

OFFICE OF THE DEAN OF STUDENTS

400.01 Alumni/Exited Resident On-Line Computer Tracking System

Dates: 1979 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: N/A

This record series consists of an on-line computer system used to track the current status and location of alumni and former residents. It contains identifying information, current address, current professional status (place and type of practice, etc.), and other miscellaneous information, as available. This information is used for various publicity and fund raising purposes.

Recommendation: Retain information on line on a continuous basis. All computer tape/disc maintenance and preservation procedures are to be fully applied.

400.02 Alumni/Exited Resident Tracking System Data Input Questionnaire

Dates: N/A
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: N/A

This record series consists of a questionnaire completed by School alumni and exited residents. The questionnaire is used to update the on-line computer system used to track the current status and location of alumni and former residents. It contains identifying information, current address, current professional status (place and type of practice, etc.) and other miscellaneous information, as available. The information is used for various publicity and fund raising purposes.

Recommendation: Retain returned questionnaires until the information is entered into the on-line computer tracking system, then dispose of. All computer tape/disc maintenance and preservation procedures are to be fully applied.

400.03 Annual Reports (Duplicates)

Dates: 1988 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of a copy of the department's annual report to the Dean and materials (notes, worksheets, rough drafts, etc.) used in the preparation of the report. This report is prepared by the department to inform the Dean and Provost of the department's significant actions and achievements during the fiscal year. Originals are maintained by the Office of the Dean and Provost.

Recommendation: Retain in the office for three (3) years, then dispose of providing all administrative value has expired.

400.04 Budget and Fiscal Administration Files (Duplicates)

Dates: 1987 -
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of working papers and annual budget forms completed and submitted to the Office of Management/Budget and monthly budget reports received from the Office of the Comptroller. File series contents include operating and entity budget submissions, reappraisal budget submissions, budget allocation forms, fiscal officer reports (AMO 90's, 91's, 45's), and expenditure logs/ledgers. These records are used by the

department to track current expenditures and to assist in preparing the annual budget submissions.

Recommendation: Retain in the 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.

400.05 Civil Service Personnel Files (Duplicates)

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

This record series consists of copies of various forms generated in personnel administration including personnel request/salary budget adjustment forms, personnel/payroll information forms, and employee evaluations. These copies are maintained in the unit to assist the unit managers and supervisors in their day-to-day personnel administration duties. The official personnel files are maintained and scheduled for disposition by the School's Personnel Department.

Recommendation: Retain for five (5) years after separation from employment, then dispose of (by shredding) providing no litigation is pending or anticipated.

400.06 Council and Committee Meeting Minutes (Duplicates)

Dates: 1991 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of copies of minutes of meetings of various councils and committees of the School of Medicine. These minutes document the discussions and deliberations of the committees and councils in their formulation of policy for the School of Medicine. These copies are used for informational purposes only and are distributed among the departments in order to inform employees and students of items being considered by the various committees and councils. The originals of these minutes are maintained in the department which the committee or council chair presides or in the Office of the Dean and Provost.

Recommendation: Retain in the office for three (3) years, then dispose of providing all administrative value has expired.

400.07 Employee Time Records

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by pay period

This record series consists of employee time records which document employee work hours, including vacation and sick leave taken. File series contents include time sheets (monthly/biweekly), vacation/sick leave requests (absent with pay forms), absent without pay reports, overtime requests, fringe benefit reports, and A-21 Staff Effort/Payroll Distribution Reports. The time sheets and vacation requests are prepared and kept in the departments/ The other reports are maintained centrally by the Personnel and Payroll Departments.

Recommendation: Retain in the office for three (3) 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.

400.08 General Correspondence Files

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological,
Alphabetical by subject

The files include all incoming and outgoing letters, memoranda, and notes which document the routine day-to-day activities of the unit.

Recommendation: Retain in office for three (3) years, then dispose of.

400.09 Annual Inventory Control Files (Duplicates)

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Numerical by property
tag number

This record series consists of annual computer listings received from Inventory Control of all equipment and property items assigned to the department which cost over \$100.00 when purchased. The listings are used to conduct an annual inventory of the equipment. The files also include copies of change of status and change of location forms which are submitted by the department to report all property transactions to Inventory Control.

Recommendation: Retain in office for one (1) year or until expiration of administrative value, whichever is longer, then dispose of.

400.10 Purchasing Files (Duplicates)

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Numerical by purchase
order number

The file contains copies of requisitions, requirement clarifications or notes, purchase orders, receiving reports, and invoices/vouchers.

Recommendation: Retain in office for three (3) fiscal 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.

400.11 Residency Entrance Questionnaires and Biographical Background Files

Dates: 1976 -
Volume: 15 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Chronological by year exited, Alphabetical by resident name

This record series consists of questionnaires which are completed by residents when they enter and leave the School's Residency Program. The files also include clips of newspaper articles concerning the individual residents while they are in the program. These files are used by the Alumni Affairs office to track the residents after they leave the residency program. (Materials, however, are normally not added to these files after the resident leaves the program.) The on-line computer resident tracking system contains up-to-date data on exited residents (ref., see first item listed for the Office of the Dean of Students).

Recommendation: Retain in the office for six (6) years, then transfer to the SIU Records Center for five (5) years, then dispose of providing the series is first screened by University Archives staff for possible accessions.

400.12 Files of Short-Term Student Loans

Dates: 1984 -
Volume: 5 1/2 Cu. Ft.

Annual Accumulation: 1/2 Cu. Ft.
Arrangement: Alphabetical by student
name

This record series consists of the records of short-term loans made to students by this office of funds made available for this purpose by the SIU Foundation. These loans are usually granted in small amounts and for short terms (less than one year) and are not granted pursuant to any state or federal programs. While the loan is outstanding, the file consists of the original loan application and the original promissory note signed by the student. After the loan is repaid, the file consists of the original loan application and a copy of the paid promissory note. The original promissory is returned to the borrower when the loan is repaid.

Recommendation: Retain in the office for three (3) years, then transfer to the SIU Records Center for a retention period of three (3) years after loan repayment or other full settlement, 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.

400.13 Student Activities Account Files (Duplicates)

Dates: 1986 -
Volume: 3 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by class
year

This record series consists of departmental copies of collection reports, expenditure vouchers, and correspondence documenting the administration of the Student Activities Account. This account contains funds that are collected from students in the form of activity fees and held in the account to defray instruction costs. Originals are maintained by the Office of the Comptroller.

Recommendation: Retain in the office for seven (7) 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.

400.14 Student Applicant Files

Dates: 1986 -
Volume: 3 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by class year, Alphabetical by student name

This record series consists of applications for admission from prospective students, including supporting notations, attachments, and references.

Recommendation: Transfer the application and related documentation for all applicants accepted for admission to the official students' files for permanent retention. Retain applications and hard copy documentation for rejected applicants in office for three (3) years from the date of notice of rejection, then dispose of (by shredding) providing no litigation is pending or anticipated.

400.15 Student Biographic Information Cards

Dates: 1976 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by class grade, Alphabetical by student name

The cards contain the student name, SSN, address, legal residence, age, higher education history, citizenship information, and application date.

Recommendation: Retain in the office until graduation of the respective student(s), then

transfer to the SIU Records Center for microfilming and permanent retention on microfilm. Hard copy documentation is to be disposed of after microfilming (by shredding).

400.16 Student Correspondence Files

Dates: 1986 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical by student name

This record series consists of correspondence with students and/or prospective students.

Recommendation: Retain in the office for three (3) years, then review files and transfer all correspondence which has continuing administrative or legal value to the student's official record and dispose of the remaining accumulation.

400.17 Student Deposit Account Records (Duplicates)

Dates: 1986 -
Volume: 3 1/2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by class year

This record series consists of the departmental copies of the attendant financial records of the Student Deposit Account. This account contains the monies sent by prospective students with their applications for admission. The money is held in this account until the applications are acted upon. The money is then either returned to those applicants who are not selected for admission or credited towards the tuition of those applicants accepted, as appropriate. Originals are maintained by the Office of the Comptroller.

Recommendation: Retain in office for three (3) years after the date of admission decision on the applications, 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.

400.18 Student Files

Dates: 1975 -
Volume: 27 Cu. Ft.
Annual Accumulation: 4 Cu. Ft.
Arrangement: Chronological by class,
Alphabetical by student name

This record series consists of the official student records of all School of Medicine students. The files contain the application and related materials (transcripts from other institutions, letters of recommendation, interviewer notes, etc.), demographic information, academic performance, evaluations, and correspondence with each admitted student.

Recommendation: Retain hard copy documentation in the office until graduation or termination of enrollment, then transfer to the SIU Records Center for microfilming and permanent retention on microfilm. Hard copy documentation is to be disposed of after completion of microfilming (by shredding).

400.19 Student Financial Aid Records

Dates: 1975 -
Volume: 3 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by class
year, Alphabetical by
student name

This record series consists of student financial aid files which contain all applications, correspondence, documents of funds disbursements, and receipts for all student financial aid (both loans and grants).

Recommendation: Retain hard copy documentation in office for five (5) years after the student graduates or terminates enrollment, then transfer to the SIU Records Center for conversion to microfilm. Hard copy documentation is to be disposed of upon completion of microfilming and providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All record series microforms are to be disposed of upon the lapse of six (6) years following the full satisfaction or other settlement of the terms of the financial aid loans/grants.

400.20 Student Progress Committee Minutes

Dates: 1975 -
Volume: 1 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This committee consists of various faculty, administrators and students who review the performance and progress of students who are not progressing satisfactorily in their academic endeavors. The committee then makes recommendations to the Dean of Students and/or the Dean of the School regarding such students. The recommendations are made a part of the individual student permanent record.

Recommendation: Retain in the office for two (2) years, then transfer to the SIU Records Center for microfilming and permanent retention on microfilm. Hard copy documentation is to be disposed of (by shredding) after completion of microfilming.

400.21 Student Progress Committee Records (Carbondale) (Discontinued)

Dates: (1980 - 1990)
Volume: Negligible
Annual Accumulation: --

Arrangement: Chronological

This record series consists of committee minutes and related correspondence from the Student Progress Committee for School of Medicine students enrolled at Carbondale. This committee, which consists of various faculty, administrators, and student representatives, reviews the academic progress and standing of those students who are not progressing satisfactorily in their academic endeavors. The committee makes recommendations regarding the student's course of re-mediation/retention to the Dean of Students and/or the Dean of the School. The recommendations are made a part of the student's permanent record. Beginning in September, 1990, the minutes of the Student Progress Committees at Carbondale were interfiled with those of the Student Progress Committees at Springfield.

Recommendation: Transfer accumulation to the SIU Record Center for microfilming and the permanent retention of the series in microform. Original paper is to be disposed of (by shredding) following microfilming.

400.22 Student Progress Committee Records (Springfield) (Discontinued)

Dates: (1980 - 1990)
Volume: Negligible
Annual Accumulation: --
Arrangement: Chronological

This record series consists of committee minutes and related correspondence from the Student Progress Committee for School of Medicine Students enrolled at Springfield. This committee, which consists of various faculty, administrators, and student representatives, reviews the academic progress and standing of those students who are not progressing satisfactorily in their academic endeavors. The committee makes recommendations regarding the student's course of re-mediation/retention to

the Dean of Students and/or the Dean of the School. The recommendations are made a part of the student's permanent record. Beginning in September, 1990, the minutes of the Student Progress Committees at Springfield were interfiled with those of the Student Progress Committee at Carbondale.

Recommendation: Transfer accumulation to the SIU Record Center for microfilming and the permanent retention of the series in microform. Original paper is to be disposed of (by shredding) following microfilming.

400.23 Telecommunication Invoice Files

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of monthly telecommunications services invoices and supporting allocation detail sheets received in the department from Computing Services. These are the detailed listings of service charges and telephone toll charges each month. The original records are maintained by the Department of Central Management Services under the provisions of Application 81-7.

Recommendation: Retain in the office for three (3) 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.

400.24 Travel Files (Duplicates)

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of copies of travel requests, out-of-state travel request forms

and travel vouchers. These are copies of requests prepared by the department to document travel authorized for members of the department and copies of paid vouchers for travel performed by members of the department. Originals are scheduled by the Office of General Accounting.

Recommendation: Retain in the office for three (3) 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.