

**OFFICE OF INSURANCE SERVICES
RISK MANAGEMENT OFFICE**

500.01 Fine Arts Insurance Audit Files (Originals)

Dates: 1983 -
Volume: ½ Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This file series includes listings/descriptions of items, values of items, and desired term of coverage for items. These documents serve an auditing function for determining insurance needs of the Fine Arts Program and offices.

Recommendation: Maintain and dispose of in offices upon discretion of the university.

500.02 Logs of Miscellaneous Marine Articles Floater (Originals)

Dates: 1984 -
Volume: 1 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological & Numerical by account number

These logs list equipment and facilities by location, brief description, insurance rates, SIU property control numbers, serial number, and values for documenting insurance "floater" issued. Claims must be filed within one (1) year and thirty (30) days.

Recommendation: Retain in office for three (3) years after termination of coverage, then dispose of provided no litigation is pending or anticipated.

500.03 Log Book Containing Certificates of Insurance Coverage (Originals)

Dates: 1980 -
Volume: 1 Cu. Ft.
Annual Accumulation: Negligible

Arrangement: Chronological

Recommendation: Retain in office until expiration of coverage, 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.

500.04 Comprehensive General Liability Claim Files (Originals and Duplicates)

Dates: 1976 -
Volume: 22½ Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Chronological and Numerical
by file number

This file series contains incident reports, diagrams, claim form(s), adjuster's statements, physician's statements and duplicate court documents generated from claims submitted for liability insurance reimbursements from auto accidents, medical malpractice, etc.

Recommendation: Retain in office for ten (10) years after the final settlement and closure of the corresponding claim, 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.

500.05 Bid Specifications and Policies (Originals)

Dates: 1972 -
Volume: 4½ Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

These are insurance contract bid specification documents generated for coverage on facilities or items ranging from the airport, aircraft, campers insurance, and cadaver insurance. Agency copies of insurance policies are also included within the file series. Normally, the insurance contracts included within the file are bid annually.

Recommendation: Retain in office for three (3) years, then review file and dispose of extraneous materials and retain documents of further administrative/legal significance in office until the expiration of all reference and evidential value, then dispose of providing no litigation is pending or anticipated.

500.06 Fiscal Administration Files (Duplicates)

Dates: 1983 -
Volume: 3 Cu. Ft.
Annual Accumulation: 3/4 Cu. Ft.
Arrangement: Chronological

This file series contains the Risk Management Office's copies of forms and documents used to account for the disbursement of official funds for the Risk Management Program. Types of forms/documents included consist of: End-of-Month Expenditure Reports; invoice vouchers for settlement; premium payments, etc.; endorsement billings; premium audits; purchase orders; requisitions and Deposit Premiums.

Recommendation: Retain in office for three (3) 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.

500.07 General Correspondence (Originals and Duplicates)

Dates: 1972 -
Volume: 6 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This is the routine day-to-day correspondence of the Risk Management Office exchanged with insurance providers, other SIU offices and departments.

Recommendation: Retain in office for three (3) years, then dispose of providing no litigation is pending or anticipated.

500.08 Camper Insurance Audit, Claim and Vendor Billing Files

Dates: 1985 -
Volume: 3/4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical according to
"camper" last name

This file series includes desired term of coverage for campers (persons) generated from auditing insurance needs for camps (i.e., baseball camp, wilderness camp, etc.) conducted on University property and various locations within the United States and Canada. This series also includes contracts (claim forms, investigator's reports, statements, medical reports, diagrams, etc.) and premium and vendor billing files.

Recommendation: Retain in office for two (2) years after expiration of the respective contract and/or settlement of all claims thereunder, 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.

500.09 Procedural Bulletins, Legislative Background Materials and Copies of Adjusting Service Contracts (Originals and Duplicates)

Dates: 1983 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

Recommendation: Retain in office for three (3) years, then review file and dispose of materials possessing no further administrative value. After such initial review and disposals, annually review the file and purge extraneous materials date three (3) years or older.

500.10 Log of Collision and Comprehensive Coverage on University Fleet Vehicles (Originals and Duplicates)

Dates: 1984 -

Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This book serves as an insurance coverage log of all fleet vehicles by description and the department the vehicle is assigned.

Recommendation: Retain in office for two (2) 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.

500.11 Auto Liability Claim File (Duplicates)

Dates: 1972 -
Volume: 18 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Numerical by log number

Vehicles in the SIU fleet are insured through the Illinois Self-Insurance Program. This office coordinates all accidents involving University vehicles with CMS, Auto Liability Section. The file includes: Motorist's Report of Illinois Motor Vehicle Accident (SR-1), estimates for repair of damages (when University driver is at fault), various correspondence with insurance adjusters, police reports, etc. This office also coordinates all efforts to collect monies due the university when "other" driver is at fault in an accident. The original file is maintained in Springfield, IL.

Recommendation: Retain in office for three (3) 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.

500.12 Insurance Policies (Originals)

Dates: 1972-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical by name

This record series consists of insurance policies and supporting correspondence involving university faculty, students, and employees. Policies expired at different times and may be for a variety of coverage. Examples of such policies include: aircraft liability, athletic catastrophe, auto liability, environmental liability, fine arts museum coverage, motorcycle rider safety transportation general liability, liquor liability, property liability with earthquake and boiler/machinery coverage, university club commercial liability and liquor, and various special event coverage which may include one time events of a high risk nature.

Recommendation: In accordance with State Records Commission rules, microfilm and scan documents as processed, then dispose of hardcopies (by shredding). Retain electronic images for seven (7) years, then destroy. Retain microfilm permanently.

500.13 Insurance Claim files

Dates: 1985-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical by name

This record series consists of documents which identify miscellaneous insurance claims from faculty, employees, and students. Examples of such policies include: aircraft liability, athletic catastrophe, athletic accident, auto liability, environmental liability, fine arts museum coverage, motorcycle rider safety transportation general liability, property liability, crime comprehensive and excess liability, liquor liability, etc.

Contents include invoice vouchers, statement of charges, copies of courtroom documents, and correspondence. Agency record copies of the invoice vouchers are maintained with the University's Accounting Office for six (6) years per item 480.08 of application 87-66. In addition, any claim involving litigation is permanently maintained in the University's General Counsel Office as "Litigation Case Files" per item 250.07 of application 87-62. Northern Illinois University maintains "Policy and Claim Files" for ten (10) years following final settlement of closure of claim per item 240.01 of application 89-23.

Recommendation: In accordance with State Records Commission rules, microfilm and scan

documents as processed, then dispose of hardcopies (by shredding). Retain electronic images for seven (7) years, then destroy. Retain microfilm permanently.