

HANDBOOK FOR MANAGING INACTIVE RECORDS

AT

MICHIGAN STATE UNIVERSITY

April 1, 1977

In 1969 the Board of Trustees established an archival program which provided that 1) the important inactive records of the University should be preserved to meet legal requirements or fiscal or administrative needs or because of historical significance, 2) those inactive records which are to be preserved should be transferred to the Archives, and 3) non-essential records should be destroyed upon the joint approval of the head of the unit in which they are produced or accumulated and the director of the Archives.

As defined by law, the records of a public agency include files of letters sent and received, books, photographs, maps, drawings, tapes or other documents or copies thereof that have been made by that agency or received by it in connection with the transaction of its business. Those records which are not currently in use in an agency, but which must be retained for future legal, fiscal or administrative uses or because they contain historically significant information are defined as inactive records.

This handbook has been prepared to assist University officials and members of their staffs in the management of their inactive records, especially the selection, preparation and transfer of such records to the Archives. The procedures for transfer of records which are enumerated in this handbook supercede those in the 1973 Records Control Manual.

MAINTENANCE OF INACTIVE RECORDS: PROBLEMS

The maintenance of inactive records in University offices poses some problems, not the least of which is the cost. Usually records are filed in expensive vertical or lateral filing cabinets. If allowance is made for aisles and work area, a filing cabinet will occupy about

six square feet of space. Office space is valued at an average cost of six dollars per square foot per year in the University. Thus the average cost of space per year to place a filing cabinet in an office is about \$36.00. Since a four-drawer file contains about 8 cubic feet of records, the cost of floor space is approximately \$4.50 per cubic foot of records per year. This does not include the initial purchase price of the cabinet which is about \$13.00 per cubic foot, or the salaries of personnel to maintain the file. Under present practice many offices simply purchase another file cabinet when their cabinets are full, resulting in increased expense and increased use of valuable floor space.

The cost for records storage in the University Archives is considerably less than the cost for office storage of records. Archives space costs approximately one third the cost of office floor space (\$2.00 vs. \$6.00 per square foot). Through the use of special equipment the Archives can store three times the amount of records per square foot that can be stored in an equivalent amount of office floor space. Likewise there is a corresponding reduction in archival equipment versus office equipment costs. Office storage equipment costs \$13.00 and up per cubic foot of records, whereas archival equipment costs are presently \$3.70 per cubic foot of records. The net result to the University is that storage of inactive records in the University Archives costs approximately one seventh the cost, spacewise, of equivalent storage in offices. Equipment costs for Archives storage are less than one fourth the equipment costs for office storage.

Other factors should also be considered. In files crowded with both current and inactive records filing becomes more difficult and tedious,

and the probability of misfiling is increased. Searching for misplaced records is frustrating and costly. In addition, the file cabinets required to house inactive records take up valuable space and increase the congestion in the office. Storage in closets, basements or other areas where the records are susceptible to environmental damage and tampering is not an acceptable alternative.

MAINTENANCE OF INACTIVE RECORDS: SOLUTION

The only 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, maintained economically, and retrieved quickly when needed. The archival storage areas are designed to ensure maximum environmental and physical security. To eliminate the possibility of unauthorized use of records, the Archives storage areas are closed to individuals unless they are accompanied by a member of the Archives staff.

SELECTING RECORDS FOR TRANSFER TO THE UNIVERSITY ARCHIVES

Not all records belong in the Archives. Only inactive records should be transferred. Active records--those which are used frequently--should be kept in the office under the supervision of its head until the office no longer needs them.

In order to ascertain the actions which should be taken with regard to records, retention and disposal schedules will eventually be made for each University office. Such schedules will be created by the Archives staff working closely with the department or unit. Retention and disposal schedules will provide for the systematic and orderly transfer of records from office files. They are designed to 1) identify

the various types of records held by each office, 2) identify the permanent records which must be preserved, and 3) specify the length of time the office should maintain the records, and the time when the records should be transferred to the Archives or be destroyed.

At the present time, however, budget and staff limitations do not allow for the examination of records presently in University offices, except on an ad hoc basis. Such examination is necessary to produce retention and disposal schedules. Therefore, under present procedures for the transfer or disposal of records, the office desiring to transfer records from its files must complete two forms. The first is entitled "Identification of University Records". This form, when completed, identifies the types, dates, and amounts of records held by the office. It also identifies, after joint approval by the Archives and the department or unit, 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 to be destroyed. (See sample form on page 6.) It will thus be necessary to list on the second form, "Records Transmittal and Inventory", only those records transferred to the Archives. This completed form provides a folder-by-folder inventory of the transferred records, and enables the transferring office to specifically identify records when it requests information from the Archives. It is essential that the records be listed completely and accurately on this form; time spent on the inventory list will be repaid later in rapid retrieval of information. (See sample forms on pages 11 and 12.)

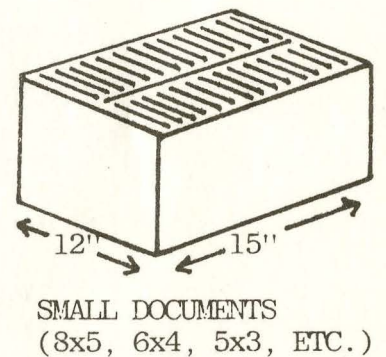
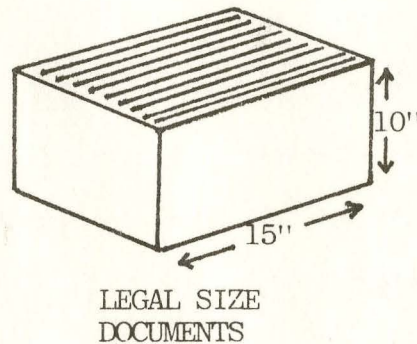
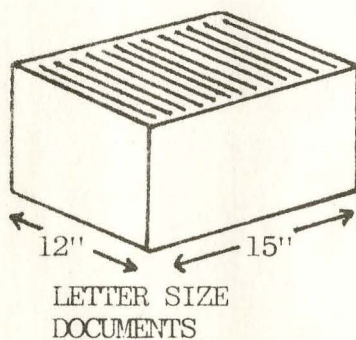
TRANSFER PROCEDURES

1. The department or office should telephone the Archives (355-2330) to indicate that it has records to be removed from its files.
2. The Archives will send "Identification of University Records" forms to the office.
3. The office should complete the "Identification of University Records" form, supplying information under items 1 through 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. (See sample form on page 6.)
4. The Archives will recommend the appropriate disposition for each type of record listed and will return two copies of the form to the office.
5. The chairman or head of the unit should sign the form in the appropriate space if he or she approves the recommendations. If questions arise concerning the recommendations the Archives should be contacted. The office should then return one copy of the form to the Archives and retain the other for its files. The temporary copy filed earlier may be destroyed at this time.

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 College of Social Science, Office of the Dean			Chairman or Head of Unit (Signature)		
2) Date Prepared 2-15-76			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	1971	1/2			
Tenure Committee	1971	1/4			
Student Affairs Committee	1971	1/4			
All-College Faculty Meetings	1971	1/4			
budget files:					
purchase orders and invoices	1970-1971	1/2			
fund ledgers	1968-1971	1/2			
travel reports	1965-1970	1			
student payroll records	1968-1973	1/4			
publications					
<u>Handbook of Undergraduate Courses</u>	1966-1972	1/2			
<u>Guest Speaker Series</u>	1970-1972	3/4			
Report: Follow-Up of Social Science Graduates (with supporting materials)	1970	1			

6. The Archives will send records storage containers¹ and "Records Transmittal and Inventory" forms to the office. Additional containers and forms are available upon request.
7. Without disturbing the existing file arrangement, pack records firmly in the containers. Do not force them. To make later reference easier, records should not be packed so tightly that later withdrawal is difficult. 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. When both legal-size and letter-size files are mixed within the same container, pack them across the fifteen-inch side. Likewise, pack hanging files across the fifteen-inch side. Records smaller than conventional letter- or legal-size files should be packed in records storage containers using the most practical arrangement possible.



¹To make the most efficient use of space in the Archives, records are stored in standard-sized records storage containers. These containers are also used to transfer records to the Archives. File cabinets, transfer files, or other boxes should never be used. The records storage containers have inside dimensions of ten inches by twelve inches by fifteen inches and hold one cubic foot of records. They are especially designed to use with the Archives shelving and are constructed of durable materials capable of protecting records from dust, smoke, water damage, and other environmental hazards.

Number folders as records are packed. Each box should begin with folder 1. Number containers consecutively as they are packed. Place the cover securely on the container. Do not tape or fasten it. 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 wrapped in paper or packed in cardboard tubes and labeled.

A University Archives label must be attached to each container.

Fill in the spaces as directed below.

Accession No.: Leave this space blank. The Archives staff will assign this number when containers arrive at the Archives storage area.

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".

Office sending records: Enter the name of the office preparing the shipment.

The label has a water-soluble adhesive backing. Place it on the twelve-inch side of the container below the handle cut-out. Use only one label per container.

MICHIGAN STATE UNIVERSITY

ARCHIVES

ACCESSION NO.

BOX NO. 2 of 7

OFFICE SENDING RECORDS

Office of the Provost

O 10062

Completing the "Records Transmittal and Inventory". This form consists of a first page and a supplementary page. (See sample forms on pages 11 and 12.) 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. For every shipment of records, the office should complete one first page and as many supplementary pages as are necessary to list all folder titles in the shipment.

The office should prepare three copies of the "Records Transmittal and Inventory". Information should be supplied under items 1 through 10 as directed below.

- Item 1) name of the office transferring records
 - 2) date the form is prepared
 - 3) signature and title of the head of the unit
 - 4 and 5) name and telephone number of the person packing containers and completing the form
 - 6 and 7) box and folder numbers of records in the shipment
 - 8 and 9) complete file folder titles and inclusive dates of materials contained in folders
 - 10) Write "none" in this space if there are no restrictions on use. If records are restricted indicate box and folder numbers and specify length of time restrictions are in effect.
- (Refer to Records Control Manual, page 8.)

The office should complete items 1 through 6 on supplementary pages of the "Records Transmittal and Inventory".

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. (See page 12.)

Records which are not sent in standard records containers should be listed separately under "File Folder Title" on the "Records Transmittal and Inventory" form. 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., microfilm, audiotape, etc.

The original and one copy of the form should be sent to the Archives.

MICHIGAN STATE UNIVERSITY
University Archives and Historical Collections
Records Transmittal and Inventory

page 1 of 2

PLEASE PREPARE IN TRIPLICATE. SEND THE ORIGINAL AND ONE COPY TO THE ARCHIVES.				FOR ARCHIVES USE
1) Department or Unit Department of English		2) Date 7-7-74		Accession Number
3) Chairman or Head of Unit (Signature and Title) <i>John Doe</i> , Chairman				Date Received
4) Person Preparing Shipment Joan Smith		5) Telephone Number 355-0000		Director of Archives
Box 6) 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	Chairmen's meetings	1970	
1	7	Chairmen's meetings	1971	
1	8	Chairmen's meetings	1972	
1	9	Chairmen's meetings	1973	
1	10	NDEA	1969-70	
1	11	NDEA	1970-71	
1	12	Placement	1971-72	
1	13	Placement	1972-73	
1	14	Scheduling	1972-73	
1	15	Summer Session	1969	
1	16	Summer Session	1970-72	
1	17	Waivers - Gen. Ed. Courses	1971	
1	18	Waivers - Gen. Ed. Courses	1972	
1	19	Staff meetings - minutes	1967-68	
1	20	Staff meetings - minutes	1968-69	
1	21	Staff meetings - minutes	1969-70	
1	22	Staff meetings - minutes	1970-71	

10) Restrictions on Use of Records (If no restrictions, write "none".)

none

SUPPLEMENTARY PAGE

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

FOR ARCHIVES USE

1) Department or Unit

Accession Number

Department of English

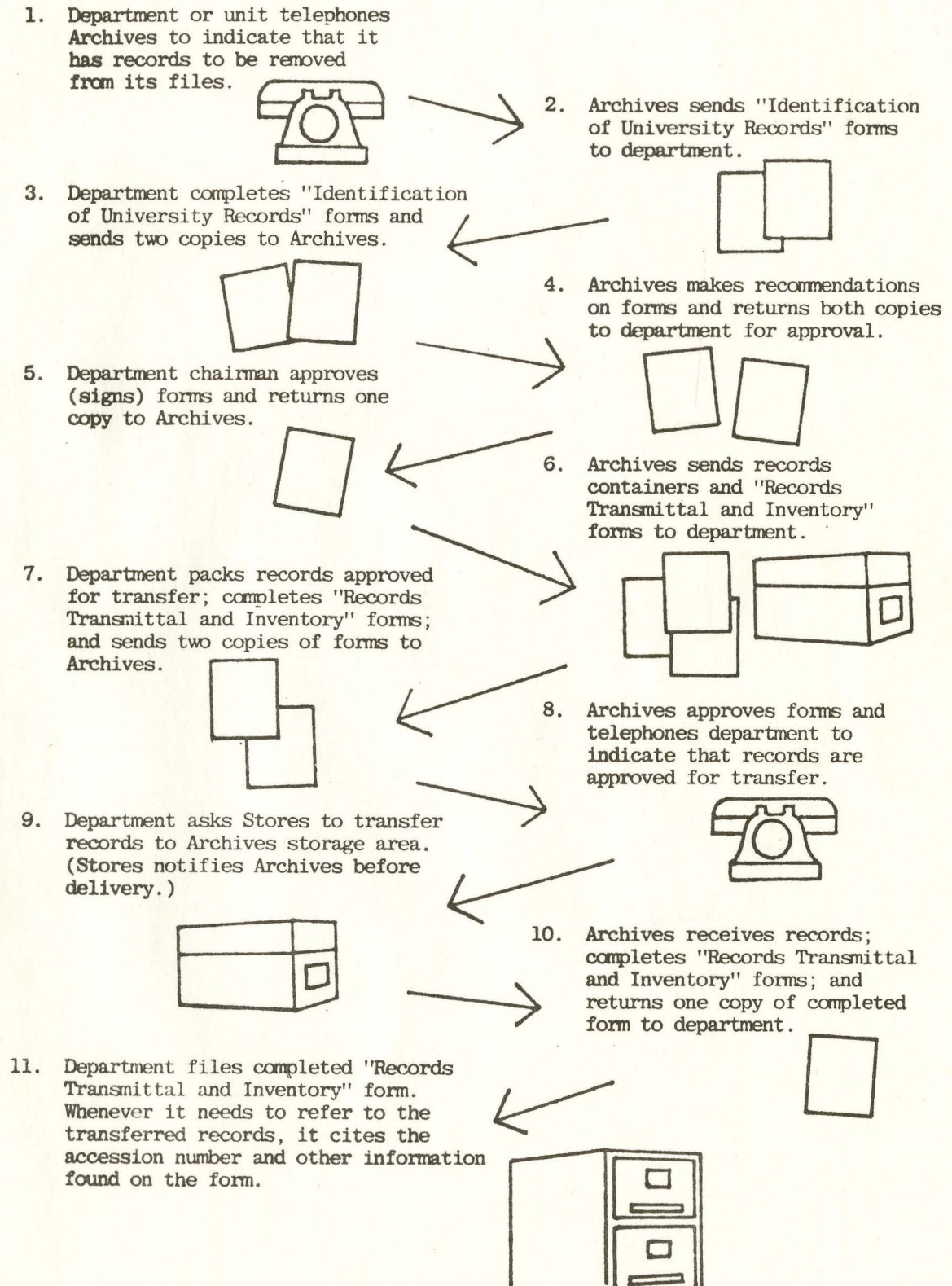
[illegible]

6) Restrictions on Use of Records (If no restrictions, write "none".)

none

8. The Archives staff will check the form to ensure that it is complete and will then telephone the office to indicate that the records may be sent.
9. After receiving approval from the Archives to transfer the records, the office telephones M.S.U. Stores to request that the records be moved to the Archives storage area, A-1E Wells Hall. Be sure to state that the Archives must be contacted by Stores prior to delivery in order to receive the shipment at its storage area.
10. The Archives will receive the shipment, note its receipt on the "Records Transmittal and Inventory" form, and return one copy of the form to the office.
11. The office should file the completed "Records Transmittal and Inventory" form, discarding the temporary copy filed earlier. The office should note that 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.

Procedures



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, and 3) temporary return of records to the transferring office.

Requests for reference service may be made by telephone or in writing. Written requests should be made using the "Request for Reference Service" form which is available from the Archives. When requests are made by telephone, the form will be completed by a member of the Archives staff. (See sample form on page 17.)

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. Departmental personnel must complete a "Request for Reference Service" before consulting records.

In completing the form, check the type of reference service requested. List the accession number, box number, folder number and file folder title where the requested records or information can be found. To obtain this information, consult the office copy of the completed "Records Transmittal and Inventory" form. Add any remarks or special instructions in the space provided. Each "Request for Reference Service" must contain the name of the office making the reference request and the name and title of the person within the office authorized to consult records transferred to the Archives. The chairman of the department or head of the unit must sign the "Request for Reference Service" if temporary return of records is requested.

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.

Copies of records furnished by the Archives are for information only. They should not be filed in the office file cabinets. They should be destroyed when no longer needed.

Records removed from the Archives should be returned as soon as they are no longer needed. They should be accompanied by the "Request for Reference Service" which will accompany the records being temporarily returned. This will enable the Archives staff to easily identify the returned records and place them in their proper containers.

MICHIGAN STATE UNIVERSITY
Archives
Request for Reference Service

Type of Service Requested (Check one only)

☒ Copies of Records ☐ Information from Records ☐ Temporary Return of Records

Accession No.	Box No.	Folder No.	File Folder Title
UA 306	1	6	Faculty meetings, spring term 1965

Remarks

Copies of the minutes of the April 6, 1965 meeting only.

Name of Requesting Office
Department of Mathematics

Date
2-9-77

Signature and Title

Mary Smith, Chairman

FOR ARCHIVES USE