# APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS

**STATE OF ILLINOIS**  
**STATE RECORDS COMMISSION**

**APPLICATION NO. 86-26**

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

**RM M RM-7.1**

**AGENCY**  
Governors State University

**DIVISION**  
Vice-President for Administration and Planning

**RECOMMENDATION:**

Jim Edgar  
12/18/86

**HEAD OF AGENCY**  
4/25/86

**STATE RECORDS COMMISSION APPROVAL:**

Michael Byrne  
DEC 18 1986

**SUBMIT ORIGINAL AND TWO COPIES TO STATE RECORDS COMMISSION WITH SAMPLES OF EACH ITEM LISTED.**

<table>
<thead>
<tr>
<th>ITEM NO.</th>
<th>DESCRIPTION OF ITEMS OR RECORD SERIES</th>
<th>ACTION TAKEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td><strong>Administrative Correspondence and Reference (Academic Affairs) (Duplicate)</strong></td>
<td>DISPOSITION Approved</td>
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</table>

**Dates:** 1980 -  
**Volume:** 9 Cu. Ft.  
**Annual Accumulation:** 1 3/4 Cu. Ft.  
**Arrangement:** Subject

This record series consists of the administrative correspondence and reference (academic affairs) files for the office for Administration and Planning. The records generally include: correspondence with all departments; academic council; course syllabi; curriculum realignment (changes in academic programs - e.g. add courses); competency based education reports; Liberal Education Project; professional appointments/retreats; University Governance Council (executive management); special committees; and student senate.

**Recommendation:** Retain three (3) years in office, then review files and weed out any materials which no longer possess any administrative value and offer to the University Archives prior to any disposal.
## 2. Administrative Correspondence and Reference Files (Administration and Planning)

**Dates:** 1972-  
**Volume:** 35 Cu. Ft.  
**Annual Accumulation:** 2.5 Cu. Ft.  
**Arrangement:** Alphabetical

This record series consists of the administrative correspondence and reference files for the office of Administration and Planning. The records generally include: administrative procedures manual; business cards; legal contracts; off campus educational activity contracts; emergency notification plans; authorized signatures; institutional reports to the BOG; computer center reference files; CCC - cooperative computer center reports; President's reports to the BOG; institutional research files - reports/studies; commencement files; institutional surveys; Ramp documents; board meeting information; Department of Public Safety personnel; physical plant operations; BOG reports; Board of Higher Education reports; Affirmative Action; University relations; and commencement files.

**Recommendation:** Retain three (3) years in office, then review file and weed out any materials possessing long-term historical value (minutes of meetings, policy formulation correspondence, significant departmental reports, etc.) and retain these records permanently in the office or University Archives. Records which do not possess any historical value are to be disposed.

**Disposition:** Approved

## 3. Program Activity Files (Originals)

**Dates:** 1979-  
**Volume:** 10 Cu. Ft.  
**Annual Accumulation:** 2 Cu. Ft.  
**Arrangement:** Alphabetical by Category

This record series consists of all reports, surveys, and requests for modifications/extension of Governors State University's academic programs that are submitted to the University's governing board (Board of Governors of State Colleges and Universities and the Illinois Board of Higher Education). Included in these files are: Requests for Reasonable and Moderate Extension; New and Expanded Program Requests and Improved Program Requests; Individual Institutional Program Reviews; BHE State-wide Program Reviews; BOG Program Staters Reviews; and Support Unit Academic Program Reviews.

The Board of Governors of State Colleges and Universities maintains their copies of these documents permanently (see application #84-5, item number 1). Additional copies of these records are submitted to the Board of Higher Education and that body has no State Records Commission authority for disposition at the current time.
### Recommendation:
Retain five (5) years in office then review files and weed out any materials which no longer have any administrative value and offer to the University Archives prior to any disposal. Any materials not accepted for archival transfer may be disposed of if no litigation is pending or anticipated.

### Planning Committee Files (Orginals)

**Dates:** 1979 -  
**Volume:** 9 Cu. Ft.  
**Annual Accumulation:** 2 Cu. Ft.  
**Arrangement:** Alphabetical by Category

This record series consists of the records maintained for the University's Planning Committee created in 1979 to assist in the goal-setting and the establishment of priorities for Governors' State University. Document types found in this series include: organization charts, annual evaluations of the University's planning progress; plans for computer installations; economic impact studies; planning manuals; planning committee membership lists, calendars, minutes and agendas, and subcommittee reports; reorganizational proposals, statistical data.

**Recommendation:** Retain three (3) years in office then review files and dispose of any materials no longer possessing any administrative value. Minutes of meetings, special surveys and reports and any other material which possess long-term historical, archival or administrative value are to be retained permanently - either in the office or the University Archives.

### Research/Grant Administration Files (Originals)

**Dates:** 1978 -  
**Volume:** 4 Cu. Ft.  
**Annual Accumulation:** 3/4 Cu. Ft.  
**Arrangement:** Chronological by Fiscal Year

This record series consists of the research/grant administration files maintained by the Office of Administration and Planning which document the proposals prepared by University staff for Federal Title III funding. Included in these files are: the original grant/research project funding proposal; notice of award; budget outlines for the project; monitoring reports which detail the activities of the grant recipient and progress; research contracts; reports on Research Grants and Contracts Received and Proposals submitted; Grants Workload Statement forms; Final Evaluation Reports; miscellaneous correspondence and reference/instructional information; and working papers. Examples of grant/research projects contained in this record series are: Model Credentialing Program for Drug Abuse Workers; grants from the U.S. Department of Energy on Institutional Conservation; Chicago Metropolitan Area Planning Consortium Proposal; grants from the National Science Foundation; Title III Grants for Research.
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<td>40.</td>
<td>Retain six (6) years in office, then review files and dispose of all materials no longer possessing any administrative value due to the fact that all grant activities have ceased and provided all audits have been completed under the supervision of the Auditor General, if necessary and no litigation is pending or anticipated. All special reports and/or final evaluation reports are to be maintained permanently - either in the office or the University Archives.</td>
<td>Disposition Approved</td>
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Application 86-26, Item 5, has been superseded by Application 86-26A, Item 5A (see page 8 below.)
6. Contract Files (Duplicates)

Dates: 1971 -
Volume: 8 Cu. Ft.
Annual Accumulation: 1/2 Cu. Ft.
Arrangement: Chronological by Fiscal Year

This record series consists of duplicate contracts for professional services and leases for rental of both real property and equipment entered into by Governors' State University with other governmental entities or private vendors. The official University record copies of these files are maintained by the Business Office for five (5) years following expiration of the contract or agreement.

Recommendation: Retain five (5) years following expiration of the contract or agreement, then dispose of.

7. Project Construction Files (Duplicates)

Dates: 1975 -
Volume: 4 Cu. Ft.
Annual Accumulation: 1/2 Cu. Ft.
Arrangement: Alphabetical

This record series consists of both original and duplicate documents which detail the planning; acquisition of property, letting of bids, contract initiation (architect, contractor, subcontractor, etc.) and actual construction to the final acceptance of a building project at Governors State University. Documents found in this file series include: land acquisition contracts; program statements; user correspondence and duplicate contracts, plans and specifications. (The originals of these documents are maintained by the Capital Development Board permanently).

Recommendation: Upon the expiration of administrative value, dispose of.
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<td>8.</td>
<td>Fiscal Transaction Files (Duplicate)</td>
<td>Disposition Approved</td>
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<td></td>
<td>Dates: 1971 -</td>
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<td></td>
<td>Volume: 19.5 Cu. Ft.</td>
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<td>Annual Accumulation: 1.5 Cu. Ft.</td>
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<td>Arrangement: By Fiscal Year</td>
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<td>This record series consists of the fiscal transaction files for the office for Administration and Planning. The records generally include; requisitions, travel vouchers, budget records (university published budget books), water service agreements, and land acquisition agreements. The records also include contract files containing contracts for: utility companies; law firms; institutions for educational programs; data processing companies; financial institutions for loans; vendors and the YMCA.</td>
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<td>Recommendation: Retain in office for three (3) years then dispose of.</td>
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<td>9.</td>
<td>Academic Program Review Data Base</td>
<td>Disposition Approved</td>
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<td></td>
<td>Dates: 1977 -</td>
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<td></td>
<td>Volume: 4 Cu. Ft.</td>
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<td>Annual Accumulation: Negligible</td>
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<td>Arrangement: Chronological</td>
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<td>This record series consists of statistics on the number of students enrolled (by major), annual degrees awarded, faculty full-time equivalencies; student credit hours and service ratings. These reports are published fall trimester and submitted to the Dean and department chair of every college in the University. Excerpts of the data base are incorporated in the Board of Governors Academic Program Review.</td>
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<td>Recommendation: Retain in office for three (3) years, then dispose of.</td>
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<td>10.</td>
<td>Alumni Study File (Originals)</td>
<td>Disposition Approved</td>
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<td></td>
<td>Dates: 1982 -</td>
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<td></td>
<td>Volume: Negligible</td>
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<td></td>
<td>Annual Accumulation: Negligible</td>
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<tr>
<td></td>
<td>Arrangement: Alphabetical</td>
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<td>This record series consists of computer printouts of Alumni Studies. Included in the files is data on the demographics makeup, race, age, income, residency patterns and employment statistics of every graduate by College in the University. These studies are completed by the Alumni Office and Institutional Research and Planning. Copies of the studies are sent to the President, Vice President and the Dean of each College.</td>
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<td>Recommendation: Retain permanently either in the office or the University Archives.</td>
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APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS

STATE OF ILLINOIS
STATE RECORDS COMMISSION

AGENCY
Governors State University

DIVISION
V.P. for Administration and Planning

SUBDIVISION

Pursuant to the provisions of the State Records Act (5 ILCS 16011 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]
SIGNATURE OF AGENCY HEAD

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.
5A. Research/Grant Administration Files

Dates: 1980-
Volume: 22 Cubic Feet
Annual Accumulation: ¾ Cubic Feet
Arrangement: Alphabetical and Chronological

This record series consists of the Research/Grant Administration Files maintained by the Office of Sponsored Research which documents the proposals prepared by university staff for Federal Title III funding.

Included in these files are: the original grant/research project funding proposal; notice of award; budget outlines for the project; monitoring reports which detail the activities of the grant recipient and progress; research contracts; reports on Research Grants and Contracts received and proposals submitted; Grants Workload Statement forms; Final Evaluation Reports; miscellaneous correspondence and reference/instruction information; and working papers.

Examples of grant/research projects contained in this series are: Model Credentialing Program for Drug Abuse Workers; grants from the U.S. Department of Energy on Institutional Conservation; Chicago Metropolitan Area Planning Consortium Proposal; grants from the National Science Foundation; Title III Grants for Research.

This item supersedes item 5 of approved State Records Application 86-26 in order to update the recommendation and to change the retention period from six (6) years to five (5) years from the date of the submission of the final expenditure report. (No change in the previously approved description is proposed).

Recommendation: Retain in office for five (5) years from the date of the submission of the final expenditure report, 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. All special reports/final evaluation reports are to be maintained permanently in the office or the University Archives.
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]

DATE: 7/21/15

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.
5B. Institutional Review Board (IRB) Research Files

Dates: 2001-
Volume: 6 Cubic Feet
Annual Accumulation: 2 Cubic Feet
Arrangement: Numerical by protocol number

This record series consists of various Institutional Review Board (IRB) research documents which includes, but are not limited to:

1. Protocol review type or exemption forms;
2. Research proposals reviewed by the IRB;
3. Approved informed consent documents;
4. Progress reports submitted by investigator;
5. Reports of injuries to subjects;
6. Records of continuing review activities;
7. Statements of significant new findings provided to subjects;
8. Correspondence between the IRB and investigators; and
9. Other documentation pertinent to the study.

The recommendation for this record series is based on the requirements of the Code of Federal Regulations (45 C.F.R. §46.115) that states: “The records required by this policy shall be retained for at least 3 years, and records relating to research which is conducted shall be retained for at least 3 years after completion of the research. All records shall be accessible for inspection and copying by authorized representatives of the department or agency at reasonable times and in a reasonable manner.”

Recommendation: Retain in office for five (5) years after the project protocol end date or completion of the research, 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.