**APPLICATION FOR AUTHORITY** Application No. 14-67

**TO DISPOSE OF STATE RECORDS** Page 1 of 21

**STATE OF ILLINOIS**

**STATE RECORDS COMMISSION**

STATE RECORDS UNIT

ILLINOIS STATE ARCHIVES

SPRINGFIELD, IL 62756

(217)782-2647

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| AGENCY  Eastern Illinois University  DIVISION  President’s Office  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 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.  signature of agency head Date |  | ACTION TAKEN BY  THE  STATE RECORDS  COMMISSION  *David A. Joens*  CHAIRMAN  *Gary Stockton*  SECRETARY  March 18, 2015  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 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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|  |  | **PRESIDENT’S OFFICE – ALL DIVISIONS** | |  |  |
| **50.01** |  | **Fiscal Administration Files (Departmental Copies)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2007- |  |  |
|  |  | Volume: | 100 Cubic Feet/5 GB |  |  |
|  |  | Annual Accumulation: | 25 Cubic Feet/1.25 GB |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of the departmental reference copies of fiscal records which may include copies of the following: monthly expenditures, purchase orders, requisitions, budget files, budget working files, travel vouchers, related correspondence, reports, budget statements, fund forms, bills, invoices and related vouchers. Originals are maintained by the University’s Vice President for Business Affairs Accounting Office/Comptroller.  This item supersedes approved State Records Application No. 95-12, items 140.03, 170.10 and 170.15, in order to consolidate common record series functions into a division wide item for the President’s Office, per agency request. (No change in the length of the retention period is requested.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for three (3) 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. |  | **Disposition approved 3/18/15** |

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| **50.02** |  | **Personnel Files (Departmental Copies)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1977- |  |  |
|  |  | Volume: | 25 Cubic Feet |  |  |
|  |  | Annual Accumulation: | 1 Cubic Feet |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of the departmental reference copies of personnel files for the President’s Office that summarize work histories of civil service, administrative professional, and student employees. Files contain personnel documents which may include: notices of suspension, lay-off, or termination; job classification changes; salary changes; worker’s compensation forms, correspondence; and related materials. Original files for Civil Service employees are retained in the Human Resources Department schedule 11-55, item 230.08.  Original Administrative Professional files are retained in the President’s Administrative Office per item 100.02 of this State Records Application No. 14-67. Original Student Employee Files are retained in the Financial Aid Office per item 900.27 of approved State Records Application No. 96-32.  This item supersedes approved State Records Application No. 95-12, item 170.12, in order to consolidate common record series functions into a division wide item for the President’s Office, per agency request. (No change in the length of the retention period is requested.) | |  |  |
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|  |  | Recommendation: | Retain for five (5) years after date of separation or termination of employment, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. |  | **Disposition approved 3/18/15** |
| **50.03** |  | **Administrative Correspondence and Related Supporting Documents (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2007- |  |  |
|  |  | Volume: | 5 Cubic Feet/1.5 GB |  |  |
|  |  | Annual Accumulation: | 1 Cubic Feet/300 MB |  |  |
|  |  | Arrangement: | Chronological and Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of incoming and outgoing documents that comprise miscellaneous general correspondence and documents for the departments under the President’s Office that are exchanged by offices of the university, federal/state/county/local offices, other offices external to the institution, and various outside entities/individuals, that do not become part of another record series.  This item supersedes approved State Records Application No. 95-12, items 140.01 and 170.01, in order to consolidate common record series functions into a division wide item for the President’s Office and to decrease the retention period from “permanent” and “five (5) years” to “three (3) years”, per agency request. | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for three (3) 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. |  | **Disposition approved 3/18/15** |

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| **50.04** |  | **Attendance Files (Departmental Copies)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2009- |  |  |
|  |  | Volume: | .5 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Chronological and Alphabetical |  |  |
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|  |  | This record series consists of the departmental reference copies of employees’ request for leave slips, records of office attendance, vacation time requested by office staff, log sheets or calendars, and related correspondence | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for two (2) 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. |  | **Disposition approved 3/18/15** |

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|  |  | **ADMINISTRATIVE OFFICE OF THE PRESIDENT** | |  |  |
| **100.01** |  | **Administrative Files** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1940- |  |  |
|  |  | Volume: | 40 Cubic Feet/2 GB |  |  |
|  |  | Annual Accumulation: | 1 Cubic Feet/50 MB |  |  |
|  |  | Arrangement: | Alphabetical by subject |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of original and duplicate correspondence files and administrative reference files detailing matters of the functions, procedures, organization and policy decision-making of the Office of the President of Eastern Illinois University. A breakdown of the file contents would be as follows:   1. Active General Files – would consist largely of correspondence between the President’s Office and the colleges and departments of the university, but would also contain reports, reference material, and policy/planning documents for: 2. Administrative organization charts, manuals, responsibilities, etc.; 3. Audits (External and Internal); 4. Civil Rights (formerly Affirmative Action); 5. College administrative files (for each academic college); 6. Foundation; 7. Board of Trustees/Board of Higher Education: 8. Meeting Reports; 9. Annual Evaluations; 10. By Laws (Duplicate); 11. Boards, Committees, Councils, Organizations – consists of meeting minutes, correspondence from such bodies as: 12. American Association of State Colleges and Universities; 13. Council on Teacher Education; 14. President’s Council (no minutes – notes only); 15. Search Committees (direct report only); and 16. Vice-President – consists of meeting notifications, and copies of reports prepared by the university’s Vice Presidents.   This item supersedes approved State Records Application No. 95-12, item 100.01, in order to update the description of the record series and to make the retention media neutral, per agency request. (No change in the length of the retention period is requested.) | |  |  |
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|  |  | Recommendation: | Retain in office for three (3) years after date of generation, then review the files and take the following steps for disposition:   1. With the review assistance of University Archives staff, destroy in a secure manner or delete from system any routine documents. 2. Retain all original (or only existing copies) of minutes of meetings, special surveys and reports, all policies, procedures, rules and any material documenting activities and planning of the university until they no longer have administrative value, then transfer to the University Archives for permanent retention. |  | **Disposition approved 3/18/15** |

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| **100.02** |  | **Employment Records for Administrative Professionals in President’s Office (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1933- |  |  |
|  |  | Volume: | 3 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical by name/Chronological by year |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of the original employment contract and personnel files for Administrative Professionals within the President’s Office. The employment contracts indicate the terms of employment (length of contract, rate of salary, type of position [probationary, temporary, etc.] and assignment within the university). The prospective employee indicates his/her acceptance of the contract by signing the acceptance statement which is part of the contract. The Personnel Files may include requests to offer appointment, evaluations, personal data sheets, and leave of absence forms.  This item supersedes approved State Records Application No. 95-12, items 100.03 and 100.05, in order to consolidate “Original Employment Contracts and Employment Status Reports” with “Personnel Files” into one record series due to a change in university procedures and to eliminate microfilm from the retention, per agency request. (No change in the length of the retention period is requested.) | |  |  |
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|  |  | Recommendation: | Retain in office for sixty-five (65) years after date of separation or termination of employment, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.  Retain previous accumulations of microfilm in office for sixty-five (65) years after date of separation or termination of employment, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. |  | **Disposition approved 3/18/15** |

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|  |  | **CIVIL RIGHTS OFFICE** | |  |  |
| **200.01** |  | **Civil Rights Complaint Case Files (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1976- |  |  |
|  |  | Volume: | .5 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical by name |  |  |
|  |  |  | |  |  |
|  |  | This record series contains complaints received from applicants, employees and students who believe they have been discriminated against on any basis prohibited by federal and/or state law or University policy. These files also contain notes, hearing committee findings and recommendations, denials of requests for hearings by the Civil Rights Officer as provided in the Discrimination Complaint Procedures, and other related correspondence and supporting documents.  This item supersedes approved State Records Application No. 95-12, item 110.01, in order to update the description of the record series and to make the retention media neutral, per agency request. (No change in the length of the retention period is requested.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain for two (2) years in office after settlement of 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 3/18/15** |
| **200.02** |  | **Civil Rights Equal Employment Opportunity (EEO) Surveys (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1981- |  |  |
|  |  | Volume: | 1.5 Cubic Feet/75 MB |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical by name of department |  |  |
|  |  |  | |  |  |
|  |  | EEO surveys are sent to all applicants; however, the Civil Rights Office only receives about 50% of survey data back from the candidates. Completion of the surveys is optional. The university compiles survey data regarding characteristics related to equal employment opportunities at the University.  This item supersedes approved State Records Application No. 95-12, item 110.04, in order to revise the title, to update the description of the record series, to make the retention media neutral, and to increase the retention from “two (2) years” to “three (3) years”, per agency request. | |  |  |
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|  |  | Recommendation: | Retain for three (3) years in office after date of survey submittal, 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 3/18/15** |
| **200.03** |  | **Civil Rights Monitoring Reports (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1981- |  |  |
|  |  | Volume: | 8 Cubic Feet |  |  |
|  |  | Annual Accumulation: | 2.5 Cubic Feet |  |  |
|  |  | Arrangement: | Chronological by position title |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of forms submitted to the Civil Rights Office when a vacancy is to be filled or a new position is created. The Civil Rights Office monitors hiring practices of faculty and administrative personnel only. Monitoring forms may include the following:   1. Advertising information form showing position description data and educational and experience requirements of the position to be filled; 2. Candidate selection form showing the names of the top candidates for interview, the names of other candidates who ranked high, the number of applicants, the number given consideration, and in some cases why more minorities may not have applied; 3. Requests to Offer Appointment; and 4. Notice of Confirmation from the President when an applicant accepts a position.   This item supersedes approved State Records Application No. 95-12, item 110.05, in order to revise the title, to update the description of the record series, to make the retention media neutral, and to increase the retention from “two (2) years” to “three (3) years”, per agency request. | |  |  |
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|  |  | Recommendation: | Retain for three (3) years in office after conclusion of position search, 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 3/18/15** |

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| **200.04** |  | **Affirmative Action Plans (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1976 |  |  |
|  |  | Volume: | .5 Cubic Feet/50 MB |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of the official agency record copies of Eastern Illinois University’s Affirmative Action Plans.  Duplicates are distributed to all Deans and administrators on campus and to the University Library.  This item supersedes approved State Records Application No. 95-12, item 110.06, in order to decrease the retention from “permanent” to “twenty (20) years” and to make the retention media neutral, per agency request. (No change in the previously approved record series description is proposed.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain for twenty (20) years in office 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. |  | **Disposition approved 3/18/15** |
| **200.05** |  | **Employment Visas and Supporting Immigration Documents (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2002- |  |  |
|  |  | Volume: | 4 Cubic Feet |  |  |
|  |  | Annual Accumulation: | .5 Cubic Feet |  |  |
|  |  | Arrangement: | Alphabetical by last name |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of employment visas and supporting immigration documents regarding citizenship status for faculty and staff. The employee immigration documents may include, but are not limited to: employer petitions for H-1B Visas; United States Citizenship and Immigration Services (USCIS) forms and Notices of Action; and other supporting immigration documents required by faculty and staff according to Federal statutory laws. H-1B Visa holders can apply for permanent residency in the United States. | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain for ten (10) years in office after USCIS approval of the H-1B Visa or date of denied application, then destroy in a secure manner or delete from system provided there is no pending permanent residency application filed by a current employee, all audits have been completed, if necessary, and no litigation is pending or anticipated. |  | **Disposition approved 3/18/15** |

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| **200.06** |  | **Illinois Department of Human Rights (IDHR) and Equal Employment Opportunity Commission (EEOC) Violations Complaint Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2003- |  |  |
|  |  | Volume: | Negligible |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical/Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of Eastern Illinois University-related complaints filed with and investigated by the Illinois Department of Human Rights. The files contain the University’s administrative record, or charges of human rights violations which are either sustained (and disposed of accordingly), closed from lack of jurisdiction, or resolved through conciliation. Files may include: originals and copies of preliminary charge statements; charge reports and forms; public hearing transcripts with associated exhibits; other legal documents incidental to public hearing consisting of affidavits of service, notices and amended notices of conciliation conferences, stipulation agreements, motions and petitions; investigators’ questionnaires, interview reports and notes concerning the charges, records of Appellate Court reviews of Human Rights Commission decisions; terms of settlement and adjustment agreements; and related correspondence including email. | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for ten (10) years after final resolution 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 3/18/15** |
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**INTERNAL AUDIT OFFICE**

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| **300.01** |  | **Audit Reports (Internal) (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2006- |  |  |
|  |  | Volume: | 1.5 Cubic Feet/885 MB |  |  |
|  |  | Annual Accumulation: | Negligible/250 MB |  |  |
|  |  | Arrangement: | Chronological by fiscal year |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of reports, support documents, and working papers for internal audits conducted by the University’s Internal Audit Office. An audit includes procedures, functions, and department’s policies and procedures. All audits are completed on audit software.  This item supersedes approved State Records Application No. 95-12, item 140.02, in order to update the description of the record series and to make the retention media neutral, per agency request. (No change in the length of the retention period is requested.) | |  |  |
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|  |  | Recommendation: | Retain for six (6) 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. |  | **Disposition approved 3/18/15** |

**GENERAL COUNSEL**

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| **400.01** |  | **General Counsel Administrative Correspondence Files (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2008- |  |  |
|  |  | Volume: | 8 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series contains legal advice, and correspondence generated internally between the General Counsel and the President or University departments or programs.  This item supersedes approved State Records Application No. 95-12, item 170.09, in order to add electronic volume and to make the retention media neutral, per agency request. (No changes in the record series description or length of the retention period are requested.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for seven (7) 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. |  | **Disposition approved 3/18/15** |
| **400.02** |  | **Contract Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1996- |  |  |
|  |  | Volume: | 9 Cubic Feet |  |  |
|  |  | Annual Accumulation: | .5 Cubic Feet |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series includes legal opinions and advice from the University’s General Counsel given to the: 1) Office of Procurement, Disbursements and Contract Services (formerly Purchasing) on their contracts with outside vendors to purchase property or services; 2) and other University departments or programs with respect to contracts for such things as architectural services, construction, special events, grants, research, and other subjects. This series includes, but is not limited to, affiliation agreements, articulation agreements, internship agreements, and all administrative, faculty or union agreements, copies of which are retained in this office.  Originals are retained by the various offices including Procurement, Disbursement and Contract Services, Vice President for Business Affairs, Provost/Vice President for Academic Affairs; Facilities Planning and Management; and Employee and Labor Relations.  This item supersedes approved State Records Application No. 95-12, item 170.02, in order to revise the title of the record series, to add electronic record volume, to make the retention media neutral, and to decrease the retention period from “twenty (20) years” to “ten (10) years” (for original documents) and to “five (5) years” (for duplicate documents), respectively, per agency request. (No change in the previously approved record series description is proposed.) | |  |  |
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|  |  | Recommendation: | Retain all original legal opinions, related agreements and related supporting documents in office for ten (10) years after the date of expiration of the contracts to which the opinions relates, 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.  Retain duplicates in office for five (5) years from date of contract expiration, 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**  **as amended 3/18/15** |
| **400.03** |  | **Board of Trustees Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1996- |  |  |
|  |  | Volume: | 1 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series contains copies of the agenda and agenda items of the regular and special meetings of the Board of Trustees, minutes of regular and executive meetings, annual reports, correspondence, and any attorney notes relating thereto. The original documents for the Board of Trustees are retained in the Office of Vice President for University Advancement while the minutes are retained by the President’s Executive Secretary who is the Assistant Secretary to the Board of Trustees. This series also includes recordings of closed meetings of the Board, beginning in February 2004, these recordings are destroyed in accordance with the Open Meetings Act [5 ILCS 120/2.06 (c)].  This item supersedes approved State Records Application No. 95-12, item 170.03, in order to change “Office of External Relations” to “Vice President for University Advancement” in the record series description and to make the retention media neutral regarding the disposition of duplicates, per agency request. | |  |  |
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|  |  | Recommendation: | Retain any original meeting materials in office permanently or transfer to the University Archives for permanent retention.  Retain duplicate meeting materials in the office for ten (10) 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. |  | **Disposition approved**  **as amended 3/18/15** |
| **400.04** |  | **Complaints Files (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1993- |  |  |
|  |  | Volume: | 2 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series is comprised of complaints filed with the United States Department of Education Office for Civil Rights as well as internal files pertaining to Whistleblower complaints. Also included in this series are files relating to Title IX gender equity issues.  This item supersedes approved State Records Application No. 95-12, item 170.04, in order to provide for the incorporation of the file series into this revised records disposition application and to make the retention media neutral, per agency request. (No changes in the previously approved record series description or retention are proposed.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for ten (10) years after final resolution 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 3/18/15** |

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| **400.05** |  | **Employee Grievance Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2003- |  |  |
|  |  | Volume: | 11 Cubic Feet |  |  |
|  |  | Annual Accumulation: | .5 Cubic Feet |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series contains grievance related documents for administrative and professional staff, civil service employees, and faculty. Original grievances from faculty are retained in the Provost’s Office. Original grievances from civil service employees are retained in the Office of Employee and Labor Relations. Original grievances from professional staff may be retained in the Dean’s, Vice President’s, or President’s Office. This series consists of complaints, unit clarification requests, and unfair labor practice charges filed with the Illinois Educational Labor and Relations Board (IELRB). It consists of, but is not limited to, in-house grievances, arbitration hearings, witness statements, transcripts, findings, related correspondence, and appeals and final decisions made by the Board of Trustees and/or the IELRB. This record series also includes any personnel disciplinary and dismissal issues, originals of which are placed in the permanent personnel file of the employee.  This item supersedes approved State Records Application No. 95-12, item 170.05, in order to provide for the incorporation of the file series into this revised records disposition application and to make the retention media neutral, per agency request. (No changes in the previously approved record series description or retention are proposed.) | |  |  |
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|  |  | Recommendation: | Retain in office for ten (10) years after date of case closure, 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 3/18/15** |
| **400.06** |  | **University Land Tract Files (Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1996- |  |  |
|  |  | Volume: | Negligible |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series contains reference copies of deeds, agreements, abstracts and/or title policies, correspondence including e-mail, and related documents for all real property purchased after 1996 by the University. The General Counsel delivers the original documents to the Office of the Vice President for Business Affairs which maintains them permanently per approved State Records Application No. 11-55 (Treasurer’s Office, items 130.02 and 130.03).  This item supersedes approved State Records Application No. 95-12, item 170.06, in order to provide for the incorporation of the file series into this revised records disposition application, to update the referenced application and item numbers cited in the description, and to make the retention media neutral, per agency request. (No changes in the previously approved record series description or the length of thee retention are proposed.) | |  |  |
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|  |  | Recommendation: | Retain in office for ten (10) 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. |  | **Disposition approved 3/18/15** |
| **400.07** |  | **University Litigation Cases (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1996- |  |  |
|  |  | Volume: | 24 Cubic Feet |  |  |
|  |  | Annual Accumulation: | .75 Cubic Feet |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series contains documents relating to lawsuits filed against or on behalf of the University and/or its employees relating to any actions during the course of their official University job duties. These files contain, but are not limited to, pleadings, briefs, correspondence, attorney notes, court transcripts, depositions, and evidence including photographs, departmental files, and other documentation relating thereto. Also included in this series are litigation status reports prepared by legal counsel or Board counsel for updating the University’s President and/or the Board of Trustees on the progress of legal matters. This record series also includes subpoenas which are served on the University for student academic records, employee payroll and benefits records, and other miscellaneous documentation.  This item supersedes approved State Records Application No. 95-12, item 170.07, in order to provide for the incorporation of the file series into this revised records disposition application, to make the retention media neutral and to provide a separate paragraph for subpoenas in the retention, per agency request. (No change in the previously approved record series description is proposed.) | |  |  |
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|  |  | Recommendation: | Retain in office for twenty (20) years after the date the case is closed, 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.  Retain subpoenas for litigation where University is a non-party for three (3) years in office after final date of response, 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 3/18/15** |
| **400.08** |  | **Illinois Department of Human Rights (IDHR) and Equal Employment Opportunity Commission (EEOC) Complaints Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2003- |  |  |
|  |  | Volume: | 1.5 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
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|  |  | This record series contains complaints against the University filed with the Illinois Department of Human Rights (IDHR) and Equal Employment Opportunity Commission (EEOC), as well as complaints filed with the University’s Civil Rights’ office but which did not proceed to the EEOC. Originals that do not proceed to litigation are retained in the Office of Civil Rights.  This item supersedes approved State Records Application No. 95-12, item 170.08, in order to provide for the incorporation of the file series into this revised records disposition application and to make the retention media neutral, per agency request. (No changes in the previously approved record series description or length of the retention period are proposed.) | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain in office for ten (10) years after final resolution 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 3/18/15** |
| **400.09** |  | **University Agreements (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 1996- |  |  |
|  |  | Volume: | 1.5 Cubic Feet |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Alphabetical |  |  |
|  |  |  | |  |  |
|  |  | This record series contains various agreements, including settlement agreements, between the University and another individual or individuals.  This item supersedes approved State Records Application No. 95-12, item 170.13, in order to provide for the incorporation of the file series into this revised records disposition application and to decrease the retention from “permanent” to “twenty (20) years”, per agency request. | |  |  |
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|  |  | Recommendation: | Retain in office for twenty (20) years after date of settlement, 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 3/18/15** |
| **400.10** |  | **Freedom of Information Act Files (Originals and Duplicates)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2009- |  |  |
|  |  | Volume: | 3 Cubic Feet |  |  |
|  |  | Annual Accumulation: | .75 Cubic Feet |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of Freedom of Information requests from public/private individuals or groups; responses to the requests and denials; and related correspondence. This file series may also contain copies of disclosed public records. The Freedom of Information Act requires that copies of all notices of denial be retained in a single central office file that is open to the public.  This item supersedes approved State Records Application No. 95-12, item 170.16, in order to provide for the incorporation of the file series into this revised records disposition application and to make the retention media neutral, per agency request. (No change to the previously approved length of retention is proposed.) | |  |  |
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|  |  | 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, no litigation is pending or anticipated, and no review is pending with the Attorney General’s Public Access Counselor. |  | **Disposition approved 3/18/15** |

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| **400.11** |  | **Ethics Officer Files (Originals)** | |  |  |
|  |  |  | |  |  |
|  |  | Dates: | 2003- |  |  |
|  |  | Volume: | Negligible |  |  |
|  |  | Annual Accumulation: | Negligible |  |  |
|  |  | Arrangement: | Chronological |  |  |
|  |  |  | |  |  |
|  |  | This record series consists of the Ethics Officer’s files with regards to complaints, investigations, correspondence, and final reports to the Office of the Executive Inspector General (OEIG) regarding on-line ethics trainings. The files may include, but are not limited to:   1. Copies of the University’s ethics policies and procedures; 2. Copies of complaints of violations of laws, rules, regulations and policies from the OEIG; 3. Final investigation reports from the OEIG; 4. Agency record copies of the Statements of Economic Interest maintained by the University’s General Counsel Ethics Officer; and 5. All related correspondence and supporting documents pertaining to the duties of the Ethics Officer (printed e-mails are retained chronologically).   Original Statements of Economic Interest are maintained by the Office of the Secretary of State’s Index Department for a period of fifty (50) years per item 1 of approved State Records Application No. 95-84. Original Ethics Training Certificates are maintained by the University’s Human Resources Office for five (5) years per item 240.03 of approved State Records Application No. 11-55. | |  |  |
|  |  |  | |  |  |
|  |  | Recommendation: | Retain Statements of Economic Interest 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.  Retain all complaints, investigation reports, related correspondence and supporting documents in office for ten (10) years after date of closure, 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 3/18/15** |