of storing inactive records is to remove them from the office files and transfer them to the University Archives. Here they can be preserved, economically maintained, and quickly retrieved when necessary. The Archives' storage areas are chosen to ensure the best feasible environmental stability and physical security.

At present there is no direct charge to units utilizing the Archives' records management program. The General Stores Department may charge for related services such as transportation and destruction of documents.



## SECURITY

The University Archives maintains a number of storerooms in central locations on campus. To prevent unauthorized access, these storerooms are secured so that only Archives personnel can enter them.

The resolution of the Board of Trustees provides that restrictions may be placed on the future use of personal and public records entrusted to the Archives. Restricted materials should be accompanied by a statement specifying (1) the personnel who are allowed to use the records, and (2) the length of time the records should be treated as confidential. In the event that confidential materials are not accompanied by such statements, the University Archives will continue to observe the law and the regulations of the Board of Trustees regarding freedom of information.





## SELECTING RECORDS FOR TRANSFER TO THE ARCHIVES

Not all records belong in the University Archives. Only inactive records of continuing value should be transferred. Active records -- those which are used often -- should be retained under the supervision of the unit head until the office no longer has a frequent need to refer to them. One function of the University Archives is to identify and recommend dispositions for inactive records.

In order to ascertain which actions should be taken with regard to records, a "retention schedule" will be made for each University office on campus, and for MSU units operating in other parts of Michigan. Over 120 offices have already had records retention schedules prepared. These schedules are written by Archives staff in cooperation with unit personnel. The schedules provide for the systematic and orderly transfer of inactive records from office files, and specify the various types of record series created and maintained by each office.<sup>4</sup> They identify which records must be preserved and for how long, both in the original office and in the Archives.

In determining which inactive records are suitable for transfer to the University Archives, the staff conducts an appraisal of the records, considering whether the materials have historical, legal, administrative, evidential, or informational value. State and federal statutes require us to preserve certain records for specified time periods and even permanently. Similarly, there are record series which are of vital importance to the continued administration of the University. These must also be preserved. Other records may

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<sup>4</sup>A record series is a number of papers or file units grouped together because they either document a particular subject or function, result from the same activity, or can be treated as a unit because of some other relationship of their creation, receipt or use.

warrant preservation because of the evidence they contain regarding the history of a department or a significant administrative unit. Still another class of records suitable for the Archives are those which incidentally contain information of research interest to scholars even if that information is not related to the history of the University.

Departments engaged in grant-funded research which results in voluminous quantitative data of a restricted or highly specialized nature, may wish to consider including in the original funding request the cost of suitable storage or micrographic conversion of the data. This type of record is normally outside the scope of the Archives' collecting policy. When investigators are aware that a proposal will result in data of archival value they must contact the Director of the University Archives prior to submitting their application. In some cases funding for preservation of archival research records can be obtained from the granting agency.

The University Archives collects narrative and statistical annual reports as well as complete series of printed materials such as bulletins, reports, brochures, and flyers, put out by each unit. These materials should also be sent to the Archives.

Procedural policy regarding retention of fiscal and personnel records is detailed in the University's *Manual of Business Procedures*. Certain common types of records are duplicated in central administration files which are maintained for longer time periods. Departments transferring student academic records should screen out materials in folders which are duplicated in the Office of the Registrar. Only advisors' notes, written evaluations, and materials not duplicated in the central file require preservation as a department, school, or college record. Persons having questions regarding which records are suitable for transfer are encouraged to contact the Archives. Currently, University records are



transferred to the Archives in two ways; by following written records schedules, or through departmental identification of records.

### ***RECORDS SCHEDULES***

The records scheduling process involves a physical inventory of the records in your filing system, an appraisal of the value of those records, and approval of their retention criteria. The Archives provides this service without disrupting office operations and without charge.

During the inventory, the Archives staff will list the records series created in the office and appraise each series on the basis of administrative value, legal requirements, fiscal need and historical significance. We look for, among other things, whether the files are duplicated elsewhere. Only one copy of most papers needs to be retained and we try to collect and preserve the original copy of all important MSU documents.

Once the appraisal is completed, a retention schedule is prepared. Approval of the schedule comes from both the director of the Archives and the unit head. It is always a joint decision. Only about one third of all office records require some form of retention period once they become inactive. Of this third about one tenth are of sufficient significance to merit permanent retention. The Archives ensures that records of non-enduring value are retained only so long as they are legally necessary, while materials which are vital to our institution are maintained for future generations.

Changes in your file systems are easily accommodated. A telephone call to us indicating new or revised record series, will be noted on a revised schedule. Similarly, any changes in retention criteria can be discussed over the telephone. The retention schedule will govern the disposition of all your files.

## Approved Record Retention Schedule

Unit: Division of Engineering Research

Date 10-22-86

Approvals: William C. Taylor  
(unit head)

[Signature]  
(director of archives)

Record	Retain in Office	Trans. to Archives	Retain in Archives	Destroy
<u>Records kept by the Secretary to the Associate Dean</u>				
University records (administrative records documenting DER involvement with MSU).	6 yrs	Records of DER origin or direct involvement. Destroy others.	Permanent	
<u>Division of Engineering Research records</u>				
General files (alphabetic)	6 yrs	X	9 yrs	X
Assoc. Dean's official correspondence (chronological)	6 yrs	X	9 yrs	
DER Research Proposal records	5 yrs	X	5 yrs	X
Faculty Activity Files	6 yrs	X	9 yrs	
Administrative Group (College) Minutes	6 yrs	X	9 yrs	X
MSU Research Advisory Board Records	10 yrs	X	Permanent	
Miscellaneous General Files (also alphabetic)	6 yrs	X	9 yrs	X



## ***DEPARTMENTAL IDENTIFICATION OF UNIVERSITY RECORDS***

The second method of transferring records to the Archives is for use by units that have not yet had a retention schedule prepared, or in cases when certain records are not included in an existing schedule.

In such cases units should complete an "Identification of University Records" form. (Sample copies of Archives forms which may be photocopied are included in an appendix). This form is used to identify the types, dates, and amounts of inactive records in question. It also specifies, after joint approval by the Archives and the department, which records are to be transferred to the Archives, and which records, if any, are to be destroyed. Use of this form eliminates the transfer of useless records to the Archives, and relieves the transferring office of making a detailed folder inventory of records destined for destruction.

The office should complete the identification form, supplying information under items 1-5. Under item 3, "Description of Records," the office should list in detail the types of records found in its files. The description will enable the Archives to make the proper decisions regarding disposition of the records. The office should complete three copies of the form, retaining one for its files and sending two to the Archives. Then the Archives will recommend the appropriate disposition for each type of record listed and will return a completed copy of the form to the office. These guidelines will govern the transfer of the records specified.

## Record Identification Form

MICHIGAN STATE UNIVERSITY University Archives and Historical Collections Identification of University Records					
PLEASE PREPARE IN TRIPLICATE. SEND THE ORIGINAL AND ONE COPY TO THE ARCHIVES.			APPROVALS		
1) Department or Unit Effective Living Department			UNIT HEAD (SIGNATURE)		
2) Date Prepared 12-25-89			Director of Archives (Signature)		
3) Description of Records	4) Date(s)	5) Amount (File Drawers or Fraction)	FOR ARCHIVES USE		
			Retain in Office	Transfer to Archives	Destroy
Minutes of Meetings: Curriculum Committee Tenure Committee Student Affairs Committee All-College Faculty Meetings	1971 1971 1971 1971	1/2 1/4 1/4 1/4			
Fiscal files: Purchase orders and invoices Fund ledgers Travel reports Student payroll records	1970-71 1968-71 1965-70 1976-73	1/2 1/2 1 1/4			
Publications: <u>Handbook of Undergraduate Courses</u> <u>Guest Speaker Series</u>	1966-72 1970-72	1/2 3/4			
Report: Follow-up of College Graduates (with supporting documents)	1970	1			





## **TRANSFERRING RECORDS TO THE ARCHIVES**

The University Archives will supply without charge, acid-free archival storage boxes to units transferring records. The boxes are chosen to match our shelving system. Records should not be sent to the Archives in other types of containers unless there is a problem with the dimensions of the material. Archives boxes are to ONLY be used for the transfer of records. Boxes will not be given to units without first verifying that an appropriate records retention schedule exists, or that approval has been given through the use of the records identification process.

To estimate the number of boxes required for transfer consider that, with legal-size folders, two boxes will hold the contents of one file drawer. For letter-size files, the ratio is 3:2. When you are ready to transfer records to the Archives, call us for a supply of these boxes.

## ***PREPARING RECORDS FOR TRANSFER***

Once transfer approval is given by the Archives and the boxes are received, prepare the material for transfer. Without disturbing the existing file arrangement, gently pack records in the boxes. Folders should not be packed so tightly that papers become crushed. Do not place folders on top of other folders within the containers. Place legal-size files across the fifteen-inch side of the container. Place letter-size files across the twelve-inch side. Pack hanging files across the fifteen-inch side. Records smaller than conventional letter-size or legal-size files should be packed in records storage boxes as efficiently as possible.

As you pack the boxes, quickly scan the contents of your folders to be sure that any



obvious duplicates or records which have already met retention requirements are not sent to the Archives.

### ***NUMBERING***

If possible number folders as records are packed. This will assist us in identifying a folder that must be retrieved. Each box should begin with folder 1. Number containers consecutively as they are packed. Each transfer is numbered beginning with 1. For example, if in transfer A you sent eight boxes, the first box in transfer B is numbered "1", not "9".

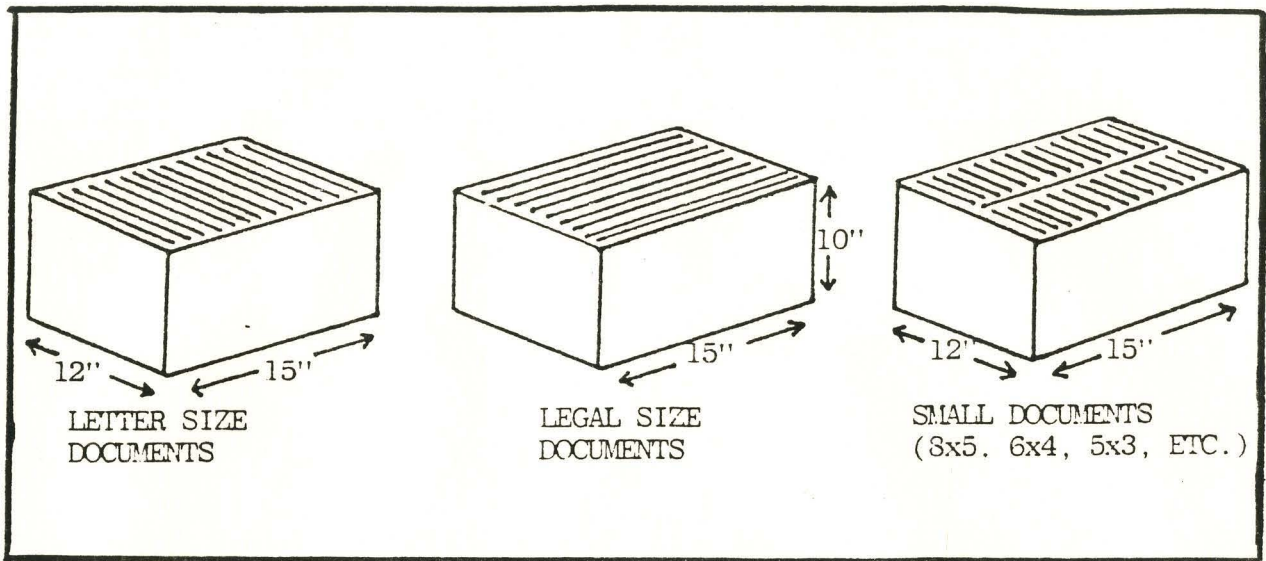
Records which are too large to be placed in storage containers, such as bound ledgers, should be tied in bundles with sturdy cord and labeled with identification tags. Large drawings and maps can be rolled and wrapped in paper or packed in cardboard tubes and labeled.

### ***LABELS***

Attach a University Archives label to each container (see figure). The label has a water-soluble adhesive backing. Always place it on the twelve-inch side of the container below the hand cut-out. Use only one label per container. Complete the label as follows:

1. Accession No.: Leave this space blank. The Archives staff will assign this number when the boxes arrive at the Archives storage area.
2. Box No.: Enter both the number of the container and the total number of containers in the shipment. For example, the label on the second of seven boxes will read "Box No. 2 of 7".
3. Office Sending Records: Enter the name of the office preparing the shipment.

*Packing Transfer Boxes*



*Box Label*

MICHIGAN STATE UNIVERSITY

**ARCHIVES**

ACCESSION NO.

LEAVE BLANK

BOX NO.

1 OF 10

OFFICE SENDING RECORDS

EFFECTIVE LIVING DEPARTMENT

O-10062



## **RECORDS TRANSMITTAL FORMS**

Next, complete the "Records Transmittal and Inventory" form which consists of a first page, and "supplementary" pages if necessary. The two differ only in that the first page requests information about the shipment of records which need not be repeated on supplementary pages. Because in most cases offices will require more than one page to list records being transferred, eliminating repetition of this information allows more space for listing records and ensures that the unit head will not have to sign more than once for each shipment. The office should prepare three copies of this form as follows:

1. Complete items 1 through 9 on the first page of the transmittal form. Then complete items 1 through 6 on supplementary pages of the "Records Transmittal and Inventory" as necessary.
2. Item 10 on the first page should be left blank or used to note any restrictions.
3. When listing the last folder title in a box, skip a line before listing the first folder title of the next box. It is not necessary to use a separate page for each box.
4. Records which are not sent in standard records containers should be listed separately under "File Folder Title" after all the boxes are listed. Entries should contain notations about special packing provisions. For example, a group of large scrapbooks tied in a bundle should be listed as "three (3) scrapbooks tied in a bundle, not in containers." When records other than paper documents are being transferred, the type of recording medium should be indicated, i.e., photograph, audiotape, etc.
5. When the "Records Transmittal and Inventory" form is complete, send the original and one copy to the Archives for approval. A third, temporary copy may be kept in the unit as a back-up.

Once the forms are received by the Archives, a staff member will check them to ensure that they are complete and then call the office to indicate where the material should be sent. After receiving approval to transfer the records, contact the M.S.U. Stores Department to arrange for the records to be shipped to the designated storage area.

# Completed Record Transmittal and Inventory Form

MICHIGAN STATE UNIVERSITY University Archives and Historical Collections Records Transmittal and Inventory			page <u>1</u> of <u>2</u>	
PLEASE PREPARE IN TRIPLICATE. SEND THE ORIGINAL AND ONE COPY TO THE ARCHIVES.			FOR ARCHIVES USE	
1) Department or Unit Effective Living Department		2) Date 12-25-89		Accession Number
3) Chair or Head of Unit (Signature and Title) Jane Smith, Chairperson			Date Received	
4) Person Preparing Shipment John Smythe, Secretary II		5) Telephone Number 355-0000		Director of Archives
Box 3) No.	Folder 7) No.	8) File Folder Title	9) Dates	FOR ARCHIVES USE
1	1	Appointments	1969-70	
1	2	Appointments	1970-71	
1	3	Appointments	1971-72	
1	4	Appointments	1972-73	
1	5	Ballots	1967-73	
1	6	Chairperson's meetings	1970	
1	7	Chairperson's meetings	1971	
1	8	Chairperson's meetings	1972	
1	9	Chairperson's meetings	1973	
1	10	NDEA	1969-70	
1	11	NDEA	1970-71	
1	12	NDEA	1971-72	
1	13	NDEA	1972-73	
1	14	Placement	1971	
1	15	Placement	1972	
1	16	Placement	1973	
1	17	Provost	1969-70	
1	18	Provost	1970-71	
1	19	Scheduling	1969-71	
1	20	Staff meetings - minutes	1967-68	
1	21	Staff meetings - minutes	1969-72	
1	22	Summer Session	1968-72	
10) Comments none				



## Record Transmittal Form - Supplementary Page

MICHIGAN STATE UNIVERSITY				page 2 of 2	
University Archives and Historical Collections					
Records Transmittal and Inventory				SUPPLEMENTARY PAGE	
PLEASE PREPARE IN TRIPLICATE. SEND THE ORIGINAL AND ONE COPY TO THE ARCHIVES.				FOR ARCHIVES USE	
1) Department or Unit				Accession Number	
Effective Living Department					
Box	Folder				FOR ARCHIVES
2) No.	3) No.	4) File Folder Title	5) Dates	USE	
1	23	Faculty Advisory Committee Meetings	1970		
1	24	Faculty Advisory Committee Meetings	1971		
1	25	Faculty Advisory Committee Meetings	1972		
2	1	Annual Report	1968		
2	2	Annual Report	1969		
2	3	Annual Report	1970		
2	4	Annual Report	1971		
2	5	Alpha Correspondence	1969-70		
2	6	Alpha Correspondence	1970-71		
2	7	Departmental publications (one copy of each)	1971		
2	8	Departmental publications	1972		
2	9	Development Office	1973		
2	10	Photographs of early faculty and research projects	1945-52		
6) Comments					

The Archives will receive the shipment, note its receipt on the "Records Transmittal and Inventory" form, and return one copy of the form, with the accession number, to the staff member preparing the shipment. The office should file the completed "Records Transmittal and Inventory" form, and discard the temporary copy. An accession number is assigned by the Archives to each shipment of records. In all communication with the Archives concerning the records this accession number must be cited.

### ***TRANSFER PROCEDURES IN BRIEF***

1. The department or office should telephone the Archives (355-2330) to indicate that it has records to be removed from its files.
2. If a records retention schedule exists, the necessary number of boxes will be sent by the Archives

or,

arrangements are made for a records survey by the Archives. A records "Retention, Transfer and Disposal" schedule is approved by the unit and the Archives

or,

the Archives will send "Identification of University records" forms to the office. Once this form is completed and sent to the Archives, the Archives staff will indicate those records to transfer and those to destroy, and send a supply of storage boxes.

3. Move the material from your file cabinets into the boxes without disturbing any filing arrangement which may exist.
4. Complete the "Records Transmittal and Inventory" forms.
5. Attach the Archives label to the boxes, just below the handle.
6. Send the forms to the Archives.
7. When notified by the Archives, have Stores transfer the boxes.





## OBTAINING REFERENCE SERVICE

Upon request from the transferring office, the Archives staff will provide three types of reference service:

1. Information from records stored in the Archives.
2. Copies of records stored in the Archives.
3. Temporary return of records to the transferring office.

Requests for reference service may be made by telephone or in writing. In most cases the Archives can return records to the originating unit within one business day.

Arrangements may also be made to consult the records in the Archives reading room. Hours are 8 a.m. - 12 noon and 1 p.m. - 5 p.m., Monday through Friday. If possible, the Archives should be notified at least one day prior to a visit so that records can be brought to the Archives reading room. When requesting records from the Archives it is extremely important that units state the accession number for the shipment containing those records. This is noted in the upper right corner of the office copy of the transmittal and inventory form. We also need a box number(s), folder number(s) and if possible the folder title or subject. Archives staff can undertake more intensive searches for information when necessary, but it is very important that units requiring information be as specific as possible when stating their needs.

Unless large quantities of material are involved, the Archives prefers to send copies rather than the original records in response to reference requests. This eliminates the need for return of the records to the Archives. Please note that copies of records furnished by the Archives are for information only and should not be filed. They should be destroyed when no longer needed.



## MANAGING COMPUTER RECORDS

In general, University computer or machine-readable records should be considered as extensions of the paper-based records which they have been created to replace. Machine-readable records are produced and maintained in electronic form for administrative purposes and for storage and manipulation of scholarly data. This means that machine-readable records will eventually be inventoried and scheduled like any traditional office record keeping medium.

The form of machine-readable records do not, generally, suffice to meet current requirements as to what constitutes a formal legal "record." (However, many experts anticipate that the law will evolve so as to recognize the legitimacy of this recent technology for records retention.) In any event, federal and state court rules do require that machine-readable records be made available when properly requested by parties to litigation.

A number of interim recommendations can be made. To begin with, it is essential that the preservation of adequate software documentation be ensured so that machine-readable records can be accessed at any time during their appropriate retention period. This is particularly important for units using specialized software. An office creating such records should also observe the following guidelines for long-term preservation.

### Magnetic Tapes:

1. Magnetic Tapes should be stored in a controlled environment free of pollutants and at a constant relative humidity and temperature, ideally of 65 degrees Fahrenheit and 40% relative humidity.
2. Tapes should be stored upright in plastic containers which support the reel at the hub, and which are clearly and accurately labelled.

3. Inactive tapes require cleaning and rewinding every two years. In addition a sample of stored tapes should be tested to detect "read errors" every two years. Permanent data on inactive tapes should be transferred to new tapes every 10-20 years or more often if indicated by testing.
4. A duplicate security copy should be maintained for as long as the magnetic tape is required. This second copy should be stored in another location and can be in any format, such as microform or paper record.

#### Floppy Disks:

1. A paper copy of all important documents must be made. This includes copies of administrative reports, all out-going correspondence, unit level policy statements, and other important records. This is for two reasons. First, this electronic data may require permanent preservation in the University Archives. Second, photocopies of printouts can be used in court as legal evidence. For this purpose it is best to have a photocopy of the original signed document made at the same time as the original.
2. Data on disks must be backed up.
3. Floppy disks should be handled with great care so that dust, fingerprints and other contaminants do not touch the magnetic surface.
4. Hardware components such as disk drives and read/write heads must be cleaned regularly.
5. Rubber bands and paper clips should never be attached to disks. Labels should be written before they are attached to the disk. Disks should be promptly returned to their sleeves after use and stored upright without pressure on the disk face.
6. Floppy disks should be stored away from strong magnetic fields and never on the central processing unit of the microcomputer as this will result in degradation of information.
7. Important inactive data requiring preservation should be copied to a new disk every two years.

#### Arranging Computer Files:

1. Consider developing a departmental policy to ensure that computer files are maintained, and arranged in a uniform manner. This will help to prevent loss of information due to staffing changes.
2. Maintain different types of documents on different diskettes, for instance, budget, correspondence, and out-going memoranda should be maintained on separate disks.



If possible follow the arrangement of paper-based records in your units' filing system when establishing computer files.

3. Unless security is necessary label all computer files as clearly as possible. Files are useless if their contents are unknown. Include optional extension characters where available to indicate either the file author's name or the type of document stored, such as MEM (memorandum), BUD (budget), or LET (letter).
4. Use a new or blank disk each year for every type of document. This will make it easier to identify and erase obsolete information, and to identify files which should be retained in the Archives.

## MICROGRAPHICS

Departments considering microfilming as a solution to record storage problems may contact the Archives for free advice. We can supply technical information on quality standards for microfilm and suggest appropriate formats for various types of records. In addition, the Archives serves as an offsite storage area for duplicate or archival copies of microform records. Before undertaking microfilming projects units should contact the Archives to obtain approval for the disposition of the original records.

Converting records to a microform is expensive but it can be cost effective under certain circumstances. In general, microfilming for records management purposes should be undertaken as soon as possible after the record is created. This will maximize the time savings provided by having easier access to the records. The microform copy will also be used more often which may help to justify the expense. This is because, in theory, using the microfilm copy is faster and thus increases productivity.

Units should consider microfilming on a cost effective basis. Usually, only records which have long term value can be microfilmed with an eventual cost savings. Records that require less than a ten year retention period can normally be stored most efficiently in the original paper format. Because of the low annual cost of floor space in the Archives, it generally takes up to fifteen years before the initial cost of microfilming paper records *equals* the cost of storing the hard copy in the Archives. Records which have been microfilmed should be destroyed only after notifying the Archives. Failure to dispose of the original records means that there will be no space or fiscal savings as a result of microfilming. Except in rare circumstances, this may signify a wasted expenditure.



## **DISPOSITION OF UNIVERSITY RECORDS**

Because of our limited resources, it is essential that we operate the Archives in the most efficient manner possible. When records are no longer of historical, legal, or administrative value to the University, the Archives staff will begin steps toward disposition of the records. Unit administrators will be notified and asked to approve (or disapprove with justification) the scheduled destruction of records. On approval, Archives staff will oversee the appropriate disposition of the records.

Units wishing to destroy important University records are reminded that such destruction can take place only on the joint approval of the unit administrator and the Director of the Archives. To facilitate this, a form providing for joint approval is available on request from the University Archives (see figure). This form should be completed by all units intending to dispose of University records. Completion and processing of this form prior to the destruction of records by the unit of origin will help to ensure that records of continuing value are preserved. The form is designed to account for records which have been preapproved for destruction by unit record retention schedules. The form also provides the Archives with an estimate of the volume and kinds of MSU records being destroyed, essential information for auditing compliance with University retention schedules. The Director of the University Archives may either approve or disapprove the destruction of records.

**IF YOU HAVE ANY QUESTIONS CALL THE ARCHIVES AT 355-2330**

## Disposition Notification Form

Please prepare three copies. Send original and one copy to Archives.

### NOTICE OF INTENT TO DESTROY MSU RECORDS

The records described are no longer of practical use to this office. Destruction of these records does not violate University, State, or Federal requirements governing their retention. The records will be destroyed in order to improve office efficiency and/or to protect individual rights to privacy as ensured by Michigan State University's policies and guidelines.

DEPARTMENT OR OFFICE: EFFECTIVE LIVING DEPARTMENT	DATE: 12-25-88	TELEPHONE: 355-0000
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This notice covers the destruction of these records on a one-time   X   or continuing        basis (please check one).

Records will be shredded       , dumped   X  , recycled        (please indicate).

Description of Records	Volume	Span Dates	For Archives Use
<u>Accounts</u>			
11-XXXX	3 cu. ft.	1978-1985	
21-XXXX	1 cu. ft.	1982-1984	
Payroll records	4 cu. ft.	1972-1984	
Journal vouchers	1 cu. ft.	1982-1984	
Travel authorization forms	.5 cu. ft.	1985	
<u>Personnel</u>			
Position search files	2 cu. ft.	1966-1976	
<u>Research</u>			
Inactive grant proposals	2 cu. ft.	1978-1984	
Reprints of journal articles	2 cu. ft.	1934-1965	

#### APPROVALS

UNIT HEAD	DATE	DIRECTOR OF ARCHIVES	DATE
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#### FOR ARCHIVES USE:

Record Group No.: UA 22.25

Scheduled Records: yes

#### COMMENTS:

Shred position search files.





## MICHIGAN STATE UNIVERSITY

PLEASE PREPARE IN TRIPLICATE. SEND THE ORIGINAL AND ONE COPY TO THE ARCHIVES.

## APPROVALS

1. Department or Unit

UNIT HEAD (SIGNATURE)

2) Date Prepared

Director of Archives (Signature)

### 3) Description of Records

4) Date(s)

5) Amount  
(File  
Drawers or  
Fraction)

|| FOR ARCHIVES USE

Retain  
in  
Office

Transfer  
to  
Archives

Destroy



FOR ARCHIVES USE

Accession Number
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Date Received
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Director of Archives

## 9) Dates

FOR ARCHIVES  
USE

0)	Comments
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## Records Transmittal and Inventory

SUPPLEMENTARY PAGE

FOR ARCHIVES USE

Accession Number
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[illegible]

### 6) Comments



COMMENTS :

