

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

Application No. 07-10
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**STATE OF ILLINOIS
STATE RECORDS COMMISSION**

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

AGENCY

Southern Illinois University at Edwardsville

DIVISION

Office of the Chancellor

SUBDIVISION

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.

SIGNATURE OF AGENCY HEAD

DATE

ACTION TAKEN BY
THE
STATE RECORDS
COMMISSION

David A. Joens

CHAIRMAN

Thomas F. Schwartz, by G.S.

SECRETARY

May 16, 2007

DATE

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.**

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**OFFICE OF THE CHANCELLOR
ADMINISTRATIVE OFFICE**

100.01 Board of Trustees Annual Reports (Agency Record Copies)

Dates: 1958-
Volume: 5 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

The record series consists of annual reports of operations, activities, and business concerning the university as completed by the Board of Trustees.

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

**Disposition
Approved as
Amended
5/16/07**

100.02 Board of Trustees Minutes With Agenda Item Attachments (Originals)

Dates: 1958-
Volume: 20 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of minutes and related documents from the meetings of the Board of Trustees. Documents include internal budgets for operation/personnel administration, various proposals, committee reports, and task force reports.

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

**Disposition
Approved as
Amended
5/16/07**

100.03 Chancellor's Office Administrative Files (Originals and Duplicates)

Dates: 1956-
Volume: 390 Cu. Ft.
Annual Accumulation: 14 Cu. Ft.
Arrangement: Alphabetical by subject

This record series consists of documents and information from throughout the university for reference purposes by the Chancellor.

Files include: correspondence; memos; copies of minutes from faculty senate, committee, and task force meetings; requests for information; copies of approved and/or draft legislation; various publications; copies of contracts;

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bulletins; duplicate administrative reports; copies of bids and proposals; research materials; chancellors' speeches; information on property and equipment; enrollment data; final policies and procedures with development documents, including draft copies; and trustees meeting background materials (i.e. meeting announcements, agenda item attachments, etc.).

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

**Disposition
Approved as
Amended
5/16/07**

100.04 Job Search Files and Unsuccessful Applications for Employment

Dates: 1985-
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological and Alphabetical

This record series consists of documentation maintained on academic and professional staff appointee search files including applications for employment (unsuccessful), job postings, resumes, and any related correspondence. The unsuccessful applications for employment are received in the course of searches for appointment candidates and are also received on an unsolicited basis from individuals inquiring about employment or appointment to vacancies.

Recommendation: Retain the job search files and the associated applications for employment in office for five (5) years following the date of termination of vacancy and/or date of appointment, then dispose of (by shredding) providing no litigation is pending or anticipated.

Retain the unsuccessful unsolicited applications for employment in office for two (2) years from the date of filing, then dispose of (by shredding).

**Disposition
Approved
5/16/07**

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**OFFICE OF THE CHANCELLOR
LEGAL COUNSEL**

110.01 Administrative Correspondence and Related Documents (Originals and Duplicates)

Dates: 1982-
Volume: 26 Cu. Ft.
Annual Accumulation: 2 ½ Cu. Ft.
Arrangement: Chronological by year, Alphabetical by topic

Contents include incoming and outgoing correspondence exchanged by the agency's Legal Counsel and other agency offices, students, and interested groups/individuals external to the university. Files also include initial drafts, memos, and working papers.

Recommendation: Retain initial drafts, memos, and work papers 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. Transfer remaining incoming and outgoing correspondence to the University Archives for permanent retention.

**Disposition
Approved
5/16/07**

110.02 Annual Agreements and Contracts (Duplicates)

Dates: 1982-
Volume: ½ Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series contains contracts/agreements and supporting material between the university and external business and vendors.

Originals are maintained by the Office of Vice Chancellor for Administration, the involved office at the University, and the external entity to the contract/agreement.

Recommendation: Retain in office for five (5) years following expiration of contract/agreement, 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.

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Approved
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Item No.	Record Series Title, Description and Recommendation	Action Taken
110.03	Land Tract Acquisition Files (Agency Record Copies)	
	Dates: 1960- Volume: 2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year	
	Contents include deeds, transfer papers, title documents, legal descriptions, and supporting correspondence.	
	Recommendation: Retain in office for three (3) years, then transfer to the University Archives for permanent retention.	Disposition Approved 5/16/07
110.04	Legal Case Files (Agency Record Copies)	
	Dates: 1982- Volume: 18 Cu. Ft. Annual Accumulation: ½ Cu. Ft. Arrangement: Chronological by year, Alphabetical by name	
	Contents include depositions, settlements, stipulations, discoveries, court orders, and supporting correspondence.	
	SIU-Carbondale permanently retains “Litigation Cases” per item 200.07 of Application 87-62.	
	Recommendation: Retain in office permanently.	Disposition Approved 5/16/07
110.05	“Freedom of Information Act” Administrative Files	
	Dates: 1985- Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This series contains logs, listings of records and files for public dissemination and inspection, and correspondence in request and response to university records access inquiries by public and private entities received and/or generated incidental to the provisions of the “Freedom of Information Act” at 5 ILCS 140/1.1 et seq. (2000 State Bar Edition). Other state agencies have scheduled “Freedom of Information Act” administration files for the same ten (10) year retention period recommended for the disposition of this record series.	

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Recommendation:	Retain in office for ten (10) years lapsed from the date(s) of receipt or generation (whichever occurs last) of the documents, 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 5/16/07
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RISK MANAGEMENT

110.06 Auto and Comprehensive General Liability Claim Files

Dates:	1980 -
Volume:	13 Cu. Ft.
Annual Accumulation:	Negligible
Arrangement:	Numerical by log number

The file includes: Motorist's Report of Illinois Motor Vehicle Accident (SR-1), incident reports, diagrams, estimates for repair of damages (when university drivers are at fault), claim forms, correspondence with insurance adjusters, adjusters' statements, physicians' statements, duplicate court documents generated from claims submitted for liability insurance reimbursements from auto accidents, medical malpractice (etc.), and police reports. The Risk Management Office also coordinates all efforts to collect monies due the university when "other" drivers are at fault in accidents.

The original files are maintained by the Department of Central Management Services for six (6) years after closure per approved Application 84-102.

Recommendation:	Retain in office for six (6) years following the final disposition of the respective claim case file(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.	Dispo siti
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110.07 Bid Specifications and Policies

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

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These are insurance contract bid specification documents generated for the obtainment of insurance coverage on facilities or items ranging from student insurance to athletic insurance and special risks for day care. Agency copies of insurance policies are also included within the file series. The insurance contracts included within the file are normally rebid annually.

Recommendation: Retain three (3) years in office, then review the file and dispose of extraneous materials and retain documents possessing administrative/legal value until the expiration of such value, then dispose of providing no litigation is pending or anticipated.

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110.08 Camper Insurance Audit Claim and Vendor Billing Files

Dates: 1985 -
Volume: 3/4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical by camper

This file series includes desired term of coverage for campers (persons) generated from auditing insurance needs for camps (i.e., baseball camp, wilderness camp, etc.) conducted on university property.

This series also includes contracts (claim forms, investigators' reports, statements, medical reports, diagrams, etc.) and premium and vendor billing files.

Disposition Approved 5/16/07

Recommendation: Retain in office for two (2) years after expiration of the respective contract and/or settlement of all claims thereunder, 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.

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**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
110.09	Copies of Certificates of Insurance Coverage	
	Dates: 1980 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	Originals are maintained by the Chancellor's Office under the provisions of Application 87-61, item 110.01 (allowing for a three year retention period and disposal of documents lacking administrative and legal value).	
	Recommendation: Retain in office three (3) years following the expiration of coverage, then dispose of providing all audits have been completed under the supervision of the Auditor General, no litigation is pending or anticipated, and providing any or all claims filed under the insurance have been finally closed.	Dis pos
110.10	Fiscal Administration File	
	Dates: 1986 - Volume: 4 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological	
	This file series contains the Risk Management Office's copies of forms and documents used to account for the disbursement of official funds for the Risk Management Program.	
	Types of forms/documents included consist of End-of-Month Expenditure Reports, invoice vouchers for settlements, premium payments, endorsement billings, premium audits, purchase orders, requisitions and deposit premiums.	
	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.	Dis nosi

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Item No.	Record Series Title, Description and Recommendation	Action Taken
110.11	Fine Arts Insurance Files	
	Dates: 1992 - Volume: 1/2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This file series includes annual listings/descriptions of items, value of items, and desired term of coverage for items.	
	Recommendation: Retain in office for one (1) year <u>or</u> until expiration of administrative value, whichever is longer, then dispose of provided no litigation is pending or anticipated.	Dis pos
110.12	General Correspondence	
	Dates: 1989 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This is the routine day-to-day correspondence of the Risk Management Office exchanged with insurance providers, other Southern Illinois University-Edwardsville offices and departments.	
	Recommendation: Retain in office for three (3) years, then dispose of provided no litigation is pending or anticipated.	Dis posi
110.13	Log of Collision and Comprehensive Coverage on University Fleet Vehicles	
	Dates: 1990 - Volume: Negligible Annual Accumulation: Negligible Arrangement: N/A	
	This log serves as an insurance coverage listing of all fleet vehicles by description and the department the vehicle is assigned.	
	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, no litigation is pending or anticipated, and providing all administrative value has expired.	Dis nos

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110.14 Marine Articles Floater

Dates: 1984 -
Volume: 1 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological and Numerical by account number

These documents list equipment and facilities by location, brief description, insurance rates, Southern Illinois University-Edwardsville property control numbers, serial numbers, and values for documenting insurance "floaters" issued. Claims must be filed within one (1) year and thirty (30) days from the date of loss.

Recommendation: Retain in office for three (3) years after termination of coverage, then dispose of providing no litigation is pending or anticipated.

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OFFICE OF THE CHANCELLOR
UNIVERSITY GOVERNANCE

120.01 Administrative Correspondence Files (Originals and Duplicates)

Dates: 1982 -
Volume: 4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of administrative correspondence and memoranda retained on senate staff/faculty staff activities.

Recommendation: Retain in office for three (3) years and then transfer to the University Archives for permanent retention.

**Dis
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120.02 Staff Senate/Faculty Senate Files (Originals)

Dates: 1969 -
Volume: 21 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Chronological by school year

This record series consists of documentation retained on staff senate/faculty senate meetings including: minutes and agendas, policy handbooks, governing documents, rules and procedures, etc.

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

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120.03 Faculty/Staff Senate Files (Originals)

Dates: 1969 –
Volume: 21 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by school year

This record series consists of documentation retained on staff/faculty senate meetings including: minutes and agendas, policy handbooks, governing documents, rules and procedures, routine working papers, etc. Routine working papers consist of election ballots, nomination forms, faculty/staff mailing lists, and other paperwork pertinent to each election cycle.

This record series item supersedes State Records Application 07-10, item 120.02 in order to revise the record series description and recommendation.

Recommendation: Retain in office for five (5) years after date of generation, then transfer to the University Archives for permanent **Disposition** retention. Retain routine working papers in office for one (1) year after administrative value is complete, then destroy in a secure manner or delete from system

approved
9/21/16

**APPLICATION FOR AUTHORITY
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**OFFICE OF THE CHANCELLOR
INTERCOLLEGIATE ATHLETICS**

130.01 Administrative Correspondence and Related Documents (Originals and Departmental Copies)

Dates: 1987-
Volume: 50 Cubic Feet
Annual Accumulation: 2 Cubic Feet
Arrangement: Chronological, Alphabetical

This record series consists of incoming and outgoing correspondence exchanged by the Athletic Director's Office and other agency offices, students, and interested groups/individuals external to the university (e.g. issues concerning NCAA). Files also include memos, drafts, and working papers.

Recommendation: Retain in office for three (3) years, then destroy routine documents in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Transfer remaining accumulations to the University Archives for permanent retention.

**Disposition
approved
as amended
6/20/12**

130.02 Athletic Foundation Files (Departmental Copies)

Dates: 1987-
Volume: 25 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files which document fund raising sources for the university's athletic programs. Contents include name and type of source (i.e., individual donors, corporations, promotional groups), fiscal history of contributors, and fiscal pledges. Originals are retained at the SIUE Foundations Office.

Recommendation: Retain in office for three (3) 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
as amended
6/20/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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130.03 Intercollegiate Student Athletic Files (Originals and Departmental Copies)

Dates: 1980-
Volume: 32 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by Name

This record series consists of files documenting personal and academic backgrounds of student athletes. Contents in the record series include scholarship forms, National Collegiate Athletic Association (NCAA) Eligibility Forms, copies of grade transcripts, personal and demographic data, selective service information, and any award documentation. The files are duplicates with the exception of the demographic and award information.

Original documents of scholarships, NCAA Eligibility Forms, grades, and selective service status are respectively maintained by the university's Office of Financial Aid, the NCAA, Office of Admissions and Records, and the Selective Service System. The NCAA requires the retention of eligibility documents for one (1) year after the last date of eligibility.

Confidential material may include correspondence with potential donors, recruits, and/or students, material which contains unique personal identifiers such as social security numbers or university identification numbers or other personal information, material pertaining to actual or potential legal issues, or material required to be destroyed or disposed of confidentially by federal or state law.

Recommendation: Retain in office for five (5) years from the date of generation or the end of eligibility period whichever is longer than 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
as amended
6/20/12**

130.04 NCAA Squad Lists (Originals)

Dates: 1980-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical by Name

This record series consists of annual listings of student athletes participating in intercollegiate sports programs. Data include name of student, year of eligibility, name of sport, financial aid statement, and limitation data to financial aid.

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

**Disposition
approved
6/20/12**

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130.05 Sports Medicine File (Originals and Departmental Copies)

Dates: 1982-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of files which summarize medical treatment of students having sports related illnesses/injuries.

Contents include physical exams, medical histories of students, off-campus records of treatment, and pertinent insurance papers. The documents are originals with the exception of off-campus medical records and insurance papers. The originals of the latter documents are respectively retained by the off-campus health facility/doctor and the participating insurance company.

Recommendation: Retain in office for ten (10) 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
as amended
6/20/12**

130.06 Unsold Tickets to Miscellaneous Athletic Events (Originals)

Dates: 1984-
Volume: 28 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological

This record series consists of unsold tickets to university athletic events.

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

**Disposition
approved as
amended
6/20/12**

130.07 Independent Contractor Analysis Form (Departmental Copies)

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

This record series consists of a form which is required to process payment for services to an individual as an independent contractor. The form includes name, social security number, taxpayer ID#, start and end date, location of

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services, purpose of work, etc. The form establishes proper tax withholding and reporting. Referees and umpires are examples of independent contractors required to complete the form. The originals are retained by the Office of Human Resources.

Recommendation:	Retain in office for three (3) 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 as amended 6/20/12
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130.08 Scheduling Records (Originals)

Dates:	1984-
Volume:	2 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to correspondence; phone notes; contracts; final schedules; and related documentation and correspondence.

Recommendation:	Retain in 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 6/20/12
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130.09 Student Athlete Eligibility Records (Departmental Copies)

Dates:	2007-
Volume:	2 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Alphabetical and Chronological

This record series consists of documentation (e.g. copies of grades, class attendance) verifying student athletes' academic progress by the Office of the Registrar and Intercollegiate Athletics to the NCAA. Originals are retained in the Office of the Registrar.

Recommendation:	Retain in 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 as amended 6/20/12
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130.10 Catastrophic Injury Records (Departmental Copies)

Dates: 1982-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of on-going insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools in the first two years of the claim. This series may include but is not limited to accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence. Originals are retained by the SIU Risk Management Office.

Recommendation: Retain in office for seven (7) years after date of settlement of the claim, 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
as amended
6/20/12**

130.11 Claims Payment Records (Departmental Copies)

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

This record series consists of verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to lists of requests for claims payment; transmittal letters for reimbursement of the institution; Proof of Loss forms; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence. Originals are retained in the SIU Risk Management Office.

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.

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130.12 Competition Records Forms (Originals)

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

This record series consists of forms retained on individual games and competitions that are used to comply with NCAA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director.

Recommendation: Retain in office for ten (10) years, then dispose of or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

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approved
6/20/12**

130.13 Game Arrangement Records (Originals)

Dates: 2003-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of arrangements made for and the schedules of past games. This series may include but is not limited to team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence.

Recommendation: Retain in office for five (5) 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.

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130.14 Game Officials' Evaluation Forms (Originals)

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

This record series consists of the head coach's evaluation of judging officials' performance at individual sporting events. The series is also used to comply with NCAA and conference rules and regulations. Information on the individual forms includes team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature.

Recommendation: Retain in 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
as amended
6/20/12**

130.15 Game Statistics (Originals)

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

This record series consist of the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence.

Recommendation: Retain in office for two (2) years, then transfer to the University Archives for permanent retention.

**Disposition
approved
6/20/12**

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130.16 Play Books (Originals)

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

This record series consists of the strategies, practice time and game plays for each game and the season. This series may include but is not limited to practice plans; game plans; and game results.

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

**Disposition
approved
6/20/12**

130.17 Drug Test Records

Dates: 1999-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the results of drug testing done on student athletes. These records include lab reports; interpretations; and related documentation and correspondence.

Recommendation: Retain **positive test** results in office for five (5) 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. Retain negative test results in 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
as amended
6/20/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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130.18 Practice Schedule Records (Originals)

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

This record series consists of records of practice time for athletic teams and assist in complying with NCAA and conference rules and regulations. This series contains team rosters indicating time spent in practices, training/conditioning, competitions and meetings.

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

**Disposition
approved
6/20/12**

130.19 Recruiting Records (Originals)

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

This record series consists of the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA and conference rules and regulations. This series may include but is not limited to the institution's questionnaire forms with personal, scholastic, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence.

Recommendation: Retain in office for five (5) years or end of eligibility period (whichever is longer), 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
6/20/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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130.20 Student Athletes Academic Advising Records (Originals)

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

This record series consists of academic advising records of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, and conference reporting requirements. These records include letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence.

Recommendation: Retain in office for five (5) years after date of last attendance, 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
6/20/12**

130.21 Student Athlete Dining Rosters

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

This record series consists of the meals consumed by student athletes as part of the training table. This series may include but is not limited to rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence.

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

**Disposition
approved
6/20/12**

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130.22 NCAA and Internal Audit Reports (Departmental Copies)

Dates: 1980-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the NCAA Audit Report and the internal audit reports maintained by the Director of Athletics. The NCAA audit reports contain correspondence, statements of revenue and expenditures, beginning balances, disbursements, expenditures, ending balances, narrative observations, and recommendations. The internal audit is a complete examination of the financial records and a review of the policies of the Athletics Department to determine if any violations have occurred. The report contains the findings, conclusions and recommendations of the auditor. Originals of the audit reports are maintained by the University President, the Director of Athletics, the NCAA Conference Office and/or the auditor.

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
as amended
6/20/12**

130.23 Gift-In-Kind Donor Records (Originals and Departmental Copies)

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

This record series consists of donors who are available to provide services to athletic events as donations and the use of donated funds. Information in this series may include names of donors, names of businesses, type of donations, and level of giving; past gift records; and related documentation and correspondence. The series may also include contribution notices; invoices; purchase orders; and receipts. Original financial and tax documentation are retained at SIUE Foundations.

**APPLICATION FOR AUTHORITY
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Recommendation:

Retain in office for seven (7) years after discontinuation of donations for donor records 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. Retain duplicate financial records in office for three (3) 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
as amended
6/20/12**

**APPLICATION FOR AUTHORITY
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UNIVERSITY PARK

140.001 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**

140.002 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**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
140.003	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
140.004	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
140.005	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

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140.006 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**

140.007 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**

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140.008 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**

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**VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
PUBLIC AFFAIRS**

130 Series through

150.001 News Releases

Dates: 1973-
Volume: 8 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of news releases of newsworthy events for SIUE. The releases may contain event information such as title, activity, location, dates, and time of release.

Recommendation: Retain new releases for significant events and policy matters in office permanently.

**Disposition
approved
2/16/11**

Retain routine releases in office for (10) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

150.002 Biographical Records

Dates: 1957-
Volume: 10 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of biographical data for SIUE faculty and staff. The records are used for public information releases and reference by the staff to provide responses to inquiries. The records may include news clippings, vitae, photographs, personal history data sheets, retirement notices, and obituaries.

Recommendation: Retain in office permanently.

**Disposition
approved
2/16/11**

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150.003 Films, Videotapes, and Sound Recordings

Dates: 1973-
Volume: 6 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of films, videotapes and sound recordings documenting SIUE's activities and events including students, faculty, staff, and intercollegiate athletics with significant relevance to the University's or individual unit's function and mission. These productions may have been created for orientation and recruitment, fund-raising, teaching, research, or publicity.

Recommendation: Retain in office two (2) years, then transfer to the University Archives for permanent retention. University Archives staff will review files and dispose of all routine documents. Any remaining accumulation will be retained permanently in the University Archives.

**Disposition
approved as
amended
2/16/11**

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VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
PHOTOGRAPHIC SERVICE

160.001 Photo Negatives and Color Slides

Dates: 1961-
Volume: 147 Cubic Feet
Annual Accumulation: 3 Cubic Feet
Arrangement: Chronological by year, negative by file number

This record series consists of negative photos and color slides pertinent to miscellaneous events of the university.

Recommendation: Retain in office permanently.

**Disposition
approved
2/16/11**

**APPLICATION FOR AUTHORITY
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**VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
UNIVERSITY GRAPHICS**

170.001 Job Request Records (Internal Only)

Dates: 1990-
Volume: 42 ½ Cubic Feet
Annual Accumulation: 2 ½ Cubic Feet
Arrangement: Chronological by year, alphabetical by name

This record series consists of printing and publication requests from any University staff. Contents include files for publication orders (i.e., work requests, proofs, specifications, photos) and printing requests (i.e., proofs, specifications, invoices, billing forms, purchase orders).

Files are original with exceptions of invoices, purchase orders, and billing forms.

SIU Carbondale maintains “Production Files” for five (5) years per item 180.06 of Application 87-62.

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

**Disposition
approved
2/16/11**

170.002 Collegiate Licensing Firms’ File

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

This record series consists of quarterly reports from the collegiate licensing firm, merchandise revenues from licensing, liability insurance forms, copies of checks, and receipt copies.

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

**Disposition
approved
2/16/11**

**APPLICATION FOR AUTHORITY
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Item No.

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**VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
WSIE**

180.001 FCC Public Inspection File

Dates: 1972-
Volume: 8 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by name

This record series consists of files retained for the FCC and the public for inspection. These files include the following:

NONCOMMERCIAL PUBLIC INSPECTION FILE CHECKLIST

A noncommercial station licensee must maintain the following documents in the public file:

- A) Station Authorization: A copy of the current FCC authorization (technical license), as well as any documents modifying or placing conditions on it. Also, a copy of the station's most recent renewal authorization. (A licensee also must continue to post original licenses at the transmitter control point.)
- B) Applications and related materials: A copy of any pending applications, as well as any correspondence between the FCC and the licensee relating to those applications (i.e., amendments, letters from FCC requesting additional information, petitions to deny, objections, etc.).
- C) Waivers: Copies of the FCC letter decisions granting the station a rule waiver, including, for satellite/repeater stations, waivers of the main studio rule.
- D) Contour maps: Copies of current service contour maps submitted with any FCC application, along with other information in the application showing service contours, main studio location and/or transmitter location.
- E) Ownership reports: The most recent, complete Ownership Report filed with the FCC on Form 323-E
- F) Contracts: Either (a) copies of all contracts and corporate documents required to be filed with the FCC or (b) an up-to-date index or list of such documents, provided that the licensee makes available copies to requesting parties within seven days.
- G) Political file: Records required by Section 73.1943 of FCC rules. The political file must be maintained separately from other documents in the public file.
- H) Equal employment opportunity file: A copy of all annual employment reports, and other materials required by the FCC's current employment rules, filed by the licensee dating from the last renewal grant.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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- I) “The Public and Broadcasting” Manual: A copy of the most recent version of this manual must be retained in the public file, and a copy must be provided free of charge to requesting parties.
- J) Material relating to FCC investigation or complaint: Any material concerning a matter which is the subject of an FCC complaint, investigation or proceeding.
- K) Issues/programs lists: Quarterly issues/programs lists for each quarter of every year dating from the last renewal grant.
- L) Local public notice announcements: A copy of the statement certifying that the licensee complied with local public notice requirements for renewal announcements (including date, time and ext of pre-and post-filing notices).
- M) Donor Lists: The lists of donors supporting specific programs
- N) Must-carry requests (television only): A statement of a noncommercial television station’s request for mandatory carriage on any cable system and any relevant correspondence.

Recommendation:

- A) Station authorization: These materials must be retained in the file until superseded by a new authorization, then disposed of provided all audits have been completed, if necessary, and no litigation is pending or anticipated
- B) Applications and related materials: Retain until action on the application has become final, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- C) Waivers: Applications that seek a waiver of any rule and waiver grants must be retained in the public file so long as the waiver is in effect, then disposed of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- D) Contour maps: Retain until current map is superseded, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- E) Ownership reports: Retain until superseded by a new, complete Ownership Report, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- F) Contracts: Retain until current contract has expired, then dispose of provided all audits have been completed, if necessary, and no

**Disposition
approved as
amended
2/16/11**

**APPLICATION FOR AUTHORITY
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- litigation is pending or anticipated.
- G) Political file: Retain for two years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - H) Equal employment opportunity file: Retain until grant of the next renewal application becomes final, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - I) “The Public and Broadcasting” Manual: Retain until superseded by most recent copy, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - J) Material relating to the FCC investigation or complaint: Retain until the licensee is notified by the FCC that the material may be discarded, then dispose of provided all audits have been completed and no litigation is pending or anticipated.
 - K) Issues/programs lists: Retain until grant of the next renewal application becomes final, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - L) Local public notice announcements: Retain for the same period of time as the renewal application to which it refers, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - M) Donor Lists: Retain for two years from date of the broadcast of the specific program, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
 - N) Must-carry requests (television only); Retain for the duration of the period to which the statement applies, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**APPLICATION FOR AUTHORITY
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180.002 Emergency Broadcast/Authorizations (Agency Record Copies)

180.002- 180.007

Dates: 1986-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This series consists of the authorization forms from the FCC that allows WSIE to broadcast emergency messages and bulletins.

Recommendation: Retain in office for two (2) years following the expiration and/or renewal of the authorization(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
8/20/08**

180.003 F.C.C . Licensing Files (Agency Record Copies)

Dates: 1986-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This series contains applications for FCC License, copies of actual licenses issued to the station from the FCC, all files of license modifications (increases in power, etc.), and all related correspondence. Licenses are renewable every seven (7) years.

Recommendation: Retain in office for eight (8) 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
8/20/08**

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180.004	Music Logs (Originals)	
	Dates: 1992- Volume: 4 Cubic Feet Annual Accumulation: ½ Cubic Feet Arrangement: Chronological	
	This record series consists of a daily computer generated play list of which songs were played on the air.	
	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.	Disposition Approved 8/20/08
180.005	Notification from the FCC of Receipt of Radio License Renewal (Agency Record Copies)	
	Dates: 1986- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	Recommendation: Retain in office for one (1) year 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 8/20/08
180.006	Operation Logs (Originals)	
	Dates: 1990- Volume: 2 ½ Cubic Feet Annual Accumulation: ¼ Cubic Feet Arrangement: Chronological	
	This record series consists of a log that indicates how the transmitter is performing. The log also provides space for the board operator to sign-on remarks by operator, etc. (The FCC requires a minimum retention period of two years for this record series.)	
	Recommendation: Retain in office for two (2) years, 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

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180.007 Program Logs (Originals)

Dates: 1990-
Volume: 29 ½ Cubic Feet
Annual Accumulation: 3 ¼ Cubic Feet
Arrangement: Chronological

These are daily computer printout logs that show the daily activity and directives to the operators.

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
8/20/08**

180.008 Station Administration and Operation Subject Files (Agency Record Copies)

Dates: 1986
Volume: 4 Cubic Feet
Annual Accumulation: ¼ Cubic Feet
Arrangement: Alphabetical

This record series consists of copies of previous applications to the FCC for radio license and radio station license, technical operations material, programming information, correspondence from the public, written requests by political candidates for air time, and ownership reports. This series is maintained and used in close conjunction with item 745.002 (“FCC Licensing Files”).

Recommendation: Retain in office for eight (8) years 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**

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VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
FAST COPY (series 190)

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VICE CHANCELLOR FOR UNIVERSITY RELATIONS
UNIVERSITY MARKETING AND COMMUNICATIONS
SPORTS INFORMATION

130 Series through

200.001 Publication Records

Dates: 1972-
Volume: 12 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of media guides, schedules, promotional literature, photographs, sports statistics, programs, press releases, and calendar of events.

Recommendation: Transfer one copy of each to the University Archives for permanent retention upon publication or distribution.

**Disposition
approved
2/16/11**

Item No.

Record Series Title, Description and Recommendation

Action Taken

OFFICE OF THE CHANCELLOR
EQUAL OPPORTUNITY, ACCESS, AND TITLE IX COORDINATION

210.001 Complaint Files

Dates: 1973 –
Volume: 41 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological and Alphabetical

This record series consists of formal and informal complaints of discrimination and sexual harassment by individuals by the University. Included in the file are a copy of the complaint letter, hearing materials, hearing officer's findings and resolutions, notes and other related correspondence and supporting documents.

Recommendation: Retain in office for five (5) years after settlement of the complaint, 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 9/21/16**

210.002 American's with Disabilities Act (ADA) Files

Dates: 2005-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological and Alphabetical

This record series consists of request forms and supporting documents completed by University employees and/or applicants for employment who believe they have a disability and wish to request a reasonable accommodation under the Americans with Disabilities Act. Supporting documents may include applicable medical records and related correspondence.

Recommendation: Retain in office for five (5) years after date of approval or denial, 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 9/21/16**

**APPLICATION FOR AUTHORITY
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210.003 Affirmative Action Plans

Dates: 1994-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the official record copy of Southern Illinois University Edwardsville's Affirmative Action Plan.

Recommendation: Retain in office two (2) years after date of supersession, then transfer to the University Archives for permanent retention.

**Disposition
approved
9/21/16**

210.004 Minority, Women and Disabled Student Reports

Dates: 2005-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of an agency record copy of an annual report of the minority, women and disabled student populations at the University. The original report is sent to the Illinois Board of Higher Education (IBHE).

Recommendation: Retain in office for two (2) years after date of generation, then transfer to the University Archives for permanent retention.

**Disposition
approved
9/21/16**

210.005 Office of Equal Opportunity, Access and Title IX Coordination Historical Files

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

This record series consists of surveys, correspondence and strategic plans which track the history of the Office of Equal Opportunity, Access and Title IX Coordination. Race Climate Surveys are an example of the surveys administered by the department.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for two (2) years after date of generation, then transfer to the University Archives for permanent retention.	Disposition approved 9/21/16
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210.006 Veterans 100 Plan

Dates:	1973-
Volume:	4 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of the agency record copy of an annual report which includes employment statistics of the University's veterans according to job classifications (e.g. faculty, civil service, administrative and professional staff). The report is sent to the United States Department of Labor's Office of Federal Contract Compliance due to the University's status as a federal contractor.

Recommendation:	Retain in office for seven (7) 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 9/21/16
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210.007 Illinois Board of Higher Education (IBHE) Employment Plans

Dates:	1973-
Volume:	4 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of the agency record copy of a report which indicates the total number of University employees segmented by division and job classification (ethnicity, race, sex, salary range, etc.). The report is completed by the University and then sent to the IBHE in order to provide employment information for federal and state governments and assess the University's growth and status.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
210.008	<p>Recommendation: Retain in office for two (2) years after date of generation, then transfer to the University Archives for permanent retention.</p> <p>Monthly Case Reports</p> <p>Dates: 2008- Volume: 2 Cubic Feet Annual Accumulation: negligible Arrangement: Chronological</p> <p>This record series consists of agency record copies of case summaries of investigations, and complaints of ethnic and religious intimidation, sexual harassment, and affirmative action. The reports are sent to the Illinois Department of Human Rights, Illinois Board of Higher Education, and the Illinois Attorney General's Office.</p>	<p>Disposition approved 9/21/16</p>
210.009	<p>Recommendation: Retain in office for two (2) years after date of generation, then transfer to the University Archives for permanent retention.</p> <p>Title IX Program Files</p> <p>Dates: 2014- Volume: 150 MB Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of documents retained on the annual sexual harassment training program administered by the University. The files include spreadsheets that indicate 1) employees' names, email addresses, department, and test results and 2) employees who have not yet taken the training program.</p>	<p>Disposition approved 9/21/16</p>
	<p>Recommendation: Retain in office for five (5) years after 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.</p>	<p>Disposition approved 9/21/16</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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OFFICE OF INSTITUTIONAL DIVERSITY AND INCLUSION

220.001 Diversity and Inclusion Film Series & Book Club Files

Dates: 2013-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

 This record series consists of files retained on the planning and operation of the Diversity and Inclusion Film series and Book Club. The files include room space confirmations, attendance records, fiscal records, program schedules, calendars, and advertisements.

Recommendation: Retain in office for two (2) years after the date of generation, then transfer to the University Archives for permanent retention.

**Disposition
approved
9/21/16**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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

230-01 through

230.01 Appropriation Legislative Bills (Originals) (Hardcopy)

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 all provided all audits have been completed and no litigation is pending or anticipated.

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230.02 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 and no litigation is pending or anticipated.

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**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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230.03 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 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**

230.04 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.

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230.05 New Account Requests and Supporting Documents (Duplicates) (Hardcopy) (Electronic)

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

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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

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230.06 Operational Budgets (Appropriated Funds) (Originals) (Hardcopy)

Dates: 1986 -
Volume: 14 Cu. Ft.
Annual Accumulation: 1/2 Cu. Ft.
Arrangement: Chronological

These are the university's final budget documents and work papers from which the operational budget is administered.

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.

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230.07 Personal Services Budget Report Forms and Related Working Papers (Originals) (Hardcopy) (Electronic)

Dates: 1983 -
Volume: 20 Cu. Ft. / 6 GB
Annual Accumulation: 3/4 Cu. Ft. / 200 MB
Arrangement: Chronological

These are forms with supporting working papers completed by the Budget Office for the purpose of reporting and formatting budget administration data for review by the various external overseeing and coordinating agencies involved in the administration of university budgets.

These are forms with supporting working papers completed by the Budget Office for the purpose of reporting and formatting budget administration data for review by the various external overseeing and coordinating agencies involved in the administration of university budgets.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
230.08	<p>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.</p> <p>RAMP Appropriation Requests and Budget Expenditure Reports (Originals) (Hardcopy) (Electronic)</p> <p>Dates: 1982 - Volume: 9 Cu. Ft. / 2.7 GB Annual Accumulation: 1/2 Cu. Ft. /150 MB Arrangement: Chronological</p> <p>This is an original budget administration form used under the Resource Allocation Management Planning system to request and justify appropriation allotments.</p>	Dis posi ..
230.09	<p>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.</p> <p>Supplemental Appropriation Request Avoidance Files (Originals) (Hardcopy)</p> <p>Dates: 1986 - 2009 Volume: 1/2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This form is reviewed quarterly by the Budget Office to plan expenditure levels.</p>	Dis posi ..
	<p>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.</p>	Dis posi ..

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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230.10 Trial Balances (Originals) (Hardcopy) (Electronic)

Dates: 1986 -
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.

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230.11 University Investment Agreements (Originals) (Hardcopy)

Dates: 1985 -
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

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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230.12	Investment Program Status Reports (Originals) (Hardcopy) (Electronic)	
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Dates:	1985 -
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.

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