

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

Application No. 07-13  
Page 1 of 27

**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 - Edwardsville

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DIVISION

Vice Chancellor for University Advancement

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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 or digitized 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

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ACTION TAKEN BY  
THE  
STATE RECORDS  
COMMISSION

*David A. Joens*

CHAIRMAN

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

SECRETARY

February 16, 2011

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 or digitized and the original hardcopy record disposed of if the record is microfilmed or digitized in accordance with the standards of the State Records Commission Rules and if the film or digitized copy is retained for the prescribed retention period. **Disposal of records after microfilming or digitizing must be noted on a Records Disposal Certificate.**

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

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.

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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT  
OFFICE OF THE VICE CHANCELLOR**

**100.01      Development Officers' Files**

Dates:                                      1988-  
Volume:                                    4 Cubic Feet  
Annual Accumulation:                  Negligible  
Arrangement:                              Alphabetical

This record series consists of the names of the University Development officers; items of historical significance (e.g. record of major donations); record of length of time served in office; and donor's giving history (e.g. total amounts donated).

Recommendation:                      Retain in office for five (5) years after date of last employment, then with the assistance of the University Archives staff, review the series and transfer any documents possessing archival value to the University Archives for permanent retention and dispose of all routine materials.

**Disposition  
approved  
2/16/11**

**100.02      Annual Report to the Foundation**

Dates:                                      1988-  
Volume:                                    1 Cubic Feet  
Annual Accumulation:                  Negligible  
Arrangement:                              Chronological

This record series consists of an annual narrative report on the overall financial condition of the SIUE Foundation.

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

**Disposition  
approved  
2/16/11**

**100.03      Major Gift Campaign Files**

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

This record series consists of documents related to the major capital

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campaign for the University. The files include pledge forms, scholarship documents, faculty member campaign rolls, and other related campaign documents. The files date from the planning and establishment of the campaign to the final donor list.

Recommendation: Retain in office five (5) years, after final donor list is compiled, then transfer to the University Archives. 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**

**100.04 Fund Raising Campaign Files**

Dates: 1978-  
Volume: 64 Cubic Feet  
Annual Accumulation: 2 Cubic Feet  
Arrangement: Chronological

This record series consists of the documents related to the daily fund raising operations and campaigns by the Annual Giving Department. The file includes donor lists, mailing lists, and call center activity and statistics.

Recommendation: Retain in office five (5) 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**

**100.05 University Foundation and Alumni Board Founders Files**

Dates: 1973-  
Volume: 1 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of the Articles of Incorporation, by-laws, and Internal Revenue Service exemption determination and related correspondence.

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/16/11**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>100.06</b>	<b>University Foundation and Alumni Board Conflict of Interest Disclosure Forms</b>	
	Dates: 1998 Volume: 1 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	This record series consists of “conflict of interest disclosure” forms signed by the Foundation and Alumni board members.	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 2/16/11</b>
<b>100.07</b>	<b>Strategic Development Plan</b>	
	Dates: 1996- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of documents which explain the past, present, and future development plans and operations devised by the University Advancements’ staff. This plan has staffing projections, fund-raising campaign ideas, and other related activities to support University functions and mission. This plan is added to the University’s Strategic Development Plan.	
	Recommendation: Retain in office two (2) years, then transfer to the University Archives for permanent retention.	<b>Disposition approved 2/16/11</b>
<b>100.08</b>	<b>University Foundation and Alumni Board Contracts</b>	
	Dates: 1973- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical	
	This record series consists of signed personnel contracts by board members.	

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Recommendation:

Retain in office for ten (10) years after the member's last board meeting, then dispose of in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

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approved as  
amended  
2/16/11**

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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT  
ALUMNI AFFAIRS**

**110.01 Alumni Membership Files**

Dates: 1977-  
Volume: 20 Cubic Feet  
Annual Accumulation: 1 Cubic Feet  
Arrangement: Alphabetical

This record series consists of alumni's name, address, occupation, membership type, affiliations to other University clubs and/or associations, and type of degree.

SIU Carbondale permanently maintains "Class History Files" per item 110.16 of Application 87-62.

Recommendation: Microfilm and dispose of original paper. Retain all record series microforms in office permanently

**Disposition  
approved  
2/16/11**

**110.02 Membership/Invitation Letters**

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

This record series consists of copies of letters sent to upcoming SIUE graduates offering membership to the Alumni Association.

Recommendation: Retain in office for one (1) year or until superseded by a new membership/invitation letter, whichever is longer, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

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

**110.03 Alumni Surveys**

Dates: 2004-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of surveys sent to alumni members. Returned

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Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>surveys may include evaluations of alumni services and/or solicit alumni feedback to improve the Alumni Association.</p> <p>Recommendation: Retain in office for two (2) years or until superseded by a new survey, whichever is longer, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved as amended 2/16/11</b></p>
<b>110.04</b>	<b>Intern Agreements</b>	
	<p>Dates: 2009- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical</p> <p>This record series consists of files summarizing agreements between the University and student interns related to duties performed. The contents include the agreements and supporting correspondence.</p> <p>Recommendation: Retain in office for five (5) years after the date of last employment, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved 2/16/11</b></p>
<b>110.05</b>	<b>Event Files</b>	
	<p>Dates: 2009- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical</p> <p>This record series consists of files documenting the events administered by Alumni Services. Reports on generated revenues and expenses, and event analysis are included to determine the return on investments and future event feasibility.</p> <p>Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved 2/16/11</b></p>



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**110.06 Stewardship Letters**

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

This record series consists of copies of thank you/memorial/honorary letters sent to or received by alumni (or family), CEO's, Chancellor's and other constituents.

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

**Disposition  
approved  
2/16/11**

**110.07 Alumni/Donor Giving History Lists**

Dates: 1978-  
Volume: 2 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

This record series consists of lists of Alumni Association members and University donors. The lists are for informational and marketing purposes.

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

**Disposition  
approved  
2/16/11**

**110.08 Contracts and Agreement Files**

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

This record series consists of contracts and agreements between the University and outside organizations for services (e.g. catering) provided to the Alumni Association. These files are original documents which are not processed by the University Purchasing Department.

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for ten (10) years after final expiration of the contract or agreement, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	<b>Disposition approved 2/16/11</b>
<b>110.09</b>	<b>Alumni Publications Files</b>	
Dates:	1973-	
Volume:	2 Cubic Feet	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of publications produced by the Alumni Association. Publications may include magazines, catalogs, newsletters, brochures, pamphlets, and flyers.	
Recommendation:	Transfer one (1) copy of each publication to the University Archives for permanent retention.	<b>Disposition approved 2/16/11</b>

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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT  
FINANCIAL AFFAIRS AND INFORMATION SYSTEMS**

**120.01 Budget Analysis and Spreadsheets Working Files**

Dates: 1988-  
Volume: 3 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of source files which evolve into the annual budget of University Advancement. Documents include memos, budget allocations, investment and bank statements, and budget models. These files are divided into three areas: Alumni Association, Foundation, and state accounts.

Recommendation: Retain in office 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  
2/16/11**

**120.02 Financial Records**

Dates: 1988-  
Volume: 3 Cubic Feet  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of purchase orders, requisitions, credit card orders, invoices, bank statements, donations, deposit records (log sheets, deposit forms, registers), financial reconciliation (amount pledged compared to deposits received) forms and other corresponding notes. These records are not processed by the Purchasing Department.

Recommendation: Retain in office six for (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  
2/16/11**

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**120.03 Deeds**

Dates: 1973-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of mortgage/land deeds donated to the University for resale as well as those purchased by the University such as Birger Hall.

Recommendation: Retain in office for six (6) years after closing date for the mortgage/land deeds donated to the University, then transfer to the University Archives for permanent retention.

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

Retain in office one (1) year after the closing date for mortgage/land deeds purchased by facilities and/or related structures constructed with private funds by the Foundation, then transfer to the University Archives for permanent retention.

**120.04 Internal Revenue Service 990 Information Returns**

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

This record series consists of Internal Revenue Service 990 forms. The form states the Foundation's name and address, application guidelines (non-profit qualifications), name of Foundation's board/officers/trustees and a complete list of grants awarded.

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

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approved  
2/16/11**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>120.05</b>	<b>Stipulations and Related Correspondence Regarding the Establishment of a Fund/Account</b>	
	Dates: 1973- Volume: 1 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	This record series of the SIUE Foundation consists of stipulations and correspondence regarding the establishment of a Foundation fund/account.	
	Recommendation: Retain in the Foundation Office permanently.	<b>Disposition approved 2/16/11</b>
<b>120.06</b>	<b>Investment Policy and Portfolio Plans</b>	
	Dates: 1973- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of files containing the Foundation's investment policies. The files also include plans for how the Foundation will allocate their funds in portfolios to maintain long-term growth for the University.	
	Recommendation: Retain in office six (6) years, then transfer to the University Archives for permanent retention.	<b>Disposition approved 2/16/11</b>
<b>120.07</b>	<b>Audited Financial Statements</b>	
	Dates: 1973- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of financial statements audited by external auditors. The file includes management letters, financial statements, and other official documents published as part of the audit.	
	Recommendation: Retain in office three (3) years, then transfer to the University Archives for permanent retention.	<b>Disposition approved 2/16/11</b>

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**120.08 Recipients of Named Scholarships and Honor Awards**

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

This record series consists of listings of recipients of named scholarships and honor awards given by the Alumni Association, Foundations, and other organizations (Meridian Society, etc.)

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/16/11**

**120.09 Pledge Records for Major Gifts and Annual Giving Program**

Dates: 1977-  
Volume: 2 Cubic Feet  
Annual Accumulation: negligible  
Arrangement: Arrangement

This record series consists of pledge record forms for anticipated donors of the Major Gift and Annual Giving Programs. The form includes name, address, phone number(s), type of donor campaign, and amount of pledge.

Recommendation: Retain pledge records for the Annual Giving Program in office for three (3) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain pledge records for the Major Gift Program in office permanently.

**Disposition  
approved  
2/16/11**

Retain records of pledges who do not become donors in office for two (2) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

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SERIES 130-01 thru 180.01  
Moved to -7-10 Office of the  
Chancellor  
(now 150 thru 200.)

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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT**  
**PROSPECT RESEARCH**

**190.01 Donor Prospect Files**

Dates: 2000-  
Volume: 8 Cubic Feet  
Annual Accumulation: 1 Cubic Feet  
Arrangement: Alphabetical

This record series consists of information compiled on possible donors to be used by the Alumni Association and SIUE Foundation. Information includes newspaper clippings, magazine articles, and other sources of biographical data.

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

**Disposition  
approved  
2/16/11**



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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT  
PLANNED GIVING**

**200.01 Alumni Donors' Files**

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

This record series may include memorandums, trusts, wills, declaration of intent, assets, and other items an alumnus donates to the University.

Recommendation: Retain in office permanently.

**Disposition  
approved  
2/16/11**

**200.02 The Gardens at SIUE Files (Moved to Application 07-11, 100.06)**

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

This record series consists of donor lists, records of events (e.g. receptions) held at the Gardens, and previous and future plans for the grounds.

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

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approved  
2/16/11**

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**VICE CHANCELLOR FOR UNIVERSITY ADVANCEMENT  
ANNUAL GIVING**

**210.01     SIUE Fundraising Day Donor Files**

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

      This record series consists of faculty, staff and community solicitations to donate to the University on SIUE fundraising day. The files include lists of participants and community attendees, solicitation pieces, correspondence and statistics on donor giving.

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

**Disposition  
approved  
2/16/11**

**210.02     Direct Mailings Files**

Dates:                             1996-  
Volume:                          2 Cubic Feet  
Annual Accumulation:       Negligible  
Arrangement:                  Alphabetical and Chronological

      This record series consists of the direct mailing program which is performed in the fall, winter and spring. The file includes mailing lists, monthly/annual donor reports, mailing copies, and annual statistics.

Recommendation:             Retain in the Foundation Office for five (5) years, then destroy mailing lists in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. The remainder of the record series is to be retained permanently in the Foundation Office.

**Disposition  
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<b>210.03</b>	<b>Phone Campaign Files</b>	
	Dates: 2001 Volume: 6 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	This record series consists of files compiled during the phone campaigns implemented throughout the year. The files include annual records of solicited calls, pledges' and donors' daily/monthly/annual reports, and calling statistics.	
	Recommendation: Retain in the office for ten (10) 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 2/16/11</b>
<b>210.04</b>	<b>Meridian Society Scholarship Files</b>	
	Dates: 2004- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of files related to the Meridian Society scholarship. The Meridian Society is a women's philanthropic organization dedicated to supporting SIUE while learning more about financial and estate planning issues. The files include membership lists, copies of applications submitted, copies of award receipts, copies of meeting minutes, subcommittee/workshop meeting minutes, Board of Directors meeting minutes, event photos, and copies of any printed materials.	
	Recommendation: Retain in office permanently.	<b>Disposition approved 2/16/11</b>
<b>210.05</b>	<b>Monthly Giving Reports</b>	
	Dates: 1996- Volume: 4 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of reports which are compiled monthly. The report includes giving and pledge statistics by mailings and phone campaigning. These reports are compiled to be included in the Annual Report to the	

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	<p>Foundation.</p> <p>Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved 2/16/11</b></p>
<b>210.06</b>	<b>Student Call Center Reports</b>	
	<p>Dates: 2001- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of reports compiled by the Student Call Center. The reports include the number of prospects, contacts, completed calls, pledges and total hours.</p>	
	<p>Recommendation: Retain in office for ten (10) years, then dispose of provided all audits have been completed if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved 2/16/11</b></p>
<b>210.07</b>	<b>Centralized Solicitation Letters &amp; Scripts</b>	
	<p>Dates: 2001- Volume: negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of solicitation letters and scripts used by Alumni Association personnel for direct mailings and phone campaigns.</p>	
	<p>Recommendation: Retain in office three (3) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Disposition approved 2/16/11</b></p>

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**210.08     Annual Giving Program Codes, Comments, and Changes Index Files**

Dates:                             1973-  
Volume:                            Negligible  
Annual Accumulation:        Negligible  
Arrangement:                    Chronological

                  This record series consists of an index of various codes used to chart donations.

Recommendation:                Retain in office until superseded by the new index, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition  
approved  
2/16/11**