

RECORDS DISPOSITION AUTHORIZATION  
UNIVERSITY OF ILLINOIS ARCHIVES  
STATE OF ILLINOIS RECORDS COMMISSION

UNIVERSITY OFFICES SPRINGFIELD	X CHICAGO URBANA-CHAMPAIGN	Application No. UIC 02-02 Page 1 of 6 Pages
COLLEGE OR ADMINISTRATIVE UNIT College of Urban Planning and Public Affairs		APPROVALS
DEPARTMENT		ARCHIVIST DATE
OFFICE Office of the Dean		UNIVERSITY DATE
Pursuant to Article VI, Section 4 of the General Rules Concerning University Organization and Procedure and the provisions of the State Records Act (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
robin hambleton HEAD OF COLLEGE, DEPARTMENT OR OFFICE		27 Nov 2002 Michele M. Thompson 12/16/02 Joseph White 1/15/03
		22 Oct 2002 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.

RECORD SERIES TITLE	DESCRIPTION OF RECORD SERIES: GIVE TITLE, EARLIEST DATE, USE, SUBJECTS COVERED, FORM NUMBERS, STATUTES OR RULES RELATING TO THE FILING OF THE RECORD, FILE ARRANGEMENT, VOLUME OR ANNUAL ACCUMULATION, AND RECOMMENDED RETENTION PERIOD.
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1 Office of the Dean Subject File, 1995 -

Subject or General Correspondence file includes correspondence, reports, memoranda and publications relating to the administration of the unit and concerning curriculum; academic policy; departmental, college, campus, and university committees; affirmative action; space; equipment; graduate and undergraduate programs; professional organizations; honors; lectures; grant proposals; relations with academic and administrative departments, colleges, schools, centers, and institutes; Graduate College; departmental history; faculty sabbaticals; departmental governance and visitors.

Volume: 13.5 cubic feet  
 Annual Accumulation: 2.0 cubic feet  
 Arrangement: Alphabetical by subject  
 Recommendation: Retain 20 years and transfer to University Archives for permanent retention, provided that routine documents may be destroyed after 3 years. University Archives staff is to review all accumulations transferred accordingly and dispose of all extraneous materials after retaining all record series items having archival value for permanent retention.

**2 Budget File, 1995 -**

Budget File contains correspondence, memoranda, Office of Business and Financial Services internal budget statement printouts and other budget working papers concerning recommendations and allocations of funds showing objects and amounts of proposed expenditures for salaries, equipment, supplies and other purposes.

Volume: 3 cubic feet  
 Annual Accumulation: 0.25 cubic feet  
 Arrangement: Chronological  
 Recommendation: Retain 8 years and destroy, provided that routine documents duplicating records at the Office of Business and Financial Services can be destroyed after 3 years.

**3 Financial Records, 1997 -**

Financial Records contains records covering activities supported by university, foundation, state and federal funds and containing departmental copies of financial documents submitted to and received from the central business office including monthly statements of account, requisitions, purchase orders, miscellaneous vouchers and vouchers for travel, stores, postage, printing and photographic jobs, office machine repair and physical plant costs, telecommunications journals, miscellaneous service requisitions, delivery receipts, correspondence and bills from vendors relating to purchase orders, and departmental work papers and supporting documentation. The Office of Business and Financial Services maintains the agency record copy.

Volume 20 cubic feet  
 Annual Accumulation: 6 cubic feet  
 Arrangement: Chronological and by account number thereunder.  
 Recommendation: Retain 3 years plus the current fiscal year and destroy, provided that  
 a) financial records for grant supported activity are retained 6 years following the completion of the award period and destroyed, and  
 b) all audits pending during the last year of the retention period have been completed and no litigation is pending or anticipated.  
 c) any records not maintained by the Office of Business and Financial Services are retained for 6 years and destroyed

#### 4 Grants File, 1995 -

Grants File for successful and unsuccessful applications for grants and contracts submitted by faculty members to federal agencies, foundations, and university offices including the Research Board. This series includes project proposals, departmental copies of grant[s] and contracts, correspondence with granting agencies and university offices, and project narrative and financial reports.

Financial records related to the expenditure of grant funds are maintained as part of the Financial Records (Series 4 on this Records Disposal Authorization).

Volume: 15 cubic feet  
Annual Accumulation: 6 cubic feet  
Arrangement: Chronological and by name of project director thereunder.  
Recommendation: a) Retain project proposals, contracts, narrative reports, and correspondence concerning project design and results 10 years after end of award period and transfer to the University Archives. The University Archives will review all accumulations transferred accordingly and dispose of all extraneous materials after retaining all record series items having archival value for permanent retention.  
b) Retain copies of routine material, including transmittal correspondence and interim financial reports for 3 years after the end of the award period and destroy provided that all audits pending during the last year of the retention period have been completed and no litigation is pending or anticipated.

#### 5 Inventory and Key Records, 1995 -

Inventory and Key Records contain departmental copies of moveable equipment inventories (showing date, description of equipment, tag number, purchase date, cost, purchase order number, and transaction code reflecting type of acquisition and missing status) for all moveable equipment, lists of keys and persons authorized to have keys to department office space, monthly and annual inventory reports, and individual reports for equipment removed from inventory.

Volume: 4.5 cubic feet  
Annual Accumulation: 1.5 cubic feet  
Arrangement: By inventory number and chronological thereunder.  
Recommendation: Retain 5 years and destroy provided that all audits pending during the last year of the retention period have been completed and no litigation is pending or anticipated.

**6 Payroll Records, 1997 -**

Payroll Records for civil service and student hourly staff contain daily time reports, student biweekly or daily time cards, and office copies of standard time reports, standard time report adjustments, payroll account distribution vouchers and payroll account obligation reports. The Office of Business and Financial Services maintains the copy of record.

Volume: 15 cubic feet  
Annual Accumulation: 2 cubic feet  
Arrangement: Chronological and by type of document thereunder.  
Recommendation: Retain 3 years and destroy provided that all audits pending during the last year of the retention period have been completed and no litigation is pending or anticipated.

**7 Appointment Forms, 1995 -**

Departmental copies of notification of appointment and change of status forms for academic, non-academic and graduate assistants holding appointments in the College of Urban Planning and Public Affairs

Volume: 6 cubic feet  
Annual Accumulation: 1.5 cubic feet  
Arrangement: By status (active and inactive) and alphabetical thereunder.  
Recommendation: Retain 3 years and destroy provided that the first and last appointment forms for academic and non-academic staff are retained with the individual's personnel file.

**8 Civil Service Personnel File, 1995 -**

Personnel File for University Civil Service employees includes departmental copies of applicant referral, notification of appointment, and change of status forms and correspondence, notes and evaluations regarding employment, staff development activities, and grievances. The Office of Human Resources maintains copy of record.

Volume: 3 cubic feet  
Annual Accumulation: 1 cubic feet  
Arrangement: Alphabetical by name of employee.  
Recommendation: Retain 6 years after the date of termination and destroy, provided that personnel records for all employees who have asserted a claim against the University shall be retained until such action is finally adjudicated and no litigation is pending or anticipated.

**9 Academic Staff Applicant File, 1995 -**

Academic Staff Applicant File for faculty and academic professional positions contains job announcements, letters of application vitae, samples of candidates' publications and other supporting documents, transcripts, requests for recommendations, letters of recommendations, vitae, correspondence, departmental notes on applicants, and departmental copies of UIC Affirmative Action Summary and Pre-Audit forms submitted to the Associate Chancellor for Affirmative Action. Documentation for applicants who are hired is transferred to the Academic Staff File. The Office of Human Resources maintains the agency record copy.

Volume: 4.5 cubic feet  
Annual Accumulation: 1.5 cubic feet  
Arrangement: By position being filled and alphabetically by applicant name thereunder.  
Recommendation: Retain 2 years from the effective date of employment and destroy, provided that:  
a) Affirmative Action Summaries, Pre-Audit forms, and position descriptions/ job announcements are retained for 5 years and destroyed;  
b) all applicant files for positions about which grievances have commenced are retained until resolution of all claims.

**10 Academic Personnel File, 1995 -**

Academic Personnel File for faculty and academic professional positions contains employment applications, personal histories, vitae, letters of recommendation, sabbatical leave requests and recommendations, course evaluation forms, and correspondence relating to teaching of courses, research projects, departmental committees, and other professional activities, and departmental copies of contracts with Board of Trustees, notification of appointment, and change of status forms. The Office of Human Resources maintains the agency record copy.

Volume: 18 cubic feet  
Annual Accumulation: 1 cubic feet  
Arrangement: By status (current and inactive) and alphabetical by name thereunder.  
Recommendation: Retain 15 years after date of resignation, retirement, or termination and transfer to the University Archives. The University Archives will review all accumulations transferred accordingly and dispose of all extraneous materials after retaining all record series items having archival value for permanent retention.

**11 Promotion and Tenure File, 1999-**

Promotion and Tenure File contains documents used in reviewing faculty for promotion and tenure including biographical summary, vitae, lists of publications and professional activity, letters of evaluation from external referees, report of departmental review committee, department chair's evaluation of candidate, recommendation for action, summary of action, correspondence, and copies of papers forwarded to the College of Urban Planning and Public Affairs.

Volume:	1 cubic feet
Annual Accumulation:	negligible
Arrangement:	Chronological and alphabetically by name of faculty thereunder.
Recommendation:	Retain 10 years and destroy provided that promotion and tenure records for all employees who have asserted a claim against the University shall be retained until such action is finally adjudicated.