

RECORDS DISPOSITION AUTHORIZATION

**UNIVERSITY OF ILLINOIS ARCHIVES
STATE OF ILLINOIS RECORDS COMMISSION**

UNIVERSITY OFFICES SPRINGFIELD	X CHICAGO URBANA-CHAMPAIGN	Application No: UIC 02-01 Page 1 of 9 Pages
COLLEGE OR ADMINISTRATIVE UNIT University Library		APPROVALS
DEPARTMENT Special Collections		ARCHIVIST DATE <i>Shirley O. Fisher 8 Apr 2002</i>
OFFICE		UNIVERSITY DATE <i>Michelle M. Thompson April 10, 2002</i>
Pursuant to Article VI, Section 4 of the General Rules Concerning University Organization and Procedure and the provisions of the <i>State Records Act</i> (5 Ilcs 160/1 et Seq.), I find and recommend that the records described in this request have no further administrative value nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this college, department, or office. I request that authority for their disposal be granted according to the schedule which follows.		STATE RECORDS COMMISSION DATE <i>Desse White</i> 12/19/02
<i>Gustav Legana</i> HEAD OF COLLEGE, DEPARTMENT OR OFFICE		<i>April 8, 2002</i> DATE

RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF PROVIDING:

- THE INDIVIDUAL RETENTION PERIOD IS COMPLETE;
- ALL AUDITS HAVE BEEN COMPLETED 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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Item No. Record Series Title, Description and Recommendation Action Taken

1E Claim Information Data (Original)

Dates: 1987-1995
Volume: --
Annual Accumulation: --
Arrangement: Alphabetical by name

This record series consists of information, originated and maintained in electronic format, which verifies medical claims from students and alumni. The claims were initiated by clients or designated medical facilities. Contents include demographic data (i.e. name, address, phone number), patient diagram code, procedure code, physician's name, and cost of charges. The record series was closed in 1995 as a result of office procedure. Later, the UIHMO became defunct. Northern Illinois University maintains "Health Claim Inquires" for five (5) years if all claims are closed per item 230.05 of application 89-23.

Recommendation: Delete information providing all claims documented by the file series have been closed and providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

***Deferred
5/15/2002**

**Disposition
Approved
6/19/2002**

***This application was deferred May 15, 2002 to clarify the ownership and location of the records**

2E. Eligibility/Enrollment Files

Dates: 1989-2001
Volume: --
Annual Accumulation: --
Arrangement: Alphabetical by name

This record series consists of information, scanned from hard copy documents and converted to electronic format, which determines eligibility of clients into the health insurance program. If the premium was paid, then the enrollment into the UIHMO was verified. Contents include basic demographic information (i.e. name, address, phone number), if student then type (graduate/undergraduate), identity of dependents, benefit period, waiver data, and creditable coverage information verifying dates of enrollment. The record series was closed in 2001 as the UIHMO became defunct. (Present and future enrollees are covered by another private vendor who is not part of the UIC organization. Student clients were automatically enrolled in the program without cyclical renewal unless they signed a waiver of non-participation.) SIU Carbondale maintains "Group Dental, Health, and Life Insurance Program Enrollment Forms" as "retain in office until supersession of enrollment form or termination of

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	<p>coverage" per item 140.02 of application 87-66. NIU maintains "Aetna Application Forms" for ten (10) years following termination of coverage per item 230.01 of application 89-23.</p> <p>Recommendation: Dispose of hard copy documents which were scanned onto an inalterable electronic media. Retain the electronic records with University Archives for ten (10) years following termination of coverage, then dispose of electronic records providing all claims have been closed and providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer/digital media maintenance and preservation procedures are to be fully applied. If equipment and programs which provide access to the data base involved are updated or replaced, the existing data must remain accessible in the successor format for the duration of the approved retention period.</p>	<p>Deferred 5/15/2002</p> <p>Disposition Approved 6/19/2002</p>
3.	Past Incorporation Records	
	<p>Dates: 1984-2001 Volume: 6 Cu. Ft. Annual Accumulation: -- Arrangement: Chronological by year</p> <p>This record series consists of documents which establishes the initial UIHMO Inc. as a legal corporation. Contents include trust agreements allowing the UIHMO to operate with the U of I, Chicago; letters of authorization; certificates of approval; reorganization certificates; certificates of coverage; subscribers certificates; and minutes of the UIHMO's Board of Directors. The record series was closed in 2001 as the UIHMO became defunct.</p>	
	<p>Recommendation: Transfer to the University Archives, Archives staff is to retain for three (3) years, then review all accumulations transferred accordingly and dispose of all extraneous materials. University Archives staff is to permanently retain all remaining data having archival value.</p>	<p>Deferred 5/15/2002</p> <p>Disposition Approved 6/19/2002</p>

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4. **Fiscal Administration Files**

Dates: 1990-2001
Volume: 7 Cu. Ft.
Annual Accumulation: --
Arrangement: Chronological by year

This record series consists of fiscal transactions which emphasize the operation of the UIHMO insurance program. Contents include bills, invoices, budget information, external audits, tax forms, balance sheets, accounts payable/receivable, and miscellaneous financial reports (i.e. payroll, Ill. Dept of Insurance). Files were closed in 2001 as the UIHMO became defunct. All of the record series is on hard copy format with the exception of the "accounts receivable" data. The latter data originated in electronic format.

Recommendation: Concerning hard copy documents dated 1990-2001, for each year retain in University Archives for six (6) 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.

Deferred
5/15/2002

Concerning electronic documents dated 1990-2001, for each year retain information entered on electronic media for six (6) years then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. (All computer/digital media maintenance and preservation procedures are to be fully applied. If equipment and programs which provide access to the database(s) involved are updated or replaced, the existing data must remain accessible in the successor format for the duration of the approved retention period.)

Disposition
Approved
6/19/2002

5. **Quality Management/Utilization Records**

Dates: 1987-1998
Volume: 12 Cu. Ft.
Annual Accumulation: --
Arrangement: Chronological by year

This record series consists of quality management/utilization documents generated as a result of self monitoring by the agency and as a result of requirements by the Illinois Dept of Public Aid per 305 ILCS 5/5-16.3 (2000 State Bar Edition). Contents include peer review documents, quality reports of service, design codes, physician codes, and surveys of patients concerning

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specific types of health care. The record series was closed in 1998 due to office procedure. Later the UIHMO became defunct in 2001. The Department of Public Aid maintains "Utilization Review Files" for six (6) years per item 3 of application 77-4, "Interim Surveillance and Utilization Review Records " for six and one-half (6 1/2) years per item 1 of application 78-44M, "ICARE Hospital Utilization and Review Documents" for six (6) years per item 1 of application 88-52, and "Recipients UIHMO Utilization Reports" for five (5) years per item 2 of application 88-51E.

During the years 1987-1998, the agency maintained the record series in either (but never both) hard copy or electronic format. Data in electronic format was scanned from hard copy paper. After scanning the hard copy paper was disposed.

Recommendation:

For each year of hard copy records during the years 1987-1998, retain in University Archives for six (6) 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.

For each year of electronic data during the years 1987-1998, retain information entered on electronic media for six (6) years following the date of conversion, then dispose of electronic records providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer/digital, media maintenance, and preservation procedures are to be fully applied. If equipment and programs which provide access to the data are updated or replaced, the existing data must remain in the successor format for the duration of the retention period.

**Deferred
5/15/2002**

**Dispositio:
Approved
6/19/ 2002**

6. Minutes of the Board of Directors of the IUHMO and Minutes of the Directors of Health Care Facilities (Originals)

Dates: 1996-1999
Volume: Negligible
Annual Accumulation: --
Arrangement: Chronological by year

This record series consists of minutes related to the Board of Directors of the UIHMO and to the Directors of the Health Care Facilities. Data also concern agenda, exhibits, graphs, and other related documents to the minutes. The record series was closed in 1999 due to a lack of participation in organizational meetings.

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Recommendation: Transfer accumulation to the University Archives for permanent retention.

Deferred
5/15/2002

Disposition
Approved
6/19/2002

7. Payroll Records

Dates: 1996-2001
Volume: 7 Cu. Ft.
Annual Accumulation: --
Arrangement: Chronological by year

This record series consists of documents which verify the earnings data of UIHMO employees. Data include time sheets, worksheet calculations, check registers, and billings from external vendors for payroll services. The record series was closed in 2001 as the UIHMO went defunct.

Recommendation: For each year of the record series retain in University Archives for six (6) 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.

Deferred
5/15/2002

Disposition
Approved
6/19/2002

8. Contracts (Originals)

Dates: 1995-2001
Volume: 4 Cu. Ft.
Annual Accumulation: --
Arrangement: Alphabetical by name

This record series consists contracts, between the UIHMO and miscellaneous public/private vendors, which relate to goods/services. Duration of the contracts vary with different expiration dates. Because the UIHMO was initially a private entity, no contracts were filed with the State Comptroller. The record series was closed in 2001 when the UIHMO went defunct.

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9. Personnel Files

Dates: 1996-2001
Volume: 6 Cu. Ft.
Annual Accumulation: --
Arrangement: Alphabetical by name

This record series consist of files which summarize employment histories of UIHMO staff. Files include employment applications, I-9s, tax forms, reference letters, salary, change of benefits, and workman's compensation forms. (Documents of the record series are original or agency record copy since like information was not filed with the State of Illinois, Dept. of Central Management Services.) The record series was closed in 2001 when the UIHMO went defunct.

Recommendation:	For each year of the record series, retain in University Archives for sixty-five (65) years following separation from employment, 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.	Deferred 5/15/2002 Disposition Approved 6/19/ 2002
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10. Administrative Files and Miscellaneous Correspondence

Dates: 1982-2001
Volume: 10 Cu. Ft.
Annual Accumulation: --
Arrangement: Chronological by year, Alphabetical by name

This record series consists of incoming and outgoing correspondence exchanged between the UIHMO and other units of the university, federal/state offices, and other external groups/individuals. Files also include memos, working papers, drafts, and supporting documents. The record series was closed in 2001 when the UIHMO went defunct.

Recommendation:	Transfer to the University Archives, Archives staff is to retain for three (3) years, then review all accumulations transferred accordingly and dispose of all extraneous materials. University Archives staff is to permanently retain all remaining data having archival value.	Deferred 5/15/2002 Disposition Approved 6/19/ 2002
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11. **Client Complaint Files (Originals)**

Dates: 1997-2001
Volume: 2 Cu. Ft.
Annual Accumulation: --
Arrangement: Chronological by year

This record series consist of files which indicate miscellaneous complaints from clients. (However the clients did not wish to file a grievance against the UIHMO.) Contents include statements of complaint, evidence, and statements of resolution by the UIHMO. "Client Grievance Files" and "Litigation Case Files" are respectively maintained by the UIHMO for seven (7) years following closure and ten (10) years following closure per items 12 and 13 of this application if approved. Closure of a file occurs when the statement of resolution is issued by the UIHMO and no grievance or litigation is pending or anticipated. If the client pursues a complaint or if litigation is pending, then the information becomes part of item 12 or 13 of this application. The record series has an ending date of 2001 when the UIHMO went defunct.

Recommendation: Retain in University Archives for five (5) years following closure, 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.

Deferred
5/15/2002

Disposition:
Approved
6/19/2002

12. **Client Grievance Files**

Dates: 1993-2001
Volume: 10 Cu. Ft.
Annual Accumulation: --
Arrangement: Alphabetical by name

This record series consists of files which verify client grievances for "denied payment benefits" from the UIHMO. Files include applications to grieve, exhibits/supporting narratives, and decision of the Grievance Committee. The files are closed after final decision to the grievance has been accomplished, no litigation is pending or expected, and all claims satisfied. If litigation is pending, the UIHMO maintains "Litigation Case Files" for ten (10) years per item 13 of this application if approved. The record series has an ending date of 2001 when the UIHMO went defunct.

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in University Archives for seven (7) years following closure, 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.	Deferred 5/15/2002 Dispositio Approved 6/19/ 2002

13. **Litigation Case Files**

Dates: 1994-2001
Volume: Negligible
Annual Accumulation: --
Arrangement: Chronological by year, Alphabetical by name

This record series consists of litigation case files constructed for pending or threatened suits concerning unresolved complaints and/or grievances described in items 12 and 13 of this application. Contents include complaints, grievances, court documents (e.g. subpoenas, transcripts, orders, petitions, notices), statements, decisions, attorneys' notes, and supporting correspondence. Files become inactive after settlement of case.

Recommendation:	For each year of the record series, retain in University Archives for ten (10) years following closure, 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.	Deferred 5/15/2002 Dispositio Approved 6/19/ 2002
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