

Vice Chancellor for University Advancement
Financial Affairs and Information Systems

120.01 Budget Analysis and Spreadsheets Working Files

Dates: 1988-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of source files which evolve into the annual budget of University Advancement. Documents include memos, budget allocations, investment and bank statements, and budget models. These files are divided into three areas: Alumni Association, Foundation, and state accounts.

Recommendation: Retain in office six (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition approved 2/16/11

120.02 Financial Records

Dates: 1988-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of purchase orders, requisitions, credit card orders, invoices, bank statements, donations, deposit records (log sheets, deposit forms, registers), financial reconciliation (amount pledged compared to deposits received) forms and other corresponding notes. These records are not processed by the Purchasing Department.

Recommendation: Retain in office six for (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition approved 2/16/11

120.03 Deeds

Dates: 1973-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of mortgage/land deeds donated to the University for resale as well as those purchased by the University such as Birger Hall.

Recommendation: Retain in office for six (6) years after closing

date for the mortgage/land deeds donated to the University, then transfer to the University Archives for permanent retention.

Retain in office one (1) year after the closing date for mortgage/land deeds purchased by facilities and/or related structures constructed with private funds by the Foundation, then transfer to the University Archives for permanent retention.

Disposition approved as amended 2/16/11

120.04 Internal Revenue Service 990 Information Returns

Dates:	2007-
Volume:	Negligible
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of Internal Revenue Service 990 forms. The form states the Foundation's name and address, application guidelines (non-profit qualifications), name of Foundation's board/officers/trustees and a complete list of grants awarded.

Recommendation: Retain in office six (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition approved 2/16/11

120.05 Stipulations and Related Correspondence Regarding the Establishment of a Fund/Account

Dates:	1973-
Volume:	1 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Alphabetical

This record series of the SIUE Foundation consists of stipulations and correspondence regarding the establishment of a Foundation fund/account.

Recommendation: Retain in the Foundation Office permanently.

Disposition Approved 02/16/11

120.06 Investment Policy and Portfolio Plans

Dates: 1973-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of files containing the Foundation's investment policies. The files also include plans for how the Foundation will allocate their funds in portfolios to maintain long-term growth for the University.

Recommendation: Retain in office six (6) years, then transfer to the University Archives for permanent retention.

Disposition approved 2/16/11

120.07 Audited Financial Statements

Dates: 1973-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of financial statements audited by external auditors. The file includes management letters, financial statements, and other official documents published as part of the audit.

Recommendation: Retain in office three (3) years, then transfer to the University Archives for permanent retention.

Disposition approved 2/16/11

120.08 Recipients of Named Scholarships and Honor Awards

Dates: 1980-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of listings of recipients of named scholarships and honor awards given by the Alumni Association, Foundations, and other organizations (Meridian Society, etc.)

Recommendation: Retain in office permanently.

Disposition Approved 02/16/11

120.09 Pledge Records for Major Gifts and Annual Giving Program

Dates:	1977-
Volume:	2 Cubic Feet
Annual Accumulation:	negligible
Arrangement:	Arrangement

This record series consists of pledge record forms for anticipated donors of the Major Gift and Annual Giving Programs. The form includes name, address, phone number(s), type of donor campaign, and amount of pledge.

Recommendation: Retain pledge records for the Annual Giving Program in office for three (3) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain pledge records for the Major Gift Program in office permanently.

Retain records of pledges who do not become donors in office for two (2) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition approved 2/16/11