

# **Transferring Records to the St. Cloud State University Archives**

**Why Transfer Records**

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If you have any questions, please contact University Archives at:

Phone: (320) 308-4753

Email: [archives@stcloudstate.edu](mailto:archives@stcloudstate.edu)

Web: <http://lrts.stcloudstate.edu/library/special/archives/>

Address:

St. Cloud State University Archives  
314 Miller Center  
720 Fourth Avenue South  
St. Cloud, MN 56301

## **Why Transfer Records**

### **Policy**

On March 21, 1977, St. Cloud State University President Charles J. Graham established the University Archives for the purpose of “the collection and preservation of the official records of the University; the collection and preservation of private papers of those persons and corporate bodies associated with the University.”

### **Posterity**

By law, all records created by public agencies, such as St. Cloud State University, must be managed and made accessible. By transferring records of permanent value to University Archives, it ensures that the information will be accessible. Without records from all offices, important information will be lost.

### **Practicalities**

Office space and/or file cabinet space can be saved by transferring seldom used records to the University Archives.

By transferring the seldom used records, University Archives is responsible for caring for them and searching them when necessary. The information will always be available; there is even a bonus: by combining the resources of the many departments that transfer records, a full and accurate research service can be provided.

## What Records to Transfer

To assist in the decision of what records to transfer and what records not to transfer, please consult the university-wide record retention schedule available at:

<http://lrts.stcloudstate.edu/library/special/archives/documents/SCSURetentionSchedule.pdf>

### **State of Minnesota statute 138.17 defines *records* as:**

Cards, correspondence, disks, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings, optical disks, other data, information, or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an officer or agency of the state and an officer or agency of a county, city, town, school district, municipal subdivision or corporation or other public authority or political entity within the state pursuant to state law or in connection with the transaction of public business by an officer or agency.

Records to be transferred to University Archives are those that are no longer used but document the purpose and function, records that have “permanent” value to St. Cloud State University. These include:

### **Primary office activities**

Primary office activities include work directly related to the main responsibilities of the office. A few examples include:

- planning and construction of a new building
- establishing new curriculum programs
- administering external grants
- conducting a fundraising campaign

### **Oversight/coordination activities**

Oversight and coordination activities include work necessary to keep all the separate programs and services working as a coherent whole. Examples include:

- convening a task force to recommend requirements for a new athletic complex
- planning and coordinating the university accreditation effort
- reporting progress to supervisors

Examples of documents to be transferred to University Archives are:

- Contracts
- Correspondence
- Memoranda
- Minutes (of faculty, staff, and student groups)
- Organizational charts
- Photographs of university people, places, events (if identified)
- Policies and procedures
- Publications, such as annual reports, directories, financial reports, handbooks, newsletters
- Reports

*University Archives does not want the following records.*

### **Routine support activities**

It is not appropriate to send records of activities necessary to support primary office activities. Examples include:

- Purchasing office supplies
- Making travel arrangements
- Submitting work orders
- Replying to routine requests

Examples of documents include:

- Letters of transmittal
- Work orders
- Confirmations
- Reservations
- Itineraries
- Receipts
- Acknowledgments
- Monthly budget statements
- Salary distribution reports

### **Reference copies**

Offices will also have documents which were not they did not create but distributed throughout the university. University Archives receives the record copy from the office of origin. Examples include:

- President's Annual Report
- SCSU Bulletin
- Faculty/Staff Directory

**External publications**

Offices often collect publications or brochures from institutions outside of the university and kept for reference purposes. These records should not be sent to University Archives. Examples include:

- Annual reports from outside grant foundations
- Brochures from civic groups or professional groups
- IRS codes regarding the tax status of foreign visitors

**Never send**

- Blank forms
- Blank stationery
- Blank envelopes

## How to Transfer Records

These instructions are for paper records transferred to University Archives. Offices that consider transferring digital records, please contact University Archives.

Cooperation with these procedures will allow University Archives to preserve and make accessible records more efficiently. If you have any questions, please contact University Archives at 308-4753 or [archives@stcloudstate.edu](mailto:archives@stcloudstate.edu).

### Preparation of folders

- Records should be in folders with legible labels securely attached to the folders.
- The folder label should reflect the contents of the folder. For example:

A folder full of president's annual reports should be labeled: President's Annual Reports, 2001-2005; an incorrect folder label would be: Roy Saigo

- All obsolete folder labels should be removed or scratched out.
- Pendaflex folders should not be used; they break open the boxes. Re-folder the items in manila-type file folders.
- Folders should be packed in the order they were kept by your office.

### Preparation of boxlist

- A list of folder titles (called a box list) should be made for each box and placed in box 1. You should keep a copy for your records.
- A digital box list that list the folder titles of each box of paper records should be prepared and sent, either in the body of an e-mail message, or as an attachment, to: [archives@stcloudstate.edu](mailto:archives@stcloudstate.edu). If it is sent as an attachment, the document should be a text file (e.g. ASCII or RTF), Word, or Excel.

### Preparation of boxes

- Sturdy boxes with a double-bottom, 12" wide x 15" deep x 10" high, or smaller, should be used. Larger boxes will not fit on the shelves and present a safety hazard for staff.
- Boxes should have lift-off lids, not attached lids. Do not tape lids to boxes.
- If the box lid does not fit properly, you may have to repack some of the items.
- Boxes should be labeled on the outside with your name, office name, and number of boxes: e.g. John Doe, President's Office, 1 of 2, John Doe, President's Office, 2 of 2.

## **Notifications**

- Call University Archives at (320) 308-4753 or send e-mail to [archives@stcloudstate.edu](mailto:archives@stcloudstate.edu) so that we may expect your records. If not, no one may be in University Archives to accept your records and may be left outside unsecured until staff arrives.
- Offices transferring records **MUST** arrange delivery to University Archives. The University Archives cannot pick up records to be transferred.

## When to Transfer Records

To assist in the decision of what records to transfer and what records not to transfer, please consult St. Cloud States records retention schedule. It is available at:

<http://lrts.stcloudstate.edu/library/special/archives/documents/SCSURetentionSchedule.pdf>

Active records should not be sent to the University Archives. Records are active when the work to which they relate is ongoing or when they are frequently consulted for routine business.

University Archives only accepts inactive records. Being inactive does not mean records are useless. It means that their primary job is finished. Records are considered inactive when:

- The job the records were created to do is finished. For example:

The event is over, and all the bills have been reconciled, and all the acknowledgments have been sent, and all the follow-ups have been made.

- The process and outcome of the activity the records document are not likely to be challenged. For example:

The campaign for the new library is over, and the books have been audited, and the campaign has been evaluated.

- They are not needed as an example for a repeating activity. For example:

Homecoming events are planned for each year. Using the end of the calendar year as a cut-off date, transfer records that are three years old.

As a rule of thumb, if the records have not been referred to in three years, they are inactive.

Records can be categorized in several ways. Here are some examples along with the rationale to support these choices.

### **Project Files**

It is important to keep the documentation of a project or event together. For example, the planning, construction, and occupation of the Miller Center took several years. Do not pull out the first 3 years of the project and transfer them. Keep all the records together until the project is completed and transfer them as a whole.



Another example might be: Alumni Affairs plans the Golden Anniversary weekend every year. You may wish to keep the most recent 2 years of reunion records to refer to, but not need anything older. You find this is true for all the alumni events you plan and coordinate. You then decide to transfer 3-year old event files annually.

### **Case Files**

Each file contains the same kinds of records that result from the same set of activities. The files are differentiated from one another by the distinct cases they document. For example, dean's office student files document the progression of students from the date they matriculate until their commencement or withdrawal. There is one file for each student.

### **Subject Files**

There is no set time period for transferring these types of files. These are files which are organized by topics, and do not readily fall into the other categories. They contain documents concerning a wide variety of functions and activities. (They are also called topical files.) These activities are often ongoing, i.e. there is no end date.

For example, an office has all documents regarding dormitories and room and board in a file called "Housing." Documents are filed here until the folder is full, the folder label encompasses its span dates (e.g. 1995-2000). A new folder is created with the same folder title and consecutive span dates (e.g. Housing, 2001- ) and the end date is filled in when the folder is full.

Housing, 1995-2000

Housing, 2001-

Another example might include a heading with folder titles. A general folder is created for endowed professorships for procedural and establishment information which is labeled "Endowed Professorships." Separate folders are needed for each chair. For example:

Endowed Professorships, 1979-1990

Endowed Professorships. George F. Budd, 1982-1987

Endowed Professorships. Ira Shoemaker Assistant Professorship, 1984-1987

Endowed Professorships. Garvey University Professorship, 1986-1990

When a file is closed (e.g. Housing, 1995-2000), and no longer active, then it could be transferred to University Archives.

### **Frequency of Transfer**

As with most maintenance activities, transferring records on a regular schedule can minimize the pain and inconvenience and improve your efficiency. University Archives recommends that offices review their records annually. Some offices incorporate it as part of end of fiscal year activities and preparation of annual report.

### **Volume**

Do not worry if only send 1 box a year is sent to University Archives. Volume does not matter. In this case, quality of the records is what counts.

*Approved by University Archives Advisory Committee – April 5, 2012*

**ST. CLOUD STATE UNIVERSITY ARCHIVES AND SPECIAL COLLECTIONS**

**Transfer of University Records**

*FOR ARCHIVES USE ONLY*

Date:

Accession number:

*FOR TRANSFERRING OFFICE*

Transferring Office:	Contact Person:
Building and Room:	Phone and Email:

Creator:	Number of boxes:
Brief description of records:	Date span:

If known, do the records contain confidential information?    Yes    No	
If yes, circle those that apply:	
Social Security numbers	Student academic performance
Evaluation and discipline	Student financial
Medical	Other:
Which boxes contain the confidential information?	

**Terms of Transfer**

1. Upon transfer, the records become property of the University Archives.
2. Materials transferred to the University Archives that are not processed will be available to the creating office for reference and limited loans.
3. The St. Cloud State University Archives and Special Collections have the right to dispose of records it determines to have no long-term value.

I understand the terms and conditions outlined above and transfer the specified material to the St. Cloud State University Archives and Special Collections.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

University Archivist's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**St. Cloud State University Archives**  
**Transfer Form Instructions**

*Data Entered by University Archives*

1. Date: Enter date that the accession was transferred to University Archives.
2. Accession Number: Enter the next available accession number.

*Data Entered by Transferring Office*

3. First box

<b>Field</b>	<b>Data</b>
Transferring Office	Name of the office transferring records to Archives
Contact Person	Name of person transferring records to Archives
Building and Room	Location of the office transferring records to Archives
Phone and Email	Contact information for the person transferring records to Archives

4. Second box

<b>Field</b>	<b>Data</b>
Creator	Person responsible for creating the records
Number of boxes	Number of boxes being transferred to Archives
Brief Description of Records	Description of the records themselves, information they contain
Date Span	Years represented in the records (i.e. 1975-1990)

5. Third box

<b>Field</b>	<b>Data</b>
Confidential information	Circle yes or no
If yes, circle...	Circle the categories of confidential information that are contained in the records being transferred to Archives
Which boxes...	The boxes should be numbered – identify which boxes contain the confidential information

6. Please sign and date the form and return to University Archives. Once the University Archives has verified the contents of the accession, the University Archivist will sign the form and return a copy to your office.

ST. CLOUD STATE UNIVERSITY ARCHIVES AND SPECIAL COLLECTIONS  
Transfer of University Records (4/2009)

FOR ARCHIVES USE ONLY

Date: 7/1/2008

Accession number: A09-001

FOR TRANSFERRING OFFICE

Transferring Office President's office	Contact Person Sue Prout
Building and Room number AS 200	Phone and Email x 2123 smprou@stcloud.edu

Creator Roy Saigo	Number of boxes 15
Brief description of records Office files dealing with finances, promotion and tenure, students, and buildings	Date Span 2003 - 2004

If known, do the records contain confidential information?  Yes  No

If yes, circle those that apply:

<input checked="" type="checkbox"/> Social Security numbers	<input type="checkbox"/> Student academic performance
<input checked="" type="checkbox"/> Evaluation and discipline	<input type="checkbox"/> Student financial
<input type="checkbox"/> Medical	<input type="checkbox"/> Other :

Which boxes contain the confidential information? 7, 10, 12

Terms of Transfer

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3. The St. Cloud State University Archives and Special Collections have the right to dispose of records it determines to have no long-term value.

I understand the terms and conditions outlined above and transfer the specified material to the St. Cloud State University Archives and Special Collections.

Signature: Signature Date: 7/1/08

University Archivist's Signature: [Signature] Date: 7/10/08