

ETHICS OFFICE

160.01 Revolving Door Acknowledgement Forms (Agency Record Copy)

Dates: 2004 –
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the agency record copies of Revolving Door Acknowledgement Forms maintained by the Ethics Office of the University. Illinois "Revolving Door" statute (5 ILCS 430/5-45) prohibits a certain type of state employee or former state employee (or his or her spouse or immediate family member) from accepting employment or compensation from a non-state employer if the state employee, in the past year, made regulatory/licensing decisions or awarded contracts affecting the non-state employer. The law also requires certain state employees to notify the Office of the Executive Inspector General (OEIG) when offered employment or compensation from a non-state employer so that the OEIG can determine, within 10 calendar days, if accepting the employment or compensation would be prohibited by law. Revolving Door Forms allow the OEIG to determine whether an employee may accept a particular employment offer or compensation.

Recommendation: Retain in office for three (3) years, then destroy in a secure manner providing all audits have been completed, if necessary, and no litigation is pending or anticipated.

160.02 Budget and Fiscal Administrative Files (Duplicates)

Dates: 2004 –
Volume: ½ Cubic Feet
Annual Accumulation: Negligible

Arrangement: Chronological by fiscal year

This record series contains invoice vouchers, purchase orders, purchase requisitions, budget requests, and budget working papers. The originals of these documents are maintained by Accounting Services, Procurement Services, and Budget Office.

Recommendation: Retain in office for three (3) years, then destroy in a secure manner providing all audits have been completed, if necessary, and no litigation is pending or anticipated.

160.03 Administrative Correspondence Files (Originals)

Dates: 2004 –
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of general administrative correspondence received and generated by the Ethics Office. Files may contain miscellaneous correspondence between the agency, private entities, individuals, and other government offices, plus inter-office/departmental communications that does not become part of a case file or other record series.

“Routine documents” are defined as:

- Letters of transmittals and acknowledgement;
- Non-personally addressed, unsolicited correspondence and communications that originate outside of the agency;
- Requests for publications or information after the requests have been filled;
- Replies to questionnaires, where the summary results have been retained for record purposes;

- Material not filed as evidence of administrative activity or for the informational content thereof, including –
 - Working notes, where a final report has been issued
 - Documents regarding regular office functions, such as correspondence requesting supplies, scheduling meetings, or informing others of an employee absence, where a record copy of financial or personnel actions is retained in another record series.

Recommendation: Retain in office for three (3) years, then destroy in a secure manner providing all audits have been completed if necessary, and no litigation is pending or anticipated.

160.04 Ethics Training Documents (Originals)

Dates:	2004 –
Volume:	½ Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of the Ethics Training Documents used by the Ethics Office of the university for training of SIU-C employees. Files contain training notice flyers, training guidelines, non-compliance letters for employees who miss the deadline, and implementation plans.

Recommendation: Retain in office for three (3) years, then destroy in a secure manner providing all audits have been completed if necessary, and no litigation is pending or anticipated.

160.05 Confidential Ethical Investigation Files (Originals)

Dates:	2004 –
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Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the Confidential Ethical Investigation Files maintained by the Ethic Office of the University. Files may contain findings, reports, disciplinary actions taken, correspondence, and original referrals to the Inspector General. Complaints are issued of alleged misconduct of SIU-C employees.

Recommendation: Retain in office for three (3) years, then microfilm and destroy originals in a secure manner after images have been verified. Retain microfilm permanently.

160.06 Statement of Economic Interest Files (Agency Record Copy)

Dates: 2004 –
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by fiscal year

This record series consists of the agency record copies of the statements of economic interest files which are maintained in the Ethics Office. The original statements are maintained by the Office of the Secretary of State's Index Department for a period of fifty years per item of approved State Records Application 95-84.

Recommendation: Retain in office for three (3) years, then microfilm and destroy originals in a secure manner after images have been verified. Retain microfilm permanently.

160.07 Year-End Compliance Reports (Agency Record Copy)

Dates: 2004 –
Volume: 1 Cubic Feet

Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the Year-End Compliance Reports. The original is filed with the Office of the Executive Inspector General (OEIG). Document contains status of ethics training for campus employees.

Recommendation: Retain in office for three (3) years, then destroy in a secure manner providing all audits have been completed if necessary, and no litigation is pending or anticipated.