

**APPLICATION FOR AUTHORITY  
TO DISPOSE OF STATE RECORDS**

Application No. 07-11  
Page 1 of 112

**STATE OF ILLINOIS  
STATE RECORDS COMMISSION**

STATE RECORDS UNIT  
ILLINOIS STATE ARCHIVES  
SPRINGFIELD, IL 62756  
(217)782-2647

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AGENCY

Southern Illinois University at Edwardsville

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DIVISION

Vice Chancellor for Administration

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SUBDIVISION

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Pursuant to the provisions of the *State Records Act* (5 ILCS 160/1 et seq.), I hereby request authority to dispose of state government records according to the schedule which follows. I certify that those records to be disposed of will not be needed in the transaction of current business nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this agency. I also certify that any microfilm copies will be made in accordance with the standards of the State Records Commission and will be adequate substitutes for the original records.

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SIGNATURE OF AGENCY HEAD

DATE

ACTION TAKEN BY  
THE  
STATE RECORDS  
COMMISSION

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*David A. Joens*  
CHAIRMAN

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*Thomas F. Schwartz, by G.S.*  
SECRETARY

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November 18, 2009  
DATE

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**RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF PROVIDING:**

- the individual retention period is complete;
- all audits have been completed under the supervision of the Auditor General and no litigation is pending or anticipated;
- the items are correctly listed on a Records Disposal Certificate submitted to and approved by the State Records Commission 30 days prior to disposal.

Certain records, as stipulated on this application, may be microfilmed and the original hardcopy record disposed of if the record is microfilmed in accordance with the standards of the State Records Commission Rules and if the film is retained for the prescribed retention period. **Disposal of records after microfilming must be noted on a Records Disposal Certificate.**

**THIS APPLICATION AND ANY RELATED RECORDS DISPOSAL CERTIFICATES  
ARE TO BE RETAINED PERMANENTLY.**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**Definitions:**

“Routine documents” are defined as:

- Extra copies of documents, blank forms, or reports preserved only for ease of reference or for supply purposes, where one copy has been retained for record purposes;
- letters of transmittal and acknowledgment;
- Non-personally addressed, unsolicited correspondence and communications that originate outside of the College, such as "Deans and Directors" memoranda;
- Requests for publications or information after the requests have been filled;
- Replies to questionnaires, where the summary results have been retained for record purposes,
- Material not filed as evidence of administrative activity or for the informational content thereof, including—
  - Working notes, where a final report has been issued
  - Documents regarding regular office functions, such as correspondence requesting supplies, scheduling meetings, or informing others of an employee absence, where a record copy of financial or personnel actions is retained in another record series.

“in a Secure Manner” is defined as:

- Shredding or other methods used to destroy records in a controlled environment so the information contained therein can no longer be viewed or otherwise accessed.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Application 07-11 was deferred 9/16/09 in its entirety to make all changes suggested by the Commission.

**EXECUTIVE OFFICE**

**100.01 Construction Project Correspondence Files (Planning and Information Systems) (Originals) (Hardcopy and Electronic)**

Dates: 1988 -  
Volume: 25 Cu. Ft. /7.5 GB  
Annual Accumulation: 1 Cu. Ft. / 300 MB  
Arrangement: Alphabetical by project

This record series consists of the correspondence relating to construction projects maintained by this office. The records contain correspondence generated in the process of construction/renovation projects of university buildings as approved by the Board of Trustees and/or the Capital Development Board. Project proposals, blueprints, and other architectural/engineering drawings are maintained and scheduled for disposition centrally under the Office of Physical Plant and Purchasing.

Recommendation: Retain all routine documents in office for three years after the completion of the corresponding projects, then dispose of or delete from the system providing all audits have been completed and no litigation is pending or anticipated. Print all digital non-routine documents and dispose of digital originals. Transfer all hardcopy non-routine documents to the University Archives for permanent retention.

**Disposition  
Approved as  
Amended  
11/18/09**



Item No.

Record Series Title, Description and Recommendation

Action Taken

**EXECUTIVE OFFICE**

**100.04 Facilities Use License Agreements and Related Releases (Originals)**

Dates: 2009-  
Volume: 1 Cubic Feet  
Annual Accumulation: ½ Cubic Feet  
Arrangement: Chronological and Alphabetical

This record series consists of a form which allows various groups and organizations to use university buildings or grounds for special events (e.g. charity walks) and provides that any liability will be handled by the event sponsors. The forms include specific details as to when, where, and how the event is to proceed and may also include additional liability release forms for higher risk events (e.g. motorcross racing).

Recommendation: Retain in the office for five (5) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/19/12**

**100.05 Designated Public Forum Agreements (Originals)**

Dates: 2009-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This record series consists of a form which permits individuals to use a designated area on the University Quad to speak or distribute flyers in order to promote a cause or event, etc. The form includes the time and date of the event and any related instructions.

Recommendation: Retain in office for one (1) year, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/19/12**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**ADMINISTRATIVE ACCOUNTING AND DISBURSEMENTS**

**110.01 Account Listings (Originals) (Hardcopy) (Electronic)**

Dates: 1967 -  
Volume: 16 Cu. Ft. / 4.8 GB  
Annual Accumulation: 1/2 Cu. Ft. / 150 MB  
Arrangement: Alphabetical/Numerical

This record series consists of a list of active account numbers.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from system providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.02 Accounts Receivable Quarterly Reports (Originals) (Hardcopy) (Electronic)**

Dates: 1990 -  
Volume: 24 Cu. Ft. / 7.2 GB  
Annual Accumulation: 1 Cu. Ft. / 300 MB  
Arrangement: Chronological

This record series consists of quarterly reports of accounts receivable controls. These reports and work papers are used to amalgamate the outstanding accounts receivable into the general accounting system of the university.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from system, providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.03 Accounts Receivable Ledgers (Originals) (Hardcopy) (Electronic)**

Dates: 1991 -  
Volume: 552 Cu. Ft./165.5 GB  
Annual Accumulation: 30 1/2 Cu. Ft. / 9.1 GB  
Arrangement: Chronological

This record series consists of fiscal ledgers that list various accounts receivable transactions from each fund.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from system, providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**110.04      Account Suspense Correction Work Papers (Originals) (Hardcopy) (Electronic)**

Dates:	1990 - 2007
Volume:	11 Cu. Ft. / 3.3 GB
Annual Accumulation:	1/2 Cu. Ft. / 150 MB
Arrangement:	Chronological

This record series consists of all updated corrections that have been posted to the appropriate accounts.

Recommendation:	Retain in office for two (2) fiscal years, then dispose of providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**110.05      Annual State Certifications (Originals) (Hardcopy) (Electronic)**

Dates:	1972 -
Volume:	4 Cu. Ft. / 1.2 GB
Annual Accumulation:	Negligible/ 150 MB
Arrangement:	Chronological

This property control report is generated annually as required by the State of Illinois, Department of Central Management Services.

Recommendation:	Retain in office for five (5) years, then dispose of providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**110.06      Bank Cash Reports and Disbursement Reports (Originals) (Hardcopy) (Electronic)**

Dates:	1989 -
Volume:	5 Cu. Ft. / 1.5 GB
Annual Accumulation:	1 Cu. Ft. / 300 MB
Arrangement:	Monthly

This record series consists of bank cash receipt reports, as well as disbursement reports, used as resource documents for accounting for missing checks.



Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from system, of providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**110.07      Bank Reconciliation Files (Including Check Voids) (Originals) (Hardcopy) (Electronic)**

Dates:	1990 -
Volume:	25 Cu. Ft. / 7.5 GB
Annual Accumulation:	1 1/4 Cu. Ft. / 150 MB
Arrangement:	Chronological and by bank

This record series consists of bank reconciliation schedules and lists of outstanding checks for each bank.

Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from system, of providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**110.08      Bank Statements, Debit and Credit Memos, and Bank Deposit Slips (Originals) (Hardcopy)**

Dates:	1986 -
Volume:	30 Cu. Ft.
Annual Accumulation:	1 1/3 Cu. Ft.
Arrangement:	Monthly

This record series consists of bank statements, related debit and credit memos, and bank deposit slips.

Recommendation:	Microfilm as received and processed, then dispose of original paper. Retain all record series microforms for six (6) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.09 Budget Administration Files Maintained by Administrative Accounting (Duplicates) (Hardcopy)**

Dates: 1988 - 2007  
Volume: 6 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Chronological by fiscal year

Included in the series are forms used for budget elimination adjustments. The official budget records are maintained and scheduled for disposition by the Budget Office.

Recommendation: Retain in office for two (2) fiscal years, then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.10 Capital Development Board Project Activity Files Maintained by Administrative Accounting (Property Control) (Originals) (Electronic) (Hardcopy)**

Dates: 1986 -  
Volume: 20 Cu. Ft. / 6 GB  
Annual Accumulation: 3/4 cu.ft. / 450 MB  
Arrangement: Chronological and by CDB project

This file contains monthly activity reports pertinent to property control administration connected with Capital Development Board projects and related work papers. Select information contained in this file is incorporated in the university's Annual Financial Reports.

Recommendation: Retain in office for three (3) fiscal years, then dispose of or delete from system providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.11 Central Fiscal Administration Files Maintained by Administrative Accounting (Disbursements) (Originals) (Hardcopy) (Electronic)**

Dates: 1991 -  
 Volume: 720 Cu. Ft. / 216 GB  
 Annual Accumulation: 40 Cu. Ft. / 12 GB  
 Arrangement: Numerical

This record series consists of state vouchers, local vouchers, transfer vouchers, invoice vouchers, requisitions, purchase orders, and supporting receipts and correspondence.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from system, of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.12 Changes in Fund Balance Reports (Originals) (Electronic)**

Dates: 1991 - 2003  
 Volume: 300 MB  
 Annual Accumulation: 150 MB  
 Arrangement: Monthly

These computer printouts and electronic spreadsheets detail the adjusted changes in fund balances on a monthly basis.

Recommendation: Retain in office for six (6) fiscal years, then delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.13 Clearing Account Deposit Files (Originals and Duplicates) (Hardcopy)**

Dates: 1984 – 2003  
 Volume: 2 Cu. Ft.  
 Annual Accumulation: Negligible  
 Arrangement: Chronological by week

Record series contents include original weekly receipt totals, duplicate receipt deposit transmittals, original clearing account journal entries, and general trial balance ledger entries.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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The original receipt deposit transmittals are sent to the State Comptroller's Office and maintained by that office permanently in microform per Application 77-100M.

Recommendation: Retain in office for six (6) fiscal years, then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.14 FAS Input Transaction Error/Audit List (B-101E10C's) (Originals) (Electronic) (Hardcopy)**

Dates: 1971 - 2003  
 Volume: 5 Cu. Ft. / 1.5 GB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Chronological by pay period

This record series is separated upon receipt, between cash receipt input and payroll input. This series is used for data entry into the Financial Accounting System.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.15 Fiscal Officer Delegation and Acceptance Forms (Originals) (Hardcopy)**

Dates: 1990 -  
 Volume: 2 Cu. Ft.  
 Annual Accumulation: Negligible  
 Arrangement: Alphabetical

This record series consists of the assignment of fiscal officer acceptance forms. This document is signed by new fiscal officers when a change has occurred in fiscal officer accountability for property control administration.

Recommendation: Retain in the office for two (2) fiscal years after expiration of the respective forms, then delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.16 Fixed Asset Reports (C-15's) (Originals) (Hardcopy) (Electronic)**

Dates: 1986 -  
Volume: 23 Cu. Ft. /7 GB  
Annual Accumulation: 1 Cu. Ft. /300 MB  
Arrangement: Chronological

This record series details the nature and status of all fixed assets.  
Central state government property control files are scheduled for a five (5) year retention period per Application 92-75.

Recommendation: Retain in office for five (5) fiscal years, then dispose of and/or delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.17 GAAP Reporting Forms (Agency Record Copies) (Hardcopy) (Electronic)**

Dates: 1992 -  
Volume: 2 Cu. Ft. / 600 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This record series consists of Generally Accepted Accounting Practices (GAAP) reports and related working papers generated as required in the GAAP reporting system. Original GAAP reports are maintained by the State Comptroller for seven (7) years under the provisions of approved Application 90-26.

Recommendation: Retain in office for six (6) fiscal years, then dispose of and/or delete from system provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.21 Interfund Service Cash - Travel Accounting Statements (Originals)  
(Hardcopy) (Electronic)**

Dates: 1990 - 2003  
 Volume: 13 Cu. Ft. / 4GB  
 Annual Accumulation: ½ Cu. Ft. /150 MB  
 Arrangement: Chronological

This record series consists of monthly accounting statements documenting the status and balances of the Interfund Service for cash and travel expenditures.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from system, of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.22 Interest Income Entity/Cash Balance Files (B200E20B's) (Originals)  
(Hardcopy) (Electronic)**

Dates: 1992 - 2003  
 Volume: 2 Cu. Ft. / 600 MB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Monthly

This record series consists of receipts received from interest off investments and documents the cash balances of the respective accounts on a monthly basis.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from system, of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.23 Inventory Tag Log (Originals) (Hardcopy) (Electronic)**

Dates: 1970 -  
 Volume: 5 Cu. Ft. /1.5 GB  
 Annual Accumulation: Negligible/150 MB  
 Arrangement: Chronological

This record series consists of the tagging log maintained by the Office of Property Control. The records include an accumulation of computer printouts, which make up the tag number order file.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for two (2) fiscal years following the final disposition of all documented property and equipment, then dispose of and/or delete from system providing all audits have been and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.24</b>	<b>Investment Files (Documents, Reports, and Worksheets) (Originals) (Hardcopy) (Electronic)</b>	
Dates:	1981 - 2003	
Volume:	3 Cu. Ft. / 900 MB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Securities by year	
	This record series consists of investment account statements and supporting accounting work papers.	
Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from system providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.25</b>	<b>Investment Income Transactions Files (B-A77E20's) (Originals) (Hardcopy) (Electronic)</b>	
Dates:	1991 - 2007	
Volume:	1 Cu. Ft. / 300 MB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Monthly	
	This record series consists of accounting runs of daily investment transactions and the total income derived for each month.	
Recommendation:	Retain in office for two (2) fiscal years, then dispose of or delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>



Item No.	Record Series Title, Description and Recommendation	Action Taken
110.26	<p><b>Journal Vouchers and Forms for Adjusting Journal Vouchers (Originals) (Hardcopy)</b></p> <p>Dates: 1990 - Volume: 28 Cu. Ft. Annual Accumulation: 1.5 Cu. Ft. Arrangement: Chronological/Numerical</p> <p>The record series consists of vouchers documenting various journal entries and adjustments thereof.</p> <p>Recommendation: Retain in office until the completion of the most current fiscal year audits, then scan and dispose of original paper. Retain all record series in office for six (6) fiscal years, then delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition Approved 11/18/09</b></p>
110.27	<p><b>Local and State Vouchers, Cancelled Checks, and Miscellaneous Cash Receipts Maintained by Administrative Accounting (Operations) (Originals) (Hardcopy) (Electronic)</b></p> <p>Dates: 1968 - Volume: 287 Cu. Ft./86.1GB Annual Accumulation: 7 Cu. Ft. /2.1 GB Arrangement: Chronological by month/Alphabetical</p> <p>This record series consists of local and state vouchers, cancelled checks, and miscellaneous cash receipts maintained by administrative accounting</p> <p>Original vouchers are maintained by the State Comptroller's Office for five (5) years per Application 89-34.</p> <p>Recommendation: Scan and microfilm as generated and processed, then dispose of original paper. Retain all record series microforms or electronic data for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition Approved as Amended 11/18/09</b></p>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.28 Monthly Computer Printouts and COM Accounting Reports (B485's, 3440's, and B475's) (Originals) (Hardcopy) (Electronic)**

Dates: 1986 - 2003  
 Volume: 12 Cu. Ft. /3.6 GB  
 Annual Accumulation: 1/2 Cu. Ft. / 150 MB  
 Arrangement: Chronological

This record series consists of internal computer printouts generated in Administrative Accounting which are also on a COM system.

Recommendation: Retain printouts in office until expiration of administrative value, then dispose of and/or delete from system. Retain all COM for six (6) years, then dispose of and/or delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.29 Monthly Loan Fund Reconciliations (Work Papers and Computer Printouts) (Hardcopy) (Electronic)**

Dates: 1990 -  
 Volume: 3 Cu. Ft. / 900 MB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Chronological

This record series consists of the monthly reconciling reports showing the status of the Loan Fund.

Recommendation: Retain in office for two (2) fiscal years, then dispose of and/or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.30 Monthly Reports (Cash and Investments, Board Reports, and Income Fund) (Originals) (Hardcopy) (Electronic)**

Dates: 1989 -  
 Volume: 20 Cu. Ft. / 6 GB  
 Annual Accumulation: 1 Cu. Ft. /300 MB  
 Arrangement: Chronological

This record series consists of monthly status reports to the Board of Trustees showing cash on hand, investments, and income received.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.31</b>	<b>Monthly Report Summary of Non-Appropriated Funds (Originals) (Hardcopy) (Electronic)</b>	
Dates:	1986 -	
Volume:	2 Cu. Ft. /600 MB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Chronological	
	<p>This record series consists of work papers used in preparing the monthly summary report of all non-appropriated funds.</p>	
Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.32</b>	<b>Quarterly Statements and Work Papers of Cougar Village and Residence Halls (Originals) (Hardcopy) (Electronic)</b>	
Dates:	1987 -	
Volume:	44 Cu. Ft. /13.2 GB	
Annual Accumulation:	2 Cu. Ft. / 600 MB	
Arrangement:	Chronological	
	<p>This record series consists of a monthly computation of daily reports, computer printouts, and work papers from Cougar Village and Residence Halls. Information includes rentals, total revenue, fund balances, utilities, and payables.</p>	
Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>



Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for five (5) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.36</b>	<b>Property Control File of Land/Buildings/Improvements/CIP Project Expenditures (Originals) (Hardcopy)</b>	
Dates:	1965 -	
Volume:	4 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of worksheets detailing the history of property control reporting through administrative accounting on various building project expenditures.	
Recommendation:	Retain permanently in office or transfer to the University Archives permanent retention.	<b>Disposition Approved 11/18/09</b>
<b>110.37</b>	<b>Property Control Monthly Inventory (Tag Number) Reports (Originals) (Hardcopy) (Electronic)</b>	
Dates:	1972 -	
Volume:	16 Cu. Ft. /4.8 GB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Chronological	
	This file contains an end-of-month record (on COM microfiche) in tag order of the property control file.	
Recommendation:	Retain in office for five (5) years (from the date of record generation), then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
110.38	<b>Agency Quarterly Report Work Papers (Originals) (Hardcopy) (Electronic)</b>  Dates: 1987 - Volume: 3 Cu. Ft. / 900 MB Annual Accumulation: Negligible/ 150 MB Arrangement: Chronological  This record series includes supporting information in the form of work papers generated and received in the compilation of Administrative Accounting's Quarterly Reports.  Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
110.39	<b>Receipts, Deposit Transmittals and Supporting Computer Listings, Trial Balances, and Work Papers (Agency Record Copy) (Hardcopy) (Electronic)</b>  Dates: 1984 - Volume: 4 Cu. Ft. /1.2 GB Annual Accumulation: Negligible/150 MB Arrangement: Chronological  These are standard reports and documents that all state agencies generate and maintain as part of SAMS. The State Comptroller's Office maintains SAMS files for one (1) year (daily reports) and permanently (monthly reports) per Application 77-100M.  Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>110.40</b>	<b>Reports of Year-End Accruals (Originals) (Hardcopy) (Electronic)</b>	
	Dates: 1982 - Volume: 38 Cu. Ft. /11.4 GB Annual Accumulation: 1.5 Cu. Ft. / 450 MB Arrangement: Chronological	
	<p>This record series consists of work papers and supporting documents generated in the accounting of year-end accrued financial transactions as posted to the Financial Accounting System.</p>	
	Recommendation: Scan or microfilm as generated and processed, then dispose of original paper. Retain all record series microforms or electronic data for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>110.41</b>	<b>Retailers' Occupation Tax, Hotel Operators' Tax (Tax Forms and Work papers) (Originals) (Hardcopy) (Electronic)</b>	
	Dates: 1989 - Volume: 2 Cu. Ft. / 600 MB Annual Accumulation: Negligible/ 150 MB Arrangement: Chronological	
	<p>This record series consists of copies of Quarterly Excise Tax forms submitted to the IL. Dept of Revenue.</p>	
	<p>Original data is maintained by the Illinois Department of Revenue for thirty five (35) years (security copies) per Application 96-22M (Retailers Occupation Tax Quarter Monthly Remittance Forms - RR3's) and four (4) years retention per Application 82-6, item 1, (Hotel Operational Tax Business Account Files).</p>	
	Recommendation: Retain in office for four (4) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>





Item No.	Record Series Title, Description and Recommendation	Action Taken
110.45	<p>Recommendation: Retain for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p> <p><b>Staff Salary/Time Records Maintained by Administrative Accounting (Duplicates) (Hardcopy) (Electronic)</b></p> <p>Dates: 1988 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Alphabetical and Chronological</p> <p>Originals are maintained and scheduled for disposition by the Offices of University Personnel Services and the Payroll Office.</p>	<p><b>Disposition Approved 11/18/09</b></p>
110.46	<p>Recommendation: Retain in office for two (2) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p> <p><b>Monthly Summary Reports of State Appropriations and Local Funds (Originals) (Hardcopy)</b></p> <p>Dates: 1991 - 2005 Volume: 3 Cu. Ft Annual Accumulation: Negligible Arrangement: Monthly</p> <p>This record series consists of reports which summarize the budget, expenditures and available balances in state accounts from both state appropriations and local funds.</p>	<p><b>Disposition Approved 11/18/09</b></p>
110.47	<p>Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p> <p><b>Supplemental Reports (Originals) (Hardcopy) (Electronic)</b></p> <p>Dates: 1988 - 2005 Volume: 1 Cu. Ft./ 300 MB Annual Accumulation: Negligible/ 150 MB</p>	<p><b>Disposition Approved 11/18/09</b></p>



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**110.50 Fiscal Officer Changes (Originals) (Hardcopy)**

Dates: 1986 -  
Volume: 3 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This form is used by fiscal agents of the University to affect budgetary contingencies as needed.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**110.51 New Account Requests and Supporting Documents (Duplicates) (Hardcopy) (Electronic)**

Dates: 1986 -  
Volume: 1 Cu. Ft. / 300 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This is the form used for the budgetary administration of new accounts. Supporting correspondence, memoranda, and duplicates of various fiscal and administrative records used to support requests are also included within the file series.

Recommendation: Retain in office for three (3) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PAYROLL**

**115.01 Administrative Files Maintained for Tax Levies, Garnishments, and Involuntary Deductions (Originals) (Hardcopy)**

Dates: 1987 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical and Chronological

This record series consists of memos and payroll deduction orders issued for wage garnishments or levies on employees and are most often utilized to collect money owed state, local or federal government agencies (child support, delinquent college loans, etc.). These files become inactive when liabilities are finally disposed of through full collection or other settlement.

Recommendation: Retain in office for six (6) fiscal years following the attainment of inactive status, then destroy in a secure manner providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**115.02 Check Distribution Card (Originals) (Hardcopy) (Electronic)**

Dates: 1987 – 2008  
Volume: 5 Cu. Ft. /5 MB  
Annual Accumulation: Negligible/1 MB  
Arrangement: Alphabetical

This record series details where an employee's paycheck should be sent (to residence, to bank for direct deposit, etc.).

Recommendation: Retain in office until inactive through revocation or revision, then destroy in a secure manner or delete from the system providing all audits have been completed and no litigations is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**115.03 Credit Union Deduction Cards (Originals) (Hardcopy) (Electronic)**

Dates: 1987 -  
Volume: 8 Cu. Ft. / 2.4 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Alphabetical

This record series is used to effect individual deductions from paychecks for various credit union related services and accounts.

Recommendation: Retain until inactive through revocation or full payment/settlement of all account liabilities, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**115.04 Employee Payroll Administration Files (Originals) (Hardcopy) (Electronic)**

Dates: 1965 -  
Volume: 88 Cu. Ft. / 26.5 GB  
Annual Accumulation: 2 Cu. Ft. / 600 MB  
Arrangement: Alphabetical

These files contain payroll deduction information, copies of employment contracts, employee deduction cards, W-4 tax forms, leave requests, and other miscellaneous payroll related information. Central payroll administration documentation is maintained and scheduled for disposition by the Office of University Personnel Services.

Recommendation: Retain in office for five (5) fiscal years following separation from employment, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**115.05 Federal and State Tax Forms (W-2's and W-4's) (Agency Record Copy) (Hardcopy) (Electronic)**

Dates: 1965 -  
Volume: 24 Cu. Ft. / 7.2 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This record series consists of various federal and state tax forms required to be filed by this office.

Recommendation: Scan or microfilm all W-2's after a one (1) year retention period after date of filing, then destroy original paper in a secure manner. Retain all microform W-2's or electronic data for six (6) years, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Retain all W-4's for six (6) fiscal years following the date of supersedence by revised W-4's, then destroy in a secure manner or delete from the system.

**Disposition  
Approved  
11/18/09**

**115.06 Payroll Certification Forms (Originals) (Hardcopy) (Electronic)**

Dates: 1991 -  
Volume: 6 Cu. Ft. / 1.8 GB  
Annual Accumulation: 2 Cu. Ft. /150 MB  
Arrangement: Chronological by pay period

These forms are used for each department's certification of the accuracy of each payroll.

Recommendation: Retain for six (6) fiscal years, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**115.07 Payroll Reports Generated by Administrative Accounting (Operations) (Hardcopy)**

Dates: 1989 - 2008  
Volume: 10 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Chronological by payroll record

This record series consists of the following payroll reports: distribution by account; reimbursement - salary; reimbursement Medicare; related accounting summary; and payroll check registers.

Recommendation: Microfilm as generated and processed, then destroy original paper in a secure manner. Retain all record series microforms for six (6) fiscal years, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**115.08 State of Illinois Payroll Vouchers (Form SLO-029) (Agency Record Copy) (Hardcopy) (Electronic)**

Dates: 1991 - 2008  
Volume: 40 Cu. Ft. / 1.2 GB  
Annual Accumulation: 2.2Cu. Ft. / 660 MB  
Arrangement: Chronological by pay period

This record series consists of detailed payroll voucher printouts showing gross and net pay for each pay period per employee.

Recommendation: Scan or microfilm as generated, then destroy original paper in a secure manner. All record series microforms or electronic data are to be retained for six (6) fiscal years, then destroyed in a secure manner or deleted from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**115.09 1099 Tax Forms (NCR's) (Originals) (Hardcopy)**

Dates: 1983 - 2008  
Volume: 8 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological/Alphabetical

This record series is used for filing the taxable payments the University made to entities other than corporations excluding medical corporations.

Recommendation: Retain in the office for ten (10) fiscal years, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated

**Disposition  
Approved  
11/18/09**

**115.10 Time Sheets of Student Workers and Hourly Staff (Originals) (Hardcopy) (Electronic)**

Dates: 1984 - 2008  
Volume: 12 Cu. Ft. / 3.6 GB  
Annual Accumulation: 6 Cu. Ft. / 150 MB  
Arrangement: Chronological by pay period

**ITEM 115.10 OF  
APPLICATION 07-11  
CANCELLED.  
SEE APPLICATION -  
07-08I, ITEM 100.070**

This record series details the total hours worked by each employee (regular hours, overtime, and holiday).

Recommendation: Retain in office for two (2) fiscal years, then microfilm and destroy original paper in a secure manner. Retain all record series microforms or electronic data for six (6) fiscal years, then destroy in a secure manner or delete from system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**BURSAR**

**120.01 Accounts Receivable Files (Originals) (Hard copy and Electronic)**

Dates: 1980 -  
Volume: 44Cu. Ft. / 132 GB  
Annual Accumulation: 1.5 Cu. Ft. / 450 MB  
Arrangement: Chronological

The accounts receivable files consist of monthly and daily reports indicating or including:

- (a) debits;
- (b) credits;
- (c) accounts receivable by age groups;
- (d) accounts receivable error list;
- (e) data base changes - weekly;
- (f) unapplied cash;
- (g) accounts receivable update;
- (h) transaction reports;
- (i) administrative accounting transactions;
- (j) accounts receivable by fund; and
- (k) daily due and payable

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, no litigation is pending or anticipated and provided all balances are either collected in full or deleted by write-off in compliance with applicable statutory provisions.

**Disposition  
Approved  
11/18/09**

**120.02 Bankruptcy Files Used for Establishing and the Write-Off of Uncollectible Accounts (Agency Record Copy) (Hardcopy) (Electronic)**

Dates: 1983 -  
Volume: 2 Cu. Ft. / 600 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological and Alphabetical

This file series contains legal proceedings documentation (copies of court orders, bankruptcy notices, etc.) generated from bankruptcy filings by liable parties in collection accounts for accounts receivable. These files are used

Item No.	Record Series Title, Description and Recommendation	Action Taken
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by the Bursar in the write-off of uncollectible accounts under the terms of applicable statutory provisions.

Recommendation: With the exception of any documentation of encumbrances which stay in effect regardless of bankruptcy, retain in office for five (5) years following the completion of all corresponding account write-off procedures in conformance with applicable statutory provisions, then destroy in a secure manner and/or delete from system provided no litigation is pending or anticipated, and all necessary audits have been completed under the supervision of the Auditor General. For any documentation of long-term encumbrances which are in effect regardless of bankruptcy, retain in office for five (5) years following the date the corresponding encumbrances have been satisfied or otherwise settled, then destroy in a secure manner and/or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**120.03 Bursar's Computerized Administrative Database(s) (Originals) (Electronic)**

Dates: 1983 -  
Volume: 2 Cu. Ft. / 600 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological and Alphabetical

This series is composed of computer disc/tape formats of accounting data relevant to various collections and disbursements administered by the Bursar.

Recommendation: Retain in office for six (6) fiscal years from the date of record generation, then delete from system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**120.04 Canceled Checks (Hardcopy and Electronic) (Originals)**

Dates: 1983 -  
 Volume: 260 Cu. Ft/ 78 GB  
 Annual Accumulation 10 Cu. Ft. / 3 GB  
 Arrangement: Chronological and Numerical

These are checks issued by the University out of local fund accounts.

Recommendation: Scan as generated, then dispose of original paper. Retain electronic data for six (6) fiscal years following the date of cancellation, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**120.05 Claims Litigation Proceedings Status File Cards (Hardcopy and Electronic) (Originals)**

Dates: 1983 -  
 Volume: 2 Cu. Ft. / 600 MB  
 Annual Accumulation: Negligible/150 MB  
 Arrangement: Chronological

These file cards show when suits for the settlement of claims involving the Office of the Bursar have been filed and the disposition of the documented litigation.

Recommendation: Retain in office for five (5) years following the date(s) the documented litigation proceedings have been completed and all resultant judgments have been paid or settled, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**120.06 Collection Reports (Originals) (Hardcopy) (Electronic)**

Dates: FY 1992 -  
 Volume: 20Cu. Ft. / 6 GB  
 Annual Accumulation: 1.1 Cu. Ft. / 300 MB  
 Arrangement: Chronological

This record series consists of original reports of collections by University departments for entering deposits.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for six (6) months, then dispose of or delete from the system.	<b>Disposition Approved 11/18/09</b>
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**120.07      Loan Collectors' Work Cards (Originals) (Hardcopy and Electronic)**

Dates:	1983 -
Volume:	3 Cu. Ft. /900 MB
Annual Accumulation:	Negligible/0.3 GB
Arrangement:	Chronological

This record series consists of short term loan promissory note cards used to locate active clients.

Recommendation:	Retain in office for five (5) fiscal years following the date that all documented loan account balances have been paid in full <u>or</u> deleted by write-off as uncollectible under statutory provisions, whichever is applicable, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**120.08      Work Miscellaneous Accounting Reports and Papers (Originals) (Hardcopy) (Electronic)**

Dates:	1985 -
Volume:	6 Cu. Ft. / 2.4 GB
Annual Accumulation:	Negligible/ 150 MB
Arrangement:	Chronological

This series includes balancing sheets, over and short accounting statements, Foundation deposit reports, registration by quarter by day, check deposits, machine totals, cash receipt adjustments, fund transfer records, machine tapes, and accounts receivable statements and accounting papers consisting of monthly accounts by fund, monthly outstanding debits, closed or inactive accounts, accounts by fund debits, and accounts receivable debit and credit vouchers.

Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**120.09 Department of Motor Vehicles' Reports of Registrations (Agency Record Copy) (Hardcopy) (Electronic)**

Dates: 1986 - 1999  
Volume: 2 Cu. Ft. / 600 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological and Alphabetical

These are reports of motor vehicle registrations received from entities charged with such registration used as a tracking source to monitor the collection of all fees due the university for the students' privilege of operating personal motor vehicles on campus.

Recommendation: Retain in office for five (5) fiscal years following the date that all collectible fees have been paid and deposited by the Bursar or for five (5) fiscal years following the date that all documented fees outstanding are forfeited by write-off by the Bursar as uncollectible in compliance with all applicable statutory provisions, then destroy in a secure manner and/or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**120.10 Reports of Fee Audit Discrepancies (Originals) (Hardcopy and Electronic)**

Dates: 1990 -  
Volume: 2 Cu. Ft. / 600 MB  
Negligible/ 150 MB  
Arrangement: Chronological

These reports are generated from audits of the university's fee structure that have findings of discrepancies.

Recommendation: Retain in office for one (1) year following the resolution of the discrepancy by internal audit, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**120.11 File of Bank Returned Checks (Originals) (Hardcopy)**

Dates: 1983 -  
 Volume: 2 Cubic Feet  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This file contains checks returned from banks due to insufficient funds with supporting vouchers issued to departments for covering checks, listings of individuals issuing bad checks, and bank letters of transmittal.

Recommendation: Scan or microfilm as received, then dispose of original paper. Retain all record series microforms or electronic data in office for ten (10) fiscal years or until all checks has been paid or write-off satisfied in accordance with all applicable statutory provisions, whichever is longer, then destroy in a secure manner or delete from the system provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
as Amended  
11/18/09**

**120.12 Student Scholarship and Loan Files and Foundation Accounts Files (Originals) (Hardcopy)**

Dates: 1975 -  
 Volume: 34 Cu. Ft :  
 Annual Accumulation: 1 Cu. Ft.  
 Arrangement: Chronological/Alphabetical

These files hold the following accounting administration documents: scholarship invoice vouchers; short-term loan agreements; loan files created from National Defense Student Loans and other student loan sources containing supporting documentation consisting of coding sheets, Long-Term Borrower Reports, statements of loans (by fund and by account type), Long-Term Loan Update Edit Reports, billings, promissory notes, and Fiscal Operations Reports; monthly reports; Foundation Accounts Files; and related correspondence.

Recommendation: Microfilm as generated, then dispose of hard copies in a secure manner. Retain microfilm copies in office for twenty (20) years following the date of record generation, then dispose of provided all necessary audits (federal and state) have been completed, all balances due under the accounts have been paid in full or otherwise settled, and provided no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain for six (6) fiscal years following the date of check cancellation, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>120.16</b>	<b>Listings of Cancelled Checks in Escrow (Originals) (Hardcopy)</b>	
Dates:	1989 - 2003	
Volume:	2 Cu. Ft. / 600 MB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Chronological	
	This record series consists of listings of cancelled check proceeds held in escrow.	
Recommendation:	Retain for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>120.17</b>	<b>Summaries of Expenditures and Funds Available (Duplicates) (Hardcopy) (Electronic)</b>	
Dates:	1985 -	
Volume:	7 Cu. Ft. / 2.1 GB	
Annual Accumulation:	1 Cu. Ft. / 150 MB	
Arrangement:	Chronological by year	
	The summary data includes account number, account title, current budget information, revenue/expenses, monies of project to date, unrealized expenditures, committed monies, uncommitted monies, and description of line item.	
	Originals are maintained by the agency's Administrative Accounting Office and/or the Budget Office and are to be scheduled for disposition by those offices.	
Recommendation:	Retain in office for three (3) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**120.18 Bankruptcy Files Used for Establishing and the Write-Off of Uncollectable Accounts**

Dates: 1983 -  
Volume: 2 Cubic Feet/600 Megabytes  
Annual Accumulation: Negligible/150 Megabytes  
Arrangement: Chronological/Alphabetical

This record series contains legal proceedings documentation (e.g.: copies of court orders, bankruptcy notices, etc.) generated from bankruptcy filings by liable parties in collection accounts for accounts receivable. These files are used by the Bursar in the write-off of uncollectible accounts under the terms of applicable statutory provisions.

This item supersedes State Records Application No. 07-11, item 120.02, in order to update the record series title, and to add an “eight (8) year” record retention provision for debts \$1,000 or more pursuant to the provisions of the Uncollected State Claims Act [30 ILCS 205; Public Act 97-444], per agency request.

Recommendation: With the exception of any documentation of encumbrances, which stay in effect regardless of bankruptcy, retain for five (5) years, or eight (8) years if debt is \$1,000 or more following the completion of all corresponding account write-off procedures in conformance with applicable statutory provisions, then destroy in a secure manner and/or delete from the system provided no litigation is pending or anticipated, and all necessary audits have been completed.

For any documentation of long-term encumbrances which are in effect regardless of bankruptcy, retain for five (5) years following the date the corresponding encumbrances have been satisfied or otherwise settled, then destroy in a secure manner and/or delete from the system provided all audits have been completed if necessary, and no litigation is pending or anticipated.

**Disposition  
approved as  
amended  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**120.19 Collection Reports**

Dates: 2013 -  
Volume: 20 Cubic Feet/6 Gigabytes  
Annual Accumulation: 1.1 Cubic Foot/300 Megabytes  
Arrangement: Chronological

This record series item consists of original reports of collections by University departments for entering deposits.

This item supersedes State Records Application No. 07-11, item 120.06, in order to increase the retention period from sixty (60) days to six (6) years, per agency request.

Recommendation: Retain for six (6) years after date of generation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**120.20 Cancelled Checks**

Dates: 1991-  
Volume: 41 Cubic Feet/12.3 Gigabytes  
Annual Accumulation: 2.3 Cubic Foot/690 Megabytes  
Arrangement: Numerical by bank

This record series consists of copies of checks issued by the University that have been negotiated for payment through the banking industry.

This item supersedes State Records Application No. 07-11, item 120.15, in order to decrease the retention period from six (6) years to three (3) years, per agency request.

Recommendation: Retain for three (3) years following date of check cancellation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FINANCIAL MANAGEMENT**  
**OFFICE OF THE BUDGET**

**130.01 Appropriation Legislative Bills (Duplicates)**

Dates: 1986 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

These are draft and working copies of appropriation legislative bills.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**130.02 Fiscal Officer Changes (Originals) (Hardcopy)**

Dates: 1986 - 1999  
Volume: 3 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This form is used by fiscal agents of the University to affect budgetary contingencies as needed.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**130.03 Governor's Office (BR Forms), Illinois State Legislature (ISL's), and Board of Higher Education (BHE's) Budget Reporting and Compilation Forms (Originals) (Hardcopy) (Electronic)**

Dates: 1986 -  
Volume: 20 Cu. Ft. / 6 GB  
Annual Accumulation: 3/4 Cu. Ft. / 200 MB  
Arrangement: Chronological

These forms are completed by the Budget Office for the purpose of reporting and formatting budget administration data for review by the various

Item No.	Record Series Title, Description and Recommendation	Action Taken
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external overseeing and coordinating agencies involved in the administration of university budgets.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**130.04 Internal Budget Documents (Originals) (Hardcopy) (Electronic)**

Dates: 1982 -  
Volume: 6 Cu. Ft. / 1.8 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

These documents consist of summaries of line item expenditures and planned sources of funding generated for internal budgeting.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**130.05 New Account Requests and Supporting Documents (Duplicates) (Hardcopy) (Electronic)**

Dates: 1986 - 1999  
Volume: 1 Cu. Ft. / 300 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This is the form used for the budgetary administration of new accounts. Supporting correspondence, memoranda, and duplicates of various fiscal and administrative records used to support requests are also included within the file series.

Recommendation: Retain in office for three (3) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for six (6) fiscal years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**130.9 Supplemental Appropriation Request Avoidance Files (Originals) (Hardcopy)**

Dates:	1986 - 2009
Volume:	1/2 Cu. Ft.
Annual Accumulation:	Negligible
Arrangement:	Chronological

This form is reviewed quarterly by the Budget Office to plan expenditure levels.

Recommendation:	Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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**130.10 Trial Balances (Originals) (Hardcopy) (Electronic)**

Dates:	1986 - 1999
Volume:	6 Cu. Ft. / 1.8 GB
Annual Accumulation:	3 Cu. Ft. / 900 MB
Arrangement:	Chronological

These trial balances are used by the Budget Office to effect the usual monitoring of expenditures and revenue.

Recommendation:	Retain in office for six (6) fiscal years, then dispose of and/or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FINANCIAL MANAGEMENT**  
**OFFICE OF THE CONTROLLER**

**140.01 Account Files (Originals) (Hardcopy) (Electronic)**

Dates: 1985 -  
Volume: 10 Cu. Ft. / 30 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Negligible

This series includes accounting statements, ledgers, receipts and related correspondence covering the following accounts:

- (a) Auxiliary and Service Enterprises;
- (b) Farm and Auxiliary Operating Programs;
- (c) Funded Debt-Tower Lake Debt Service Expense;
- ((Duplicates) Funded Debt-University Center Debt Service Expense;
- (e) Insurance Proceeds 1989 - Construction Funds;
- (f) Interest Earned on Investment of Agency Funds;
- (g) Interest Earned on Investment of Federal Funds;
- (h) Interest Earned on Investment of Non-Appropriated Funds;
- (i) Interest Earned on Investment of Restricted Funds;
- (j) Interest Earned on Investment of Service Departments;
- (k) John M. Olin Scholarship Program;
- (l) John M. Olin Endowment Fund;
- (m) Student Fitness Center Operations and Management Expenses;
- (n) Student Fitness Center Other Revenue;
- ((Originals) Student Fitness Center Debt Service Expense;
- (p) Student Health and Fitness Center Construction;
- (q) Student Health and Fitness Center Fees; and
- (r) Student Welfare and Activity Fee Estimates.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**140.02 Internal and External Audit Reports and Related Working Papers (Originals) (Hardcopy) (Electronic)**

Dates: 1986 -  
Volume: 8 Cu. Ft. / 2.4 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This file contains reports of internal and external audits of university grant and program administration as well as the expenditure of regular appropriations and allocations. Related exhibits, working papers, and correspondence are also included within the series.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, no litigation is pending or anticipated and providing all audit findings have been resolved.

**Disposition  
Approved  
11/18/09**

**140.03 University Investment Agreements (Originals) (Hardcopy)**

Dates: 1985 - 1999  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of agreements authorizing the Controller to invest monies of the university with investment brokers.

Record series information includes name of broker, statement of agreement, and appropriate signatures (e.g., investment brokers, university representatives, and officials of the financial institutions).

Recommendation: Retain in office for ten (10) fiscal years following termination of agreement(s), then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**140.04 Investment Program Status Reports (Originals) (Hardcopy) (Electronic)**

Dates: 1985 - 1999  
 Volume: 4 Cu. Ft. / 1.2 GB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Chronological

This record series consists of reports, which detail the status of university investments. Record series data include name of investment firm, phone number of firm, purchase price, purchase amount, accrued interest totals, total settlement, purchase and settlement date, yield amount, account total, and individual officer initiating the investment.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**140.05 Monthly Reports File (Originals) (Hardcopy) (Electronic)**

Dates: 1985 -  
 Volume: 1 Cu. Ft./300 MB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Chronological

The following monthly reports are generated or received by the Controller in the course of the Office's business of monitoring the financial solvency of the university:

- (a) Budget-Income Fund Analysis;
- (b) Cash and Investment Report;
- (c) Federal Funding Report (Controller);
- (d) Non-Appropriated Monthly Summary (Administrative Accounting);
- (e) Auxiliary Enterprises and Treasurer's Reports;
- (f) Quarterly Financial Report;
- (g) Debt Service Transfer; and
- (h) Paying Agent Fee.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**HUMAN RESOURCES**  
**UNIVERSITY PERSONNEL SERVICES**

**150.01 Payroll Personnel Reporting Forms (Originals) (Hardcopy) (Electronic)**

Dates: 1988 -  
Volume: 4 Cu. Ft. / 1.2 GB  
Annual Accumulation: Negligible / 150 MB  
Arrangement: Alphabetical by employee

This record series consists of summary reports of all employees that were absent without pay during the school year. This record is created from the employee's Salary Time Record and is used for reference purposes.

Recommendation: Retain in office for six (6) years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated,

**Disposition  
Approved  
11/18/09**

**150.02 Vacation and Sick Leave Reports (Originals) (Hardcopy) (Electronic)**

Dates: 1979 -  
Volume: 4 Cu. Ft. / 1.2 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This record series consists of an annually updated record of money that would be owed to an employee should that employee choose to retire and "cash in" accumulated leave. A new record is created each year, showing updated sick and vacation leave accrued by an employee and amount of money the university would need to pay off the accrued benefits.

A copy is sent to the Administrative Accounting Office.

Recommendation: Retain in office for six (6) years, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.03 Applications for Employment (Solicited / Unsolicited) and Supporting Documents (Resumes, Transcripts, Military Record) (Hard Copy)**

Dates: 1985 -  
Volume: 96 Cu. Ft.  
Annual Accumulation: 4 Cu. Ft.  
Arrangement: Alphabetical by applicant

The record series consists of original employment applications and related documentation from individuals seeking employment with the university.

Files include applications, resumes, transcripts, military records, and letters of recommendation (if applicable).

Recommendation: Retain in the office for three (3) years following the date of receipt, then destroy in a secure manner provided all audits have been completed and no litigation is pending or anticipated

**Disposition  
Approved  
11/18/09**

**150.04 Civil Service Exams (Hardcopy and Electronic) (Originals)**

Dates: 1992 -  
Volume: 136 Cu. Ft. / 40.8 GB  
Annual Accumulation: 8 Cu. Ft. /2.4 GB  
Arrangement: Numerical by exam number

This record series consists of civil service exams completed by applicants seeking employment or promotion with the university. Exam scores are entered into the university computer database for transmittal to the State Universities Civil Service System.

Recommendation: Retain for two (2) years, then destroy in a secure manner or delete from the system provided the results are transmitted to the State Universities Civil Service System, all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.05 Civil Service Exam Registration Cards and Computer Database (Hardcopy and Electronic) (Originals)**

Dates: 1982 -  
Volume: 6 Cu. Ft. /1.8 GB  
Annual Accumulation: Negligible/N/A  
Arrangement: Alphabetical by classification

The record series consists of registration cards for individuals completing the civil service exam. Cards contain name, address, social security number, exam taken, final score, breakdown of exam elements, and exam number. Information formerly retained on these cards currently is now entered into computer database.

Recommendation: Retain for two (2) years from date of last service, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
11/18/09**

**150.06 Civil Service Registration Index Cards (Originals)**

Dates: 1982 - 1991  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by applicant

This record series consists of cross-reference index cards showing applicants who have taken civil service exam. This card system has been replaced by the Computer Indexing System.

Recommendation: Destroy accumulation provided that all data has been entered into the Computer Indexing System.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.09 Employee Grievance Case Summaries (Originals) (Hardcopy)**

Dates: 1985 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by employee

This record series consists of summaries of employee grievance cases by Legal Counsel and the department of originating grievance. Individual case file documentation is retained by the departments from which the grievances originate and the Legal Counsel.

Recommendation: Retain in office for five (5) years following the date of separation from employment of the employee(s) filing the grievances, then destroy in a secure manner provided no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.10 Reports of Contribution (Quarterly) to Unemployment Compensation (Duplicates) (Hardcopy)**

Dates: 1975 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of copies of quarterly reports of unemployment compensation contributions made by the university to the Illinois Department of Employment Security (which retains the original reports for six (6) years per Application 86-107M).

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.11 Extended Sick Leave Reports (Originals) (Hardcopy)**

Dates: 1987 - 2008  
 Volume: 3 Cu. Ft.  
 Annual Accumulation: Negligible  
 Arrangement: Alphabetical by employee

This record series consists of summary reports of all employees on extended sick leave during the school year. This record is created from the employee's Salary Time Record and is used for reference purposes.

Recommendation: Retain in office for six (6) years, then destroy in a secure manner provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.12 Lists of Civil Service Exam Scores (Duplicates) (Hardcopy) (Electronic)**

Dates: 1991 -  
 Volume: 3 Cu.Ft/ 900 MB  
 Annual Accumulation: Negligible/ 150 MB  
 Arrangement: Chronological

This record series consists of the monthly lists of scores received by individuals sitting for civil service exams held at the university.

Original lists are sent to the State Universities Civil Service System.

Recommendation: Retain for five (5) years following the date of generation of the lists, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.13 Payroll Deduction Reports Transmittal Lists (Originals) (Hardcopy) (Electronic)**

Dates: 1990 -  
 Volume: 30 Cu. Ft. / 9 GB  
 Annual Accumulation: 1.5 Cu. Ft. / 450 MB  
 Arrangement: Chronological then Alphabetical by type of deduction

This record series consists of reports listing payroll deductions, which are transmitted in original to the Department of Central Management Services.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Titles of reports sent are Pay Record Adjustment Report, Additional Payroll Record, Premium Transmittal Summary, and Non-payroll Member and Direct Payment Reports.

Recommendation: Retain in office for six (6) fiscal years, then destroy in a secure manner or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.14 Personnel Files (Civil Service Employees) (Originals) (Hardcopy)**

Dates: 1966 -  
Volume: 345 Cu. Ft  
Annual Accumulation: 8 Cu. Ft.  
Arrangement: Alphabetical

The record series consists of original personnel files for university civil service employees. Files include notice of employment; request for change of status form; change of information forms; civil service and employment record; physician's statements; report of status of participant (State University Retirement System); letters of commendation; deduction authorizations; designation of beneficiary for SURS and insurance; resignations; insurance enrollment forms; tax sheltered annuity records (applications, salary reduction agreements, maximum exclusion allowance calculation request and response, retirement estimate request, and copy of statement); performance reviews; disciplinary memos (if applicable); revocation of deduction authorization; waiver of qualifications for examination, job audits, suspensions (if applicable); and correspondence concerning the employee.

Recommendation: Retain this series in one of two formats available: the original paper documents or microform. Whenever a copy of the material has been transferred to microform, destroy the original document in a secure manner and retain the microform in the office permanently. For original paper documents of employees of the University Merit System, retain in office for sixty-five (65) years after separation from employment, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. For original paper documents of employees of the State Personnel Code, retain in office for five (5) years after separation from employment, then destroy in a secure

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. (Central personnel files of employees under State Personnel Code jurisdiction are maintained permanently per Application 72-9M.)

**150.15 Personnel Files (Professional and Faculty) (Originals) (Hardcopy)**

Dates: 1965 -  
Volume: 660 Cu. Ft  
Annual Accumulation: 27.5 Cu. Ft.  
Arrangement: Alphabetical

The record series consists of original personnel files of faculty and professional staff at the university.

Files include position descriptions, performance evaluations, appointment notices, resignations, promotions, personal and professional data forms, transcripts, copies of W'4's, contracts, change of status documentation, recommendations, record of tenure, requests for leave of absence, transcript of completion of advanced degree, certifications, memos and certificates, in lieu of transcripts, sabbatical requests, accumulated sick leave and vacation record, letter of report of grievance (if applicable), and correspondence regarding the employee.

Recommendation: Retain in office for sixty-five (65) years following separation from employment, then destroy in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.16 Position Description Files (Originals) (Hardcopy)**

Dates: 1988 - 2008  
Volume: 56 Cu. Ft  
Annual Accumulation: 2.6 Cu. Ft.  
Arrangement: Numerical by civil service position number

This record series consists of descriptions of all employment positions at the university and any related job audits. Job audits are used to consider possible adjustments to the job description.

Recommendation: Retain in office until revised or superseded, then transfer to the University Archives for permanent retention.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>150.17</b>	<b>Position Vacancy Files (Originals) (Hardcopy)</b>	
	Dates: 1987 - Volume: 27 Cu. Ft. Annual Accumulation: 1.2 Cu. Ft. Arrangement: Chronological	
	This record series consists of files of any available civil service employment position in the university.	
	Files include a request for civil service personnel, active register of qualified applicants, certification of appointment, cover sheet and position descriptions (periodically).	
	Recommendation: Retain for five (5) years, then destroy in a secure manner providing no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>150.18</b>	<b>Request to Set, Change, Correct, or Delete a Pay Schedule (Open Range, Established Rate Range and Negotiated Range) (Agency Record Copy)(Hardcopy)</b>	
	Dates: 1975 - 2007 Volume: 4 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of the agency record copies of requests to establish or alter salary titles or salary ranges and are used to add new job titles, change a job description, switch pay ranges, or change pay rates for positions at the university.	
	The original request is sent to the State Universities Civil Service System.	
	Recommendation: Retain in office for two (2) years then transfer to the University Archives for permanent retention.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.19 Salary Increase Population Records (Duplicates) (Hardcopy) (Electronic)**

Dates: 1975 -  
Volume: 14 Cu. Ft. / 4.2 GB  
Annual Accumulation: 1/2 Cu. Ft. / 150 MB  
Arrangement: Chronological

This record series consists of computer printouts and supporting worksheets used for salary increases.

Printout reports list employees, identification numbers, job classifications, pay rates, and adjusted pay rates.

The original records are maintained by the Payroll Office.

Recommendation: Retain in office for three (3) fiscal years, then destroy in a secure manner or delete from system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.20 Salary/Time Record Cards (Originals) (Hardcopy) (Electronic)**

Dates: 1991 - 2008  
Volume: 6 Cu. Ft. / 1.8 GB  
Annual Accumulation: 2 Cu. Ft. /150 MB  
Arrangement: Chronological

**ITEM 115.20 OF  
APPLICATION 07-11  
CANCELLED.  
SEE APPLICATION  
07-08I, ITEM 100.070**

This record series consists of the official leave record for university employees. Cards indicate hours worked and leave used. It is used to track vacation and sick leave only.

Recommendation: Retain in the office for six (6) years, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.21 Seniority Lists (Originals) (Hardcopy) (Electronic)**

Dates: 1986 -  
Volume: 2 Cu. Ft. / 600 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This record series consists of lists of university employees by date of hire, showing rank of seniority by each position.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain for five (5) years after superseded by new seniority list, then destroy in a secure manner or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>150.22</b>	<b>State Universities Retirement System Records (Duplicates) (Hardcopy) (Electronic)</b>	
Dates:	1971 -	
Volume:	6 Cu. Ft. / 1.8 GB	
Annual Accumulation:	Negligible/ 150 MB	
Arrangement:	Chronological	
	This record series consists of duplicate records sent to and received from the State Universities Retirement System.	
	Files include correspondence, copies of annual reports, payroll notes, lists of participants, data requests, copies of applications for out-of-state credit, copies of applications for appointment, and duplicate reports of status.	
	Original files are retained by the State Universities Retirement System.	
Recommendation:	Retain in office for two (2) years following the date the files are superseded and/or termination of SURS coverage and/or full payment or final settlement of SURS participant, survivor, and beneficiary benefits, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>150.23</b>	<b>Unemployment Compensation Claim Files (Duplicates) (Hardcopy) (Electronic)</b>	
Dates:	1990 -	
Volume:	14 Cu. Ft. / 4.2 GB	
Annual Accumulation:	1/2 Cu. Ft. / 200MB	
Arrangement:	Alphabetical by claimant	
	This record series consists of unemployment compensation claims filed against the university and documents relating to the case.	
	Files include copies of claims, notices of claims, notice of separation, copies of payroll records and report of decisions on claims.	

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Original records are retained by the Illinois Department of Employment Security for six (6) years after claim settlement per items 1 and 2 of Application 85-75M.

Recommendation: Retain in office for six (6) years after separation from employment from the university, then destroy in a secure manner or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.24 U.S. Immigration and Naturalization Service Form I-9** Employment Eligibility Verification Forms (Originals)

Dates: 1987 -  
Volume: 22 Cu. Ft  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Alphabetical by employee

This record series consists of a form used to verify the true identity of a job applicant and the applicant's authority to work in the United States. Information must be produced on demand by the U.S. Immigration and Naturalization Service.

Recommendation: Retain I-9's in office for three (3) years after the date of hire or one (1) year after the date of employment ends, whichever is longer, then destroy in a secure manner provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.25 Worker's Compensation Files (Duplicates) ((Hardcopy))**

Dates: 1989 -  
Volume: 24 Cu. Ft.  
Annual Accumulation: 1.2 Cu. Ft.  
Arrangement: Alphabetical/Chronological

This record series consists of all documents pertinent to Workmen's Compensation cases filed with the university.

Files include hardcopy and microform copies of accident reports, notices of injury, witness reports, doctors' statements, information release forms, bills, summary sheets of bills, voucher copies, and correspondence regarding cases.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Original records are retained by the Department of Central Management Services for three (3) years after final payment per Application 81-60. Case records filed with the Industrial Commission are retained on an ongoing basis by the university.

Recommendation: Retain hardcopy record series documents and microfilm copies in office for five (5) years following closure of case, then destroy in a secure manner provided no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**150.26 Applications for Employment (Solicited/Unsolicited) and Supporting Documents**

Dates: 1985-  
Volume: 96 Cubic Feet  
Annual Accumulation: 4 Cubic Feet  
Arrangement: Alphabetical by applicant

This record series consists of original employment applications and related documentation (e.g.: resumes, transcripts, military records, letters of recommendation, etc.) from individuals seeking employment with the University.

This item supersedes State Records Application No. 07-11, item 150.03, in order to update the record series title and description, and to decrease the retention period from “three (3) years” to “two (2) years” to match the retention period for “Civil Service Exams”, item 150.04 of Application No. 07-11, as both record series items are collected together by the State Civil Service for applicants, per agency request.

Recommendation: Retain for two (2) years following the date of receipt, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**150.27 Lists of Civil Service Exam Scores**

Dates: 1991-  
Volume: 3 Cubic Feet/900 Megabytes  
Annual Accumulation: Negligible/150 Megabytes  
Arrangement: Chronological

This record series consists of copies of the monthly lists of scores received by individuals sitting for civil service exams held at the University.

Original lists are sent to the State Universities Civil Service System.

This item supersedes State Records Application No. 07-11, item 150.12, in order to update the record series title, and to decrease the retention period from “five (5) years” to “two (2) years” to match the State Civil Service audit cycle, per agency request.

Recommendation: Retain for two (2) years following the date of generation of the lists, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**OFFICE OF INFORMATION TECHNOLOGY**  
**ADMINISTRATIVE OFFICE**

**160.01 Risk Management File (Originals) (Hardcopy)**

Dates: 1989 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: N/A

**160.01 CANCELLED;  
SEE 07-09 2300.001**

This file contains documentation of the offices' risk management policies (i.e., insurance policies or "self insurance" program documentation) implemented to cover equipment that is often in the personal possession of staff so that such coverage is provided outside of staff members' homeowners insurance.

Recommendation: Retain in office for six (6) years following the termination date of the respective risk management policy(s), then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**160.02 Service Contracts (Duplicates) (Hardcopy)**

Dates: 1982 -  
Volume: 2 Cu. Ft. Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

**160.02 CANCELLED;  
SEE 07-09 2300.002**

This file of service contracts is composed primarily of software contracts. The University's Purchasing Office maintains the central copies of these contracts.

Recommendation: Retain in office for three (3) years following the expiration of the respective contract(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**OFFICE OF INFORMATION TECHNOLOGY**  
**ADMINISTRATIVE INFORMATION SYSTEMS**

**170.01 Alumni Data Base System (Originals) (Hardcopy) (Electronic)**

Dates: 1980 - 2005  
Volume: Negligible/150 MB  
Annual Accumulation: Negligible/150 MB  
Arrangement: By ID sequence

This record series consists of a file created (from Student Module of the Ellucian Banner Enterprise Resource Planning) to provide data that contains alumni name, address, bio demographic data and degree information. The file is electronically delivered to the Foundation Office for processing/maintenance in their computer system.

Recommendation: Retain until the lapse of two years following revision or supersedence, then destroy in a secure manner and/or delete from the system providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**170.02 Auxiliary Systems Housing System Application (Electronic)**

Dates: 1992 - 2005  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: chronological--

This record series consists of housing records that are maintained in the Odyssey HMS database. Housing information includes housing contracts and room assignments.

Recommendation: Retain for five (5) years following the date of data entry, then delete from system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain for six (6) years from the date of data entry, then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	<b>Disposition Approved 11/18/09</b>
<b>170.05</b>	<b>Financial Aids Module of the Enterprise Resource Planning Database (Originals) (Electronic)</b>	
Dates:	1979 - 2005	
Volume:	297 GB	
Annual Accumulation:	9.9 GB	
Arrangement:	Numerical-	
	<p>This record series consists of financial aid records that are maintained in the Financial Aid Module of the Ellucian Banner Enterprise Resource Planning Database. Financial Aid Information includes: Award letters, scholarship applications, verifications, student histories, etc.</p>	
Recommendation:	Retain for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	<b>Disposition Approved 11/18/09</b>
<b>170.06</b>	<b>Human Resource Module of the Enterprise Resource Planning (ERP) Database (Originals) (Electronic)</b>	
Dates:	1986 - 2005	
Volume:	Negligible	
Annual Accumulation:	N/A	
Arrangement:	File identification and weekly copy detail number	
	<p>This record series includes human resource records that are maintained in the Human Resources Module of the ERP Database. Human Resource information includes: payroll, budget/position control, and personnel reporting.</p>	
Recommendation:	Retain all database information on line for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
170.07	<b>Program and System Design Files (Originals) (Hardcopy)</b>	
	Dates: 1972 - Volume: 54 Cu. Ft. Annual Accumulation: 1.5 Cu. Ft. Arrangement: By component/procedure number	
	This record series consists of electronic records received to install, upgrade and operate computer systems and programs. The documentation includes release guides, user guides, upgrade guides, and ERD diagrams.	
	Recommendation: Retain in office for five (5) years (lapsed from the date of system replacement or obsolescence), then dispose of providing all audits have been completed if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
170.08	<b>Property Control Administrative Information System (Database) (Electronic)</b>	
	Dates: 1980 - 2005 Volume: 3 Cu. Ft. / 900 MB Annual Accumulation: Neg/ 150 MB Arrangement: File identification number and copy detail number	
	This record series was created to produce the necessary location reports, inventory listings, and final disposition of equipment reports used to account for the assignment and location of all physical assets under the control of Southern Illinois University-Edwardsville.	
	Reports generated by this system include: Monthly Detail File of Property; General Ledger Balance File of University Accounts for Purchase/Leasing of Equipment, and End-of-Year File of Property.	
	Recommendation: Retain Master File Monthly Detail File of Property Tape for two (2) years following the date of data entry, then delete from the system providing all audits have been completed if necessary, and no litigation is pending or anticipated. Retain Property Modification Files for two (2) years following the date of data entry, then dispose of or delete from the system providing all audits have been completed if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**170.09 Student Information Module of the Enterprise Resource Planning Database**

Dates: 1972 - 2005  
Volume: 444 GB  
Annual Accumulation: 12 GB  
Arrangement: Numerical

This record series consists of a database which stores various academic records such as applications, external transcripts, ACT test scores, reference letters, etc.

Recommendation: Retain for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**170.10 Telephone System Files - Auxiliary Systems (Computer Discs/Tapes) (Originals and Duplicates)**

Dates: 1987 -  
Volume: 6 Cu. Ft/900 MB  
Annual Accumulation: Neg/150 MB  
Arrangement: Numerical/Chronological

This record series includes files of transactions and billings of the University's telecommunications system. File records are updated from "transaction" discs/tapes received from vendors and within telephone system.

Recommendation: Retain external vendor transaction files, monthly billing transaction files and selected records thereof for six (6) years following the date of generation, then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
as Amended  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**MICRO RECORDS/RECORDS MANAGEMENT**

**190.01 Production Reports (Originals) (Hardcopy)**

Dates: 1990 -  
Volume: 8 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

These are the periodically generated reports (i.e., daily, weekly, monthly, yearly) showing Micrographics production statistics, e.g., rolls or other units of film exposed, processed (etc.). These reports are used principally for this unit's budget planning and administration.

Recommendation: Retain for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**190.02 Work Requests (Originals) (Hardcopy)**

Dates: 1990 -  
Volume: 4 Cu. Ft  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alpha/Numeric

This file contains the requests for micrographic services as received from the university departments.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**190.03 State of Illinois Records Disposal Certificates**

Dates: 2007-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of the records disposal certificates signed by the Chairman of the State Records Commission/Director of the Illinois State Archives. The records disposal certificates permit the University to dispose of State records listed on Southern Illinois University-Edwardsville's approved Applications for Authority to Dispose of State Records (a/k/a Records Retention Schedules or Schedules). Data includes the application number, records series item number, record series title, inclusive dates, volume of records to be disposed, method of disposal, date of disposal, and signatures.

Recommendation: Retain approved copies of records disposal certificates permanently.

**Disposition approved  
9/20/17**

**190.04 Certifications of Authenticity**

Dates: 1973-  
Volume: 10 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of Certifications of Authenticity which are completed and signed by the camera operator and filmed as part of the microfilm job. Data includes the operator's acknowledgement to the filming of paper records (hard copy documents)/scanned images according to approved procedures.

Recommendation: Retain paper certifications until filmed or imaged, then destroy paper certifications. [Note: The filmed certificates are retained for the same retention period as the accompanying record series.]

**Disposition approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**190.05      Records Transfer Forms**

Dates:                      1980-  
Volume:                    Negligible  
Annual Accumulation:    Negligible  
Arrangement:              Chronological

This record series consists of a records transfer form used by Records Management staff to document records sent to the Department for scanning/filming, storage or disposal.

Recommendation:        Retain for ten (10) years after date of generation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**190.06      Applications for Authority to Dispose of State Records (a/k/a Records Retention Schedules) (Agency Record Copies)**

Dates:                      1985-  
Volume:                    Negligible  
Annual Accumulation:    Negligible  
Arrangement:              Numerical

This record series consists of the agency record copies of the University's Applications/Records Retention Schedules stating the official retention, maintenance and disposition requirements for record series items used in the University's daily operations. Record series titles are categorized by functional areas and numbered accordingly. Record series retention periods are based upon the scheduled records administrative, fiscal, legal or archival value. Applications/Retention Schedules are reviewed and occasionally updated to reflect changes within the various University Departments pursuant to the State Records Act [5 ILCS 160] and State Records Commission Rules [44 Ill. Adm. Code Part 4400].

Recommendation:        Retain in office permanently.

**Disposition  
approved  
9/20/17**



Item No.

Record Series Title, Description and Recommendation

Action Taken

**OFFICE MACHINES, OFFICE SIGNS & TELECOMMUNICATIONS**  
**ADMINISTRATIVE OFFICE**

Item No.

Record Series Title, Description and Recommendation

Action Taken

**OFFICE OF INFORMATION TECHNOLOGY**  
**OFFICE MACHINES**

**210.01 Annual Typewriter Maintenance Contracts (Originals) (Hardcopy)**

Dates: 1990 - 2004  
Volume: 2 Cu. Ft.  
Annual Accumulation: N/A  
Arrangement: Chronological by year

**210-01 MOVED; SEE  
2400.001  
APPLICATION 07-09**

This record series consists of agreements between agency departments and the Office Machines Unit that authorize the latter office to service/repair typewriters.

Data include name of department, account number, name of liaison contact, phone number, location of equipment, service number, Southern Illinois University tag number, and description of machine.

Recommendation: Retain in office for five (5) years following termination of contract, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**210.02 Computer Maintenance and Repair Log (Originals) (Hardcopy)**

Dates: 1990 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by year

**210-02 MOVED; SEE  
2400.002  
APPLICATION 07-09**

Contents include work order number, department name, account number, tag number, serial number, contact person, location of equipment, type of work performed, description of problem, amount of order, and month voucher was paid.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

APPLICATION FOR AUTHORITY  
(continued)

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**210.03 Work Orders (Originals) (Hardcopy)**

210-03 MOVED; SEE  
2400.003  
APPLICATION 07-09

Dates: 1977 - 2004  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by year/Negligible by file number

This record series consists of forms, issued by the agency to external vendors, which request service for typewriters/computers.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**Item No.**

**Record Series Title, Description and Recommendation**

**Action Taken**

**FACILITIES MANAGEMENT  
SIGN SERVICES**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**TELECOMMUNICATIONS**

**230.01 Equipment and Telephone Inventory Files (Originals) (Hardcopy)**

Dates: 1984 -  
Volume: 66 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Chronological by year

Data include date of purchase, telephone number, location, department name, and description of item.

Recommendation: Retain in office for two (2) years following supersession by a new inventory, then dispose of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**230.02 Student Billing Files (Originals) (Hardcopy)**

Dates: 1992 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by year, Alphabetical by name

This record series consists of documents which include names of students, dates/locations/times of calls, and cost of calls.

Recommendation: Retain for six (6) fiscal years, then dispose of in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**230.03 Call Detail Records (Originals) (Hardcopy) (Electronic)**

Dates: 1992 -  
Volume: 10 Cu. Ft. / 3 GB  
Annual Accumulation: Negligible/150 MB  
Arrangement: Alphabetical by name, Numerical by file number

This record series consists of information that includes personal billing numbers (PBN), telephone account numbers, and billing data for faculty and staff of the university's telephone service.

Data include name of customer, address of customer, and PBN or telephone account numbers, date/location/time/length of calls.

Recommendation: Retain in office for six (6) years from the date of data entry, then destroy in a secure manner and/or delete from the system provided no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**230.04 Telephone Repair Logs (Originals) (Hardcopy) (Electronic)**

Dates: 1987 - 1998  
Volume: 4 Cu. Ft. / 1.2 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological by year

Data include date of repair, telephone number, description of service, and person contacted.

Recommendation: Retain in office for two (2) years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**230.05 Telephone Service Requests (Originals) (Hardcopy)**

Dates: 1984 -  
Volume: 15Cu. Ft.  
Annual Accumulation: 1/2 Cu. Ft.  
Arrangement: Chronological by year

This record series consists of internal service requests to change telephone numbers, add/remove/repair telephones, or transfer telephones from location to location.

Data include date of service, telephone number, location of phone, description of work performed.

**APPLICATION FOR AUTHORITY  
(continued)**

**Application No. 07-11  
Page 79 of 143**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation: Retain in office for six (6) years then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FACILITIES MANAGEMENT**  
**ADMINISTRATIVE OFFICE**

**240.01 Cash Reconciliations Files (Material and Labor) (Duplicates) (Hardcopy)**

Dates: 1980 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by month

The records include a cash log, copy of collection report, and internal department monthly billing.

Recommendation: Retain for three (3) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**240.02 General Stores Fiscal Officer Reports (Duplicates) (Hardcopy)**

Dates: 1989 -2014  
Volume: 5 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Chronological by month

This record series consists of printouts from Property Control detailing and receiving all monthly charges.

Recommendation: Retain for three (3) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



**Item No.**

**Record Series Title, Description and Recommendation**

**Action Taken**

**FACILITIES MANAGEMENT  
BUSINESS MANAGER**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FACILITIES MANAGEMENT**  
**DIRECTOR'S OFFICE**

**260.01 Craft Retail Reports Originals) (Hardcopy) (Electronic)**

Dates: 1989 -  
Volume: 160 Cu. Ft. / 48 GB  
Annual Accumulation: 8 Cu. Ft. 2.4 GB  
Arrangement: Chronological

This record series consists of listings of various jobs that have been scheduled by physical services personnel.

Reports list date job entered into system, date project scheduled, name of craft involved, estimated hours for completion, description of work, activity name, work order, type and category. These reports are used for scheduling purposes.

Recommendation: Retain in office for two (2) years following date of file generation, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**260.02 Facility Audits (Originals) (Hardcopy)**

Dates: 1992 - 2006  
Volume: 13 Cu. Ft.  
Annual Accumulation: 3/4 Cu. Ft.  
Arrangement: Chronological

This record series consists of reports of assessments of the condition of university buildings by locale categories.

The reports also indicate maintenance performed, whether it was required for life safety compliance or elective, and estimated costs for repairs. The reports list all structures, conditions of the structures, maintenance needs, and comments on findings.

Recommendation: Retain in office for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**260.05 University Building Construction Files and Improvement Files (Originals)**

Dates: 1963 -  
Volume: 460 Cu. Ft  
Annual Accumulation: 10 Cu. Ft  
Arrangement: Alphabetical by project

This record series consists of all construction documentation for university buildings.

Files include original architectural drawings, blueprints, specifications, addenda, mylars, aerial photographs, shop drawings, contracts, field books, change orders, soil borings, architects' certifications, roof warranties, construction payroll reports, project photographs, construction bonds, site reports, applications for payment, site development meeting minutes, operation manuals, correspondence, and proposals.

Recommendation: Retain in the office for five (5) years following the completion of the respective projects, then microfilm and dispose of original paper or offer to transfer the hardcopy (without microfilming) to the University Archives for its accessioning. If the latter is refused by University Archives staff, continue to retain the hardcopy until microfilmed, then dispose of the hard copy. Transfer security and Archives use record series microforms to the University Archives for permanent retention. All office use record series microforms are to be retained in office for seventy-five (75) years, then disposed of providing no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**260.06 Commercial Driver's License (CDL) Drug Testing Files (Originals)**

Dates: 1993-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of drug testing results of employees with a CDL license who drive University vehicles. The files include a list of employees and listing of employees eligible for testing, record of employees tested, records related to the drug testing process, test refusals, and previous employer records with reported violations.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	<ol style="list-style-type: none"><li>1) Retain negative drug test results and listing of employees eligible for testing in office for one (1) year following the test date, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. (Positive test results are forwarded to the University's Human Resources Department and are not maintained by the Office of Facilities Management).</li><li>2) Retain records relating to the drug collection process in office for two (2) years following the test date, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</li><li>3) Retain previous employer records with reported violations in office for three (3) years following the test date, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</li><li>4) Retain records of drug test refusals in office for five (5) years after the test date, then destroy in a secure manner provided all audits have been completed and no litigation is pending or anticipated.</li></ol>	<p><b>Deferred 6/15/11</b></p> <p><b>Disposition approved as amended 7/20/11</b></p>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**260.07 Building Service Workers Overtime List**

Dates: 2008-  
Volume: 1 Cubic Foot  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of lists showing the amount of overtime hours worked by Building Service workers, the worker's name, date, phone number, total hours worked, the event worked, etc. The lists are used to prioritize future overtime availability.

Recommendation: Retain in the office for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/20/13**

**260.08 Building Service Workers Upgrade Lists**

Dates: 2008-  
Volume: 1 Cubic Foot  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This record series consists of lists showing the number of hours worked by a Building Service worker in an upgraded supervisor or foreman's position. Also included are the names of the workers, the date and hours worked, pay date, building number, etc. These lists are used to tabulate pay adjustments for the worker and are reported to the Payroll Department.

Recommendation: Retain in the office for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/20/13**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**260.09 Security/Quality Control Sheets**

Dates: 2000-  
 Volume: 2 Cubic Feet  
 Annual Accumulation: 30 Cubic Feet  
 Arrangement: Chronological

This record series consists of a daily inspection forms that are used for evaluations of campus buildings' physical condition and security. Hallways, classrooms, stairwell, and laboratories are among the locations evaluated on a rating system ranging from good to poor and doors are checked for security purposes. The form is signed and dated with time of day by the inspector. Forms are also used to correlate a building's physical condition with a reported accident or theft.

Recommendation: Retain in office for two (2) years after the date of generation, then destroy in a secure manner or delete from system provided all audits are completed and no litigation is pending or anticipated.

**Disposition  
approved as  
amended  
2/17/16**

**260.10 University Building Construction Files**

Dates: 1963-  
 Volume: 460 Cubic Feet  
 Annual Accumulation: 10 Cubic Feet  
 Arrangement: Alphabetical by project

This record series consists of all construction documentation for University buildings. Contents of the files may include: original architectural drawings, blueprints, specifications, addenda, mylars, aerial photographs, shop drawings, contracts, field books, change orders, soil borings, architects' certifications, roof warranties, construction certified payroll reports, project photographs, construction bonds, site reports, applications for payment, site development meeting minutes, operation manuals, proposals, other related supporting documents, and related correspondence.

This item supersedes State Records Application No. 07-11, item 260.05, in order to update the record series description and to revise the retention recommendation to specify which documents are to be kept permanently or to be kept for specified time periods pursuant to 735 ILCS 5/13-214, per agency request.

Recommendation: A. Retain as-built project information (e.g.: original architectural drawings, blueprints, specifications, addenda, mylars, aerial photographs, shop drawings, and operations manuals) permanently. [Any electronic records must be retained in

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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compliance with 44 Ill. Adm. Code 4400.50, 4400.70 and 4400.80.]

- B. Retain warranty information (e.g.: roof, etc.) for one (1) year after warranty expiration, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- C. Retain construction contract administration files (e.g.: contracts, change orders, certified payroll reports, bonds, site reports, progress reports and project photographs, payment applications, other related supporting documents, and correspondence) for ten (10) years after final contract payment, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. If litigation is pending or anticipated within the final four (4) years of retention, then retain for an additional four (4) years pursuant to the provisions of 735 ILCS 5/13-214.

**260.11 Ad Hoc Committees' Program Files**

Dates: 1995-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of documents generated by ad hoc committees which monitor campus programs/projects designed and implemented by Facilities Management. These files include: program/project descriptions and project reports.

Recommendation: Retain for five (5) years after date of final committee meeting, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**260.12 Daily Shift Activity Reports**

Dates: 2014-  
Volume: 4 Cubic Feet  
Annual Accumulation: 2 Cubic Feet  
Arrangement: Chronological

This record series consists of building services supervisors' daily shift activity reports. These reports document building assignments, names of employees working the reported shift, names of employees who were absent and the reason for the absence (e.g. sick, vacation, jury duty, etc.), and include employee sign-in/sign-out logs.

Recommendation: Retain in office for two (2) years after date of generation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
10/18/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FACILITIES MANAGEMENT**  
**KEY CONTROL**

**270.01 Computerized Key Control Master File (Hardcopy) (Electronic)**

Dates: 1976 -  
Volume: 4 Cu. Ft. / 1.2 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological/Alphabetical/Numerical

This computerized file is compiled from the manual files for use primarily as a cross-reference.

Recommendation: Retain in office for two (2) years from the date the data is superseded, then dispose of or delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
11/18/09**

**270.02 Key Code and Code Change Files (Originals) (Hardcopy)**

Dates: 1976 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Numerical/Chronological

This series of ledgers and files contain the codes needed by the office to "cut" keys to buildings or for access to combinations and electronic access control locks (etc.). The series also shows changes to those codes.

Recommendation: Retain in office for two (2) years from the date of out of service, then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**270.03 Key Requisition Forms and "Sign-Off" Forms (Hardcopy)**

Dates: 1976 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological/Alphabetical

These requisitions and "check-in" forms are maintained by the Key Control Office until the keys are checked in as returned.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for two (2) years from the date of the key's return, then dispose of providing all audits have been completed and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>270.04</b>	<b>Manual Key Issuance and Check-In Files (Hardcopy)</b>	
Dates:	1976 -	
Volume:	13Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological/Alphabetical	
	This is a manual file of key holders and users detailing all essential issuance and control information regarding building and desk/file cabinet keys. This file is cross-referenced with the office's computerized key control file.	
Recommendation:	Retain in office until superseded, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>
<b>270.05</b>	<b>Master Key Request and Approval Correspondence File (Originals) (Hardcopy)</b>	
Dates:	1976 -	
Volume:	13 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological/Alphabetical	
	This correspondence documents all initial requests for key issuances and the Key Control Office's clearance of same.	
Recommendation:	Retain in office for three (3) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Disposition Approved 11/18/09</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**FACILITIES MANAGEMENT**  
**CHIEF OPERATING OFFICER**

**280.01 Electrical Demand Files Including Compact KVA Analysis Reports (Originals) (Hardcopy)**

Dates: 1991 - 2014  
Volume: 3 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by date

This record series is used for monitoring electrical energy demand and use. Quantities of energy used are detailed by the Compact KVA Analysis Reports.

Recommendation: Retain in office for five (5) years, then transfer to the University Archives for permanent retention.

**Disposition  
Approved  
11/18/09**

**280.02 Equipment Operation Logs and Graphs (Originals) (Hardcopy)**

Dates: 1965 -  
Volume: 30 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Daily by shift

This record series consists of daily operating logs of all equipment (boilers, generators, chillers, etc.) at the university. The logs or graphs enable the engineers to spot trends or potential problems with the various types of equipment.

Recommendation: Retain for two (2) years following the date the respective equipment is salvaged, traded-in, or otherwise disposed of, then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**280.03 Equipment Manuals and Instructions (Originals) (Hardcopy)**

Dates: 1963 -  
Volume: 15 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: By manufacturer

This record series consists of operating manuals and instructions for all physical plant equipment on campus such as boilers, generators, and elevators.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation: Retain until the respective equipment is salvaged, traded-in, or otherwise disposed of, then dispose of or transfer to the custody of the new owner, whichever is applicable. **Disposition Approved 11/18/09**

**280.04 Water Quality Testing Information Files (Originals) (Hardcopy)**

Dates: 1987 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of correspondence and testing results on water quality at the university. Test procedures and reports are monitored by the Illinois Environmental Protection Agency (IEPA) and the Illinois State Water Survey.

Internal testing for water quality is done for the university by the Madison County Environmental Control Laboratory.

Recommendation: Retain permanently. **Disposition Approved 11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PURCHASING**

**290.01 Central Purchasing Files (Originals) (Hardcopy)**

Dates: 1963 -  
Volume: 564 Cu. Ft.  
Annual Accumulation: 12.2 Cu. Ft.  
Arrangement: Chronological/Numerical

This series includes the university's purchasing files generated through Central Receiving (etc.) in the provision of operational equipment and supplies as needed throughout the university.

Contained in the file are purchase orders, requisitions, authorizations, Miscellaneous Obligation Documents, cancellations, amendments to purchase orders, vouchers, receiving reports, and related correspondence.

Recommendation: Microfilm as generated or received, then dispose of original source documentation. All record series microforms are to be retained for six (6) fiscal years, then disposed of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**290.02 Vendor Contract Files (Originals) (Hardcopy)**

Dates: 1963 -  
Volume: 22 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological/Numerical

These are copies of vendor contracts entered into by the university for the procurement of goods and services. Related documents in the form of Miscellaneous Obligation Documents, bid specifications, copies of requisitions, and attendant correspondence are also contained in this series.

Recommendation: Microfilm as generated or received, then dispose of original source documentation. All record series microforms are to be retained for six (6) fiscal years following termination of the respective contracts, then disposed of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>290.03</b>	<b>Listings of Lease/Purchase Agreements (Hardcopy)</b>	
	Dates: 1989 - Volume: 2 Cu. Ft Annual Accumulation: Negligible Arrangement: Numerical	
	This record series is a list which shows the status of the University's lease/purchase agreements of equipment and property at fiscal year end.	
	Recommendation: Retain in office for one (1) year following the date that all documented agreements have expired, then dispose of and/or delete from the system.	<b>Disposition Approved 11/18/09</b>
<b>290.04</b>	<b>Surplus Property Receipts</b>	
	Dates: 1970- Volume: 8 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of signed receipts for surplus property delivered to or received by various University departments.	
	Recommendation: Retain in the office for two (2) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/21/11</b>
<b>290.05</b>	<b>Surplus Property Disposition Files</b>	
	Dates: 1970- Volume: 4 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of a record of University surplus property sent to Central Management Systems. The files include written receipts for the shipment (driver sign-off) and an itemized list of property.	
	Recommendation: Retain in the office for five (5) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/21/11</b>

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**290.06 Insured Receipts**

Dates: 1970-  
 Volume: 240 Cubic Feet  
 Annual Accumulation: 6 Cubic Feet  
 Arrangement: chronological

This record series consists of temporary receipts for non-purchase order items to be signed by the merchandise recipient.

Recommendation: Retain in the office for two (2) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**290.07 Loading Dock Logs**

Dates: 1970-  
 Volume: 80 Cubic Feet  
 Annual Accumulation: 2 Cubic Feet  
 Arrangement: Chronological

This record series consists of a log which lists inbound merchandise received by Central Receiving.

Recommendation: Retain in the office for two (2) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/21/11**

**290.08 Business Enterprise Program for Minorities, Females, and Persons with Disabilities (MAFBE) Files**

Dates: 1987-  
 Volume: 8 Cubic Feet  
 Annual Accumulation: Negligible  
 Arrangement: Chronological/alphabetical

The Illinois Business Enterprise Program for Minorities, Females, and Persons with Disabilities (MAFBE) promotes the economic development of businesses owned by minorities, females and persons with disabilities. The “Business Enterprise for Minorities, Females, and Persons with Disabilities Act” which went into effect on August 28<sup>th</sup>, 1994 is designed to encourage state agencies/universities to purchase needed goods and services from businesses owned and controlled by members of these groups. A university may report



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expenditures only from businesses which have been certified by the Business Enterprise Program (BEP) as businesses owned by minorities, females, or persons with disabilities. The certification process is conducted by BEP. In order to qualify, the business must (as required by legislation) be 51% owned by one or more minority persons, and the management and daily business operations be controlled by one or more of the minority individuals who own it.

This record series consists of program expenditure reports, vendor information, legislative data reports retained on minorities and persons with disabilities, and any related correspondence.

Recommendation: Retain in the office for six (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition approved 9/21/11**

**290.09 Certificates of Insurance**

Dates: 1970-  
Volume: 12 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by vendor

This record series consists of certificates of insurance from vendors' insurance agents (companies) who want to sell goods and services to the University. New certificates are received annually by the Purchasing Office to replace the expired certificates.

Recommendation: Retain in the office for one (1) year after the date of expiration of contract, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition approved as amended 9/21/11**

**290.10 Requests for Taxpayer ID Forms**

Dates: 2001-  
Volume: 4 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by vendor

This record series consists of IRS forms (W-9's) that request the vendor's taxpayer identification number.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in the office for six (6) fiscal years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/21/11</b>
<b>290.11</b>	<b>Bid Files</b>	
Dates:	1998-	
Volume:	10 Cubic Feet	
Annual Accumulation:	1 Cubic Feet	
Arrangement:	Alphabetical	
	<p>This record series consists of the competitive bid process documents such as bids and requests for proposals, vendor responses, evaluation of responses and award information and a form completed by the vendor which displays various information regarding ownership, address, products and/or services.</p>	
	<p>The Department of Central Management Services maintains “Bid Files with Related Documents Pertaining to Annual State Contracts, Firm Quantity Contracts, One-Time Procurements and Other Procurement Related Documents” for a period of ten (10) years per authority of State Records Application 90-86, item 1.</p>	
Recommendation:	Retain in the office for ten (10) fiscal years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/21/11</b>

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**290.12 Unsuccessful Bidder Files**

Dates: 1970-  
Volume: 6 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Alphabetical/chronological

This record series consists of non-awarded bids that were issued by the Purchasing Office in cases where bids were not awarded due to various reasons. (e.g. insufficient funding, bidder responses, failure to meet specifications). The files include bids and requests for proposals, vendor responses, evaluation of responses and award information and a form completed by the vendor which displays various information regarding ownership, address, products and/or services.

Recommendation: Retain in the office for three (3) fiscal years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/21/11**

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**290.13 Central Purchasing Files**

Dates: 1963-  
Volume: 564 Cubic Feet  
Annual Accumulation: 12.2 Cubic Feet  
Arrangement: Chronological/Numerical

This record series consists of the University's original purchasing files generated through Central Stores, Receiving, etc., in the procurement and provision of operational equipment and supplies as needed throughout the University. Contents include purchase orders, requisitions, authorizations, miscellaneous Obligation Documents, cancellations, amendments to purchase orders, vouchers, receiving reports, and related correspondence.

This item supersedes State Records Application No. 07-11, item 290.01, in order to revise the retention recommendation to eliminate the microfilm provision, per agency request.

Recommendation: Scan *paper records* as generated and/or received, then destroy original source documentation in a secure manner provided all images have been verified.

**Disposition  
approved  
9/20/17**

Retain *electronic records* (e.g.: scanned, born-digital, or other electronic format) for six (6) fiscal years after date of generation, then delete from system/destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

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**Action Taken**

**FACILITIES MANAGEMENT  
SPACE PLANNING**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**POST OFFICE**

**310.01 Mail Slips (Originals) (Hardcopy) (Electronic)**

Dates: 1988 -  
Volume: 78 Cu. Ft. / 23.4 GB  
Annual Accumulation: 3.75 Cu. Ft. / 1.1 GB  
Arrangement: Chronological

This record series consists of the monthly transaction tapes showing the department, the account number, and the number of pieces needing postage.

Recommendation: Retain in office for two (2) years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**310.02 Mailing Statistics Files (Originals) (Hardcopy)**

Dates: 1980 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological by date

This record series shows the total amount of mail sent by the Southern Illinois University-Edwardsville Post Office throughout each year.

Recommendation: Retain for ten (10) years in office, then transfer to the University Archives for permanent retention.

**Disposition  
Approved  
11/18/09**

**310.03 Monthly Reports and Related Documents (Originals and Duplicates)  
(Hardcopy)**

Dates: 1988 -  
Volume: 52 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Chronological

The monthly report contains the daily summary of postage expenses, the breakdown of charges for each account by 1st class, 3rd class, postage due and UPS, the mailroom

Item No.	Record Series Title, Description and Recommendation	Action Taken
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class charge profile showing the number of pieces and the class of mail charged, a summary of accounts, and an end of the month report showing the monthly totals. The file also contains a monthly account transaction report in computer printout form. The account transaction report contains the daily breakdown of charges by accounts giving the date, time, class, number of pieces, actual postage and postage charged. The file also contains a meter summary tape containing the daily meter readings (the date, pieces, value, and account number). In addition, the file contains meter books that give the monthly breakdown of the meter readings.

Recommendation: Retain in office for six (6) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**310.04 Third Class Bulk Mail Receipts and Monthly Reports (Originals)  
(Hardcopy)**

Dates: 1988 – 2008  
Volume: 21 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Chronological

The mail receipts (PS form 3602) give the number of pieces, the number of pounds, the rate, and postage due. The monthly summary of bulk expenses gives the account number, the number of pieces, the date, and the postage amount.

Recommendation: Retain in office for six (6) fiscal years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**310.05 Mailing Statistics Files**

Dates: 1980-  
Volume: 6 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological by date

This record series consists of files that indicate the total amount of mail sent by the Southern Illinois University-Edwardsville Post Office throughout each year.

This item supersedes State Record Application No. 07-11, item 310.02, in order to reduce the retention period from “permanent” to twenty (20) years per agency request.

Recommendation: Retain in office for ten (10) years after the date of generation, then transfer to the University’s Records Management Office for an additional ten (10) years retention, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**310.06 Mail Box Application Cards**

Dates: 2000-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of application cards for renting a University post office mail box. Card data includes the applicant’s name, address, SIUE identification or driver’s license number, mail box number, beginning/ending service dates, application date and applicant’s signature.

Recommendation: Retain for one (1) year after cancellation of mail box rental, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**



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**EMERGENCY MANAGEMENT AND SAFETY**

**320.01 Occupation Safety and Health Administration (OSHA)/Illinois Department of Labor (IDOL) Compliance Files (Originals) (Hardcopy)**

Dates: 1992 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of documentation retained to comply with OSHA/IDOL-REQUIRED written plans and records. The files include centrally maintained documents, and records of other departments that have related written plans and records.

**Disposition  
Approved  
11/18/09**

Recommendation: Retain in office permanently.

**320.02 Hazardous Waste Facility Inspection Files (Originals) (Hardcopy)**

Dates: 1988 - 1994  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of documentation retained on hazardous waste facility inspections including the actual inspection report (i.e., list of violations/non-compliance) and all related correspondence/memoranda.

**Disposition  
Approved  
11/18/09**

Recommendation: Retain in office permanently.

**320.03 Hazardous Waste Education and Training Files (Originals) (Hardcopy)**

Dates: 1987 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological/Alphabetical

This record series consists of documentation retained by the division to indicate whether Emergency Management and Safety's student workers/employees have been trained and educated in the proper methods of handling of hazardous waste materials.

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The files include completion of training certifications and all related correspondence.

Recommendation: Retain in office for twenty (20) years after graduation or date of last attendance, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**320.04 Hazardous Waste Facility Closure Documentation Files (Originals) (Hardcopy)**

Dates: 1992 - 1994  
 Volume: 2 Cu. Ft.  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series consists of documentation retained on the closure of hazardous waste facilities including closure plans/reports, engineering/approval plans and all related correspondence (i.e., IEPA).

Recommendation: Retain in office permanently.

**Disposition  
Approved  
11/18/09**

**320.05 Hazardous Waste Annual Reports (Originals) (Hardcopy)**

Dates: 1987 -  
 Volume: Negligible  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series consists of annual reports which detail the amount and processing of hazardous waste material generated by the university.

Recommendation: Retain in office permanently.

**Disposition  
Approved  
11/18/09**

**320.06 Hazardous Waste Manifests (Originals) (Hardcopy)**

Dates: 1987 -  
 Volume: 4 Cu. Ft.  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series consists of manifests retained on the university's hazardous waste off-site storage facilities.

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office permanently.	
<b>320.07</b>	<b>Hazardous Materials Incident Reports (Originals) (Hardcopy)</b>	
Dates:	1992 -	
Volume:	2 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of documents detailing any incident involving hazardous waste materials (i.e., tank spillage) on the university premises.	
	The files include the original documents and related correspondence.	<b>Disposition Approved 11/18/09</b>
Recommendation:	Retain in office permanently.	
<b>320.08</b>	<b>(Material) Safety Data Sheets (Duplicates) (Hardcopy)</b>	
Dates:	1987 -	
Volume:	8 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Alphabetical by type of substance	
	This record series consists of copies of (Material) Safety Data Sheets which summarize all general characteristics, properties and potential hazards of chemicals used in the workplace.	
	Originals are maintained by the chemical user.	
Recommendation:	Retain in office permanently.	<b>Disposition Approved 11/18/09</b>
<b>320.09</b>	<b>Recycling Files (Duplicates) (Hardcopy)</b>	
Dates:	1992 - 2002	
Volume:	Negligible	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of documentation retained on the university's recycling program including tonnage reports (i.e., paper recycling) and copies of invoices.	
	Originals are maintained by the Disbursements Office.	
Recommendation:	Retain in office for three (3) years, then dispose of provided all audits have been completed under the	<b>Disposition Approved 11/18/09</b>

**APPLICATION FOR AUTHORITY  
(continued)**

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supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

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**EMERGENCY MANAGEMENT AND SAFETY**

**320.10 Potentially Infectious Medical Waste Manifests (Originals)**

Dates: 2001-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of shipping manifests retained on the disposal of potentially infectious waste and biohazardous waste generated by the University. The manifest includes date and times of shipping, type of waste being shipped, destination, etc.

Recommendation: Retain permanently in office.

**Disposition  
approved  
9/19/12**

**320.11 Hazardous Waste Manifests (Originals)**

Dates: 1987-  
Volume: 4 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of shipping manifests retained on the disposal of the "Resource Conservation and Recovery Act" (RCRA) hazardous waste generated by the University. The federal "Resource Conservation and Recovery Act" gives the EPA the authority to control the generation, transportation, treatment, and disposal of hazardous waste and non-hazardous waste solid wastes. The manifest includes date and times of shipping, type of waste being shipped, destination, etc.

This item supersedes item 320.06 of State Records Application 07-11 in order to revise the record series description per agency request to reflect the RCRA's involvement (No change in the previously approved recommendation is requested).

Recommendation: Retain permanently in office.

**Disposition  
approved  
9/19/12**

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**320.12 Emergency Management Program Files**

Dates: 2006-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of original documentation retained on the Emergency Management Program. The University's Emergency Management and Safety Office develops and revises emergency operations plans, recruits and trains emergency response teams, and operates and maintains an emergency operations center. File contents may include: training exercise documents/materials (e.g.: brochures, videos, courses, etc.) and rosters; certificates of training; other supporting documents; and related correspondence.

Recommendation: Retain for fifteen (15) years after the date of generation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**320.13 Asbestos Management Program Files**

Dates: 1985-  
Volume: 4 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of original documentation retained on the operation of the University's Asbestos Management Program. The University's Emergency Management and Safety Office develops and revises asbestos management plans in conjunction with the Capital Development Board (CDB). File contents may include: CDB Asbestos Management Plans/Reports; Testing and Abatement Reports; other supporting documents; and related correspondence.

Recommendation: Retain in office permanently.

**Disposition  
approved  
9/20/17**

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**320.14 Storm Water Program Files**

Dates: 2000-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of original documentation retained on the University's operation of the Phase II Municipal Separate Storm Sewer System (MS4) Program. The University's Emergency Management and Safety Office teaches, advises, develops, and encourages storm water management in order to promote a healthy environment within the community. File contents may include: permit documentation (e.g.: applications, prevention plans, site maps, descriptions of measures and controls, etc.); Annual Reports (e.g.: MS4, inspections, etc.); other supporting documents (e.g.: notices of intent, notices of termination, etc.); and related correspondence.

Recommendation: Retain for fifteen (15) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**320.15 Radiological Control Administrative Correspondence and Reference Files**

Dates: 1969-  
Volume: 1 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series contains correspondence and license inspection information from both the U.S. Nuclear Regulatory Commission and the Illinois Division of Nuclear Safety. Included is information about inspections of the individual departments of the University which have permission to use radioisotopes.

Recommendation: Retain in office for three (3) years after current administrative value has expired, then transfer to the University Archives for permanent retention.

**Disposition  
approved  
9/20/17**

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**320.16 Radiological Employee Record of Training, Experience and Agreement Files**

Dates: 1969-  
 Volume: 2 Cubic Feet  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series consists of files documenting the training and experience of employees who work with radioactive materials at the University.

Training information includes: type of training; where trained; duration; and whether the training was formal or on-the-job. The four areas of training are: (a) principles and practices of radiation protection, (b) radioactivity measurement, monitoring techniques and instruments, (c) mathematics and calculations basic on the use and measurement of radioactivity, and (d) biological effects of radiation.

The Statement of Experience lists: experience the employee has had with the actual use of isotopes, including the type of isotope; maximum amount where experience was gained; duration and type of formal courses taken.

All University employees who work with radioactive materials must sign the Agreement for the General Rules for Safe Use of Radioactive Materials.

Recommendation: Retain in office for thirty (30) years after date of separation from employment, then transfer to the University Archives for permanent retention.

**Disposition  
approved  
9/20/17**

**320.17 Lab Survey Reports**

Dates: 1994-  
 Volume: ½ Cubic Feet  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series consists of the Laboratory Survey Report, which is used to record the series of wipes taken in the laboratories to check for radiological contamination. Report data includes: the name of the supervisor of the lab, the building, the room, the date of the report, a sketch to record where the wipe was taken, and the code number of the sample vial containing the wipe sample as it was positioned in the scintillation counter.

Recommendation: Retain in office for thirty (30) years after completion of the report, then transfer to the University Archives for permanent retention.

**Disposition  
approved  
9/20/17**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**320.18 Approval for Ordering Radioactive Materials**

Dates: 1969-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by name of radiological investigator's name

This record series contains the documents required to grant authorization for the use and ordering of radioactive materials for use in laboratories. Approvals must be signed by the department physical officer, the lab supervisor and the Radiation Safety Officer (RSO).

Recommendation: Retain in office for thirty (30) years after the term of the last application for a supervisor expires, then transfer to the University Archives for permanent retention.

**Disposition  
approved  
9/20/17**

**320.19 Radiological Waste Disposal Files**

Dates: 1969-  
Volume: 1 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of radiological waste disposal files that include a record of liquid drain disposal, decay on site, and shipping to a waste disposal site.

Recommendation: Retain in office for twenty (20) years after the date of generation, then transfer to the University Archives for permanent retention.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**SAFETY AND SECURITY**  
**POLICE DEPARTMENT**

**330.01 Arrest/Citation Case and Preliminary Hearing Disposition Docket Files (Originals and Duplicates) (Hardcopy)**

Dates: 1980 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This file series documents the attending or arresting officers for each case, case numbers, and ticket numbers for arrest/citation cases initiated by the department. The docket files are maintained primarily for monitoring or implementing the scheduled disposition of cases opened by the department. The docket files also cover preliminary hearing cases.

Application 85-89, item 9, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years, then destroy in a secure manner of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.02 Investigative Case Files (Originals) (Hardcopy)**

Dates: 1964 -  
Volume: 45 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Numerical

This record series contains records of investigations of alleged criminal activity on the campus. Included are incident reports, investigator's reports and supporting notes, disposition of physical evidence reports, destruction of evidence reports, statements from witnesses and suspects, and any related correspondence.

This record series also includes copies of tickets for moving or parking violations, incident reports completed by the campus police for incidents which were of a non-criminal nature, such as reports of loud music, dogs loose on campus, etc., traffic accident reports, lost and found reports if related to a case, and any case related correspondence.

Application 85-89, item 4, is superseded to place the series on a comprehensive records disposition schedule and to reduce the retention period of the series from fifty (50) years to twenty (20) years.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation: Retain in the office until final disposition of the respective case(s), then microfilm and dispose of the original paper. Retain the microfilm in the office for twenty (20) years following the date of generation, then destroy in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.03 Case Number Log and Arrest Log with Related Correspondence (Hardcopy)**

Dates: 1964 -  
Volume: 12 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological and Numerical

This record series documents case number logs which are sequentially assigned as incidents occur. An arrest log assigns arrest numbers as they occur.  
Application 85-89, item 5, is superseded to eliminate the maintenance of the series in the University Archives.

Recommendation: Retain in the office until final disposition of the respective case(s), then microfilm and dispose of the original paper. Retain the microfilm in the office for twenty (20) years following the date of generation, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.04 Criminal Case Disposition Log (Originals) (Hardcopy)**

Dates: 1980 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This is a log of criminal cases involving the department and the disposition status of each case.  
Application 85-89, item 7, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation: Retain in office for two (2) years from the date that all cases on the log are indicated as closed, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**330.05 Daily Shift Commanders' Reports (Originals) (Hardcopy)**

Dates: 1991 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

The Daily Shift commanders' reports show which employees worked the reported shift, the names of any employees who were absent and the reason for the absence, the name of the shift commander, and the weather/road conditions during the shift.

Application 85-89, item 20, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.06 Phone/Radio Calls (Originals) (Electronic)**

Dates: 1993 -  
Volume: 32 MB.  
Annual Accumulation: 2 MB  
Arrangement: Chronological

This record series includes data of all incoming and outgoing telephone and radio calls.

Application 85-89, item 2, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for six (6) months then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.07 Duty Rosters (Originals)**

Dates: 1980 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

The department's record copy time and attendance records are recommended for a corresponding two (2) year retention period.

Application 85-89, item 10, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.08 Employee Equipment/Property Inventory Records (Originals) (Hardcopy)**

Dates: 1980 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by officer

These are officer equipment check-out/check-in forms designed and used internally within the university's Police Department for property control of such University Police Department items as guns, ammunition, uniforms, holsters, badges, flashlights, handcuff cases, shoes, hats, keys, handcuffs, or other police work accessories.

Application 85-89, item 18, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation: Retain in office until rendered obsolete the return or the removal from the property control inventory lists of all documented items or the lapse of three (3) years after the corresponding officers' separation from employment with the university, whichever occurs first, then dispose of, provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.09      General Reference Card File on Crimes and Lost or Stolen Property (Originals) (Hardcopy)**

Dates: 1965 - 2002  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological, Alphabetical, type of crime and location

This general reference card file shows crime incident information consisting of the identities of the principals in the incident, the type of crime and/or relevant particulars of the incident, and the location of the incident. The file cards produced for lost or stolen property provide mainly the types and serial numbers of such property. Because of this file's lack of significant volume and its ongoing reference value, the Police Department recommends a long-term twenty (20) year retention period for this series.

Application 85-89, item 6, is superseded to reduce the retention period of the record series from fifty (50) years to twenty (20) years.

Recommendation: Retain for twenty (20) years (following the date of generation) in office, then destroy in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.10 Mug Shots and General Investigative Photographs of Undeveloped Cases (Originals)**

Dates: 1965 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This record series consists of mug shots taken of offenders and suspected offenders by the University's Police Department or received from other law enforcement agencies.

Also included within this file are investigative photographs connected with incidents never developed into a formal criminal case or associated with misdemeanors or incidents of only a minor nature.

Application 85-89, item 13, is superseded to reduce the retention of mug shots. from fifty (50) years to twenty (20) years.

Recommendation: Retain mug shots in office until the lapse of twenty (20) years from the date of photographing or until receipt of court order for purging, whichever occurs first, then destroy in a secure manner, provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Retain investigative photographs (of this file series) in office for three (3) years, then destroy in a secure manner, provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.11 Property Receipt Logs and Inventory Listings (Originals) (Hardcopy)**

Dates: 1980 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This is a running log and inventory control listing of property received by the department as evidence as lost property, as recovered stolen property, or as office equipment. Each piece of property documented within this series is designated with an internally assigned property control number. Actual disposition of physical evidence reports are to be scheduled for disposition under a separate item of this records disposition application.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Application 85-89, item 17, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for seven (7) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.12 Radar Reports (Originals) (Hardcopy)**

Dates: 1991 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

These reports document mainly the dates, locations, and duration of radar equipment utilization and testing.

Application 85-89, item 19, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.13 Student Patrol Activity Reports (Originals) (Hardcopy)**

Dates: 1992 - 93  
Volume: 4 Cu. Ft.  
Annual Accumulation: 4 Cubic Feet  
Arrangement: Chronological

This record series documents student patrol activity such as sign-in sheets and assigned duties for the work period.

Application 85-89, item 1, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.14 State Traffic Ticket Disposition Log (Originals) (Hardcopy)**

Dates: 1990 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This is a log of state traffic tickets issued and the disposition status of each ticket.

Application 85-89, item 22, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for two (2) years from the date that all cases on the log are indicated as closed, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.15 Vehicle Inspection Reports (Originals) (Hardcopy)**

Dates: 1988 -  
Volume: 20 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Chronological

This record series consists of recordings from tachographs placed in the trunk of each patrol vehicle for tracking the operational efficiency of the vehicle and patrol officers' use of lights/sirens, idling speed, etc., as well as island use and the time of day. Related vehicle inspection reports are included within this file series.

Application 85-89, item 23, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.16 Telephone, Radio, Police and Dispatcher Logs (Originals) (Hardcopy)**

Dates: 1964 -  
Volume: 35 Cu. Ft.  
Annual Accumulation: 1.4 Cu. Ft.  
Arrangement: Chronological

This record series consists of radio, telephone, and dispatcher's logs that are completed daily detailing the particulars of the communication (i.e., name of the person calling, time of the call, and the purpose of the call). Also included are police logs detailing the official activities of the officers.

Application 85-89, item 12, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.17 Uniform Crime Reports (Originals) (Hardcopy) (Electronic)**

Dates: 1988-  
Volume: 8Cu. Ft. / 2.4 GB  
Annual Accumulation: Negligible/150 MB  
Arrangement: Chronological

This report is generated for monthly and annual statistical compilation of arrest and offense data. Originals of these reports are transmitted to the Department of State Police for retention by that agency for ten (10) years under authority of Application 76-159.

Application 85-89, item 25, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office for five (5) years from the date of generation, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.18 Warrant Logs (Originals) (Hardcopy)**

Dates: 1991 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This is a log of all incoming warrants to be served that shows when the warrants were served or recalled.

Application 85-89, item 27, is superseded to place the series on a comprehensive records disposition schedule. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office two (2) years, then destroy in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**330.19 Written Standard Operating Procedures for Officers (Originals) (Hardcopy)**

Dates: 1969 -  
Volume: 8 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series contains procedures, general orders and other amendments which govern police operations.

Application 85-89, item 14, is superseded to place the series on a comprehensive records disposition schedule and to establish a definite retention period for the series. (No revision of the previously approved disposition is proposed.)

Recommendation: Retain in office until superseded then dispose of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**330.20 Clery Act Files and Related Supporting Documents**

Dates: 1990-  
Volume: 10 Cubic. Feet.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of records generated by the university in accordance with the requirements of “The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act” 20 U.S.C. 1092 (f). The Clery Act is a landmark federal law that requires colleges and universities across the United States to disclose information about crime on and around their campuses. The law is tied to an institution’s participation in federal student financial aid programs and it applies to most institutions of higher education both public and private. The Act is enforced by the United State Department of Education.

File series contents include; copies of crime reports; daily crime logs; records for arrests and referrals for disciplinary action; time warning and emergency notification reports; related documentation, such as letters to and from local police complying with the Clery Act; letters to and from campus security authorities; compliance correspondence with the Department of Education; and copies of notices to students and employees about the availability of the annual security report.

Recommendation: Retain in the office for seven (7) years from the date of last activity on file, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
8/21/13**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**TRANSPORTATION**

**350.01 Gas Book Record (Originals) (Hardcopy)**

Dates: 1982 -  
Volume: 20 Cu. Ft.  
Annual Accumulation: 3/4 Cu. Ft.  
Arrangement: Chronological

This record series consists of a log of all gasoline purchases for university vehicles. It is used to monitor fuel usage for the Tank Reconciliation Reports and expenditures.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**350.02 Gas Tickets (Duplicates) (Hardcopy)**

Dates: 1982 -  
Volume: 14 Cu. Ft.  
Annual Accumulation: 1/2 Cu. Ft.  
Arrangement: Alphabetical by vendor and Numerical by vehicle number

This record series consists of the vehicle driver's copies of credit card slips for gasoline purchases. These are used to verify gasoline purchases with invoices from vendors.

Originals are submitted to Purchasing with invoices.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**350.03 Individual Vehicle Record (Duplicates) (Hardcopy)**

Dates: 1975 -  
Volume: 4Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Numerical by vehicle number

This record series consists of the maintenance record of university vehicles.

Entries consist of descriptions of the vehicles, maintenance repairs and oil and gas purchases for the vehicles, and final disposal of the vehicles.

The hard copy is retained by the Transportation Office and the original top sheet is sent to Data Processing for its data entry.

Recommendation: Retain in office for two (2) years following the date the respective equipment is sold, traded, or discarded, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**350.04 Titles and Registrations of University Vehicles (Agency Record Copy) (Hardcopy)**

Dates: 1983 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Numerical by vehicle number

This record series consists of the university's copies of titles and registrations of university vehicles.

Original titles and registrations are maintained by the Vehicle Services Department of the Secretary of State's Office permanently per approved Application 83-68M, item 2.

Recommendation: Retain until the respective vehicles are sold, traded, or reassigned, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**350.05 Trip Tickets (Originals) (Hardcopy)**

Dates: 1982 -  
Volume: 42 Cu. Ft.  
Annual Accumulation: 1.4 Cu. Ft.  
Arrangement: Numerical by vehicle number

This record series consists of data processing cards used to document university vehicle use.

Cards list beginning and ending mileage, destination, date used, credit card number, description of vehicle, cost per mile of vehicle, account name (driver), and account number assigned for charge.

Trip tickets serve as a backup for billing and are considered important since this is the only document with the charged driver's signature.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**350.06 Driver Approval Forms**

Dates: 2008-  
Volume: 4 Cubic Feet  
Annual Accumulation: ½ Cubic Feet  
Arrangement: Chronological

This record series consists of original forms completed by University personnel for approval to drive a University vehicle. These forms are retained by the Office of Transportation Services in order to check an individual's driving record with the appropriate Department of Motor Vehicles. The forms contain the driver's name, date of birth, driver license number and state, license expiration date, and the employee/fiscal officer's signature.

Recommendation: Retain in office for five (5) years following the date of approval, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
3/20/13**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PARKING SERVICES**

**360.01 Parking Fee Collection Receipts (Duplicates) (Hardcopy)**

Dates: 1985 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of copies of receipts issued for paid parking fees and tickets. .

Recommendation: Retain in office for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**360.02 Parking Tickets (Originals) (Hardcopy)**

Dates: 1984 -  
Volume: 20 Cu. Ft.  
Annual Accumulation: 3/4 Cu. Ft.  
Arrangement: Numerical by ticket number

This record series consists of parking violation notices which were issued to students, staff, and visitors of the university. Each ticket shows the ticket number, date, time, permit number, license number, location officer's number, type of violation, and amount of fine.

Recommendation: (A) Retain in office tickets that have been paid or voided for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**360.03 Vehicle Parking Registration Files (Originals) (Hardcopy)**

Dates: 1985 -  
Volume: 48 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Alphabetical and Numerical

This vehicle parking registration file documents the type of permit (i.e., student, faculty, etc.), name of registrant, registrant's address, social security number, parking decal number, vehicle make and model, and license plate number.

Recommendation: Retain in office for two (2) years following the inactivation of registration through separation of the respective registrant from the university through termination of enrollment and/or employment, then destroy in a secure manner providing all audits have been completed and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**360.04 Collection Reports (Daily/Monthly) (Duplicates) (Hardcopy)**

Dates: 1989 -  
Volume: 10 Cu. Ft.  
Annual Accumulation: 1/2 Cu. Ft.  
Arrangement: Chronological

This record series consists of the daily and monthly reports of the collection of fees administered by Parking Services. An original is sent to the Bursar's Office and a copy is returned to Parking Services.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**360.05 Lot B Dispenser Tickets (Originals) (Hardcopy)**

Dates: 1987-2009  
Volume: 17 Cu. Ft.  
Annual Accumulation: N/A.  
Arrangement: Chronological

This record series consists of stub receipts from the pay parking lot. This record shows time parked, and amount paid by customer.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**360.06 Parking and Traffic Violation Appeals (Originals) (Hardcopy)**

Dates: 1989 -  
Volume: 20 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: Chronological by month/Alphabetical by name

This record series consists of a request by a student, visitor or staff to appeal a parking or traffic violation issued by Parking Services. This appeal must be filed within fourteen (14) days after the issuance of the violation.

Recommendation: Retain in office for two (2) years following the final appeals decision, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
11/18/09**

**360.07 Parking Tickets (Originals) (Hardcopy)**

Dates: 1989 -  
Volume: 18 Cu. Ft.  
Annual Accumulation: 6 Cu. Ft.  
Arrangement: Numerical/Yearly

This record series consists of parking violation notices that were issued to students, staff and visitors of the university. The documents record the type of infraction and appropriate fee of the violation.

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Ticket data include date, time, location, permit number, license number, state, license year, make of vehicle and type of violation.

Recommendation: Retain the tickets or abstracted ticket information for tickets that have been paid or voided for three (3) years following the date of settlement, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition Approved 11/18/09**

**360.08 Temporary Parking Permit Stubs (Originals) (Hardcopy)**

Dates: 1991 -  
Volume: 14 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Chronological/By category

These permits are issued for validity periods ranging from daily to two weeks.

Recommendation: Retain in office for two (2) years after the date of issuance, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition Approved 11/18/09**

**360.09 Unpaid Parking Tickets**

Dates: 1989-  
Volume: 8 Cubic Feet/2.4 Gigabytes  
Annual Accumulation: ½ Cubic Feet/150 Megabytes  
Arrangement: Numerical/Chronological

This record series consists of original parking tickets issued to vehicle owners which were illegally parked on campus and have not been paid. Ticket data includes: date, time, location, permit number, license number, state, license year, make of vehicle, and type of violation. [Tickets are maintained in the parking system.]

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain unpaid/uncollectable parking ticket files until they have met final compliance pursuant to the provisions of the Uncollected State Claims Act [30 ILCS 205] then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/20/17</b>
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**360.10 Department of Motor Vehicles' Reports of Registrations**

Dates:	1986 -
Volume:	2 Cubic Feet/600 Megabytes
Annual Accumulation:	Negligible/150 Megabytes
Arrangement:	Chronological and Alphabetical

This record series consists of agency record copies of reports of motor vehicle registrations received from entities charged with such registration. The reports are used as a tracking source to monitor the collection of all fees due the University for the students' privilege of operating personal motor vehicles on campus.

This item supersedes State Records Application No. 07-11, item 120.09, in order to move this record series item from the Bursar to Parking Services, and update the record series title, per agency request. (No change to the overall length of the retention period is proposed.)

Recommendation:	Retain in office for five (5) fiscal years following the date that all collectible fees have been paid and deposited by the Bursar <u>or</u> for five (5) fiscal years following the date that all documented fees outstanding are forfeited by write-off by the Bursar as uncollectible in compliance with all applicable statutory provisions, then destroy in a secure manner and/or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 9/20/17</b>
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**360.11 Vehicle Parking Registration Files**

Dates: 1985-  
 Volume: 48 Cubic Feet/14 Gigabytes  
 Annual Accumulation: 2 Cubic Feet/600 Megabytes  
 Arrangement: Alphabetical and Numerical

This record series item consists of registration documents which include: the type and number of permit; customer status (e.g.: student, faculty, etc.); and registrant data (e.g.: name, address, University ID number, and license plate number). These files may also include: customers' notes from doctors for 30 day temporary disability permits; permit replacements; and on-line permit pick up sheets that customers signed if picking up a permit purchased online.

This item supersedes State Records Application No. 07-11, item 360.03, in order to update the record series description and to make the retention media neutral, per agency request. (No change to the overall length of the retention period is proposed.)

Recommendation: Retain for two (2) years following the inactivation of registration through separation of the respective registrant from University enrollment and/or employment, then destroy in a secure manner or delete from system, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**360.12 Special Request Forms**

Dates: 2005-  
 Volume: Negligible  
 Annual Accumulation: Negligible  
 Arrangement: Chronological

This record series item consists of individual University departments' requests for special parking arrangements (e.g.: guest permits, Lot B code, suspension of ticketing, etc.) for sponsored events.

Recommendation: Retain for two (2) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**360.13 Voided Parking Citations**

Dates: 1985-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical and Chronological

This record series consists of parking citations issued to students, staff, faculty, and visitors of the University that are later voided or waived.

Recommendation: Retain for two (2) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

**360.14 Lot B Refund Receipts**

Dates: 2009-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series item consists of receipt slips issued to customers when pay lot machine(s) cannot dispense proper change.

Recommendation: Retain for six (6) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**360.15 Vehicle Assistance Release Forms**

Dates: 1980-  
Volume: 18 Cubic Feet  
Annual Accumulation: ½ Cubic Feet  
Arrangement: Chronological

This record series item consists of a form which authorizes and waives liability of Parking Services' personnel to provide assistance services to stranded motorists. The form includes: vehicle make, model and year; license information; motorist and personnel signatures; and services provided.

Recommendation: Retain for three (3) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.

Record Series Title, Description and Recommendation

Action Taken

**VICE CHANCELLOR FOR ADMINISTRATION**  
**EAST ST. LOUIS CENTER**  
**(this section was moved from 07-09 (items 1600.001 and 1600.002**  
**formerly V.C. for Academic Affairs)**

**370.01 Program/Project Formulation and Implementation Records (Agency Record Copies)**

Dates: 1966-  
Volume: 25 Cubic Feet  
Annual Accumulation: ¾ Cubic Feet  
Arrangement: Chronological

This series consists of the Center's documentation of its role in the formulation and implementation of its assigned grant programs/projects. Such grant programs/projects documented include: the Upward Bound and Science Awareness Programs, which target first generation college youth; Project STEP (i.e., Special Training Education Program) and Project Success, which serve abuse, neglected, and other disadvantaged youth through DCFS referrals; Project PALS, which is a "latch key" program aimed at servicing children during the immediate hours before and after school to assist working parents; and the Head Start Program, a child development program administered under Center auspices in East St. Louis and its localities in behalf of the Department of Children and Family Services and the US Department of Health and Human Services

File series contents include: grant proposals (successful and unsuccessful); reference duplicates of program/project sub-contracts; any amendments to program/project proposals; annual status reports; final program/project evaluations; and related correspondence/memoranda.

Recommendation: Retain in office five (5) years following the termination and/or completion of the corresponding grant project(s), then dispose of providing all audits (federal and state) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated, and providing all final reports of the grant program results are sent the University Archives for permanent retention.

Retain unsuccessful grant applications, proposals, and related documents for three (3) years lapsed from the date of application or notification of rejection by the granting entity, then dispose of providing all audits (state and federal) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
8/20/08**



Item No.	Record Series Title, Description and Recommendation	Action Taken
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**370.02 Experimental Higher Education Curriculum Student Records (Duplicates)**

Dates: 1966-  
Volume: 42 Cubic Feet  
Annual Accumulation: 1 ½ Cubic Feet  
Arrangement: Chronological and Alphabetical

This series consists of the Center's copies of Experimental Higher Education Curriculum student records, which are principally comprised of academic transcripts and attendant student registration and advisement forms. .

Recommendation: Retain in office until the lapse of five (5) years from the last date of enrollment or graduation of the respective student(s), then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition  
Approved  
8/20/08**

**370.03 Head Start Program Enrollment Files**

Dates: 1978-  
Volume: 330 Cubic Feet  
Annual Accumulation: 10 Cubic Feet  
Arrangement: Chronological and Alphabetical

This record series consists of files of children enrolled in the Head Start program. The files include but are not limited to the following: enrollment/registration documents; individual tracking sheets; pre-admission records; development re-screens; family conferences and verifications; medication folders; parents' report forms; health histories; and other related supporting documents.

Recommendation: Retain in office for one (1) year after date of last attendance, then transfer to the University's Records Management for six (6) years, then destroy in a secure manner and/or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**370.04 Fiscal Management Records**

Dates: 1978-  
Volume: 40 Cubic Feet  
Annual Accumulation: 1 Cubic Feet  
Arrangement: Chronological

This record series consists of (a) duplicate records of invoices, financial and performance reports, collection reports, purchase requisitions and orders, payroll certifications, cost transfers, and audit reports; and (b) original purchase card (P-Card) receipts and monthly statements.

- Recommendation:
- A. Duplicate Records – Retain in office for two (2) fiscal years after the date of generation, then transfer to the University’s Records Management for one (1) year, then destroy in a secure manner and/or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
  - B. Original Records – Retain in office for two (2) fiscal years after the date of generation, then transfer to the University’s Records Management for four (4) years, then destroy in a secure manner and/or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**370.05 Training and Technical Assistance (T/TA) Records**

Dates: 2007-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological and Alphabetical

This record series consists of documentation for employees who are mandated by Head Start and the Department of Children and Family Services (DCFS) to receive fifteen (15) hours of training per year. The files may include: attendance sheets; training certification; and other related supporting documents (e.g.: training event information, etc.).

After employees have completed training courses, the completion information is provided to Head Start and/or DCFS and is maintained by that agency.

Recommendation: Retain for five (5) years after the calendar year in which the training was completed, then destroy in a secure manner and/or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
9/20/17**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**UNIVERSITY PARK**

**380.01 – 380.08 MOVED  
FROM 07-10 (ITEMS  
140.01-140.08)**

**380.01 University Park Incorporation Files**

Dates: 1993-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

University Park at SIUE is a 330-acre technology park located on the campus of Southern Illinois University Edwardsville (SIUE). The park offers business and industry a suburban location with access to valuable human resources, including a capable base of student interns, a highly skilled pool of potential employees and faculty researchers.

This record series consists of documentation retained on the incorporation/administration of the University Park as a University project including: articles of incorporation, by-laws, minutes and related correspondence.

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/19/14**

**380.02 University Park Historical Files (Originals and Duplicates)**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of documentation retained on all operations and activities involving the University Park including copies of Board of Trustees (BOT) actions, dedication ceremony materials (i.e., photos) and all related correspondence/memoranda.

Recommendation: Retain in office for three (3) years, then with the assistance of University Archives staff, review the series and transfer any documents possessing archival value to the University Archives for permanent retention and dispose of all extraneous materials.

**Disposition  
approved  
2/19/14**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**380.03 University Park “Logo” Files**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of documentation retained on the creation of the University Park’s logo in conjunction with the SIUE Marketing and Communications Department.

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/19/14**

**380.04 University Park Lease Files**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of documentation retained on University Park lands which are leased by the SIUE Board of Trustees to individual corporations. The files include leases and memoranda of lease covenants. Copies are also retained by the Office of the Chancellor and the Board of Trustees.

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/19/14**

**380.05 Notices of Tax Assessments and Related Correspondence**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of the Park Corporation’s ownership of property at 195 University Park Drive and its Madison County property tax bills.

Recommendation: Retain in office for seven (7) years then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/19/14**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**380.06 Real Estate Listing Files**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of documentation retained on all University Park real estate transactions including the original agreements with commercial real estate brokers to list available properties and related correspondence/memoranda. A copy is retained in the Chancellor's Office as one of the signatories to the listing agreements on behalf of the Board of Trustees.

Recommendation: Retain in office for two (2) years or until expiration of administrative value, whichever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Deferred  
2/19/14**

**Disposition  
approved  
3/19/14**

**380.07 Utility Provision and Telecommunication Files**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of documentation retained on utility companies and/or private industries providing general services to the University Park including original contracts (i.e. rates/provisions) for service and related correspondence/memoranda.

Recommendation: Retain in office for ten (10) years after the final expiration and/or termination of contract, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/19/14**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**380.08 Vendors' Requests for Proposals**

Dates: 1989-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of documentation retained on vendors' requests for proposals including: copies of original proposals, informational materials received from vendors, committee actions taken and related correspondence/memoranda. Originals are maintained by the University's Purchasing Office for a period of ten (10) years.

Recommendation: Retain in office for five (5) years or until administrative value has expired, whichever is later, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/19/14**