

Vice Chancellor for Administration  
Financial Management  
Office of The Controller

140.01 Account Files (Originals) (Hardcopy) (Electronic)

Dates: 1985 -  
Volume: 10 Cu. Ft. / 30 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Negligible

This series includes accounting statements, ledgers, receipts and related correspondence covering the following accounts:

- (a) Auxiliary and Service Enterprises;
- (b) Farm and Auxiliary Operating Programs;
- (c) Funded Debt-Tower Lake Debt Service Expense;
- ((Duplicates) Funded Debt-University Center Debt Service Expense;
- (e) Insurance Proceeds 1989 - Construction Funds;
- (f) Interest Earned on Investment of Agency Funds;
- (g) Interest Earned on Investment of Federal Funds;
- (h) Interest Earned on Investment of Non-Appropriated Funds;
- (i) Interest Earned on Investment of Restricted Funds;
- (j) Interest Earned on Investment of Service Departments;
- (k) John M. Olin Scholarship Program;
- (l) John M. Olin Endowment Fund;
- (m) Student Fitness Center Operations and Management Expenses;
- (n) Student Fitness Center Other Revenue;
- ((Originals) Student Fitness Center Debt Service Expense;
- (p) Student Health and Fitness Center Construction;
- (q) Student Health and Fitness Center Fees; and
- (r) Student Welfare and Activity Fee Estimates.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 11/18/09

140.02 Internal and External Audit Reports and Related Working Papers(Originals)  
(Hardcopy) (Electronic)

Dates: 1986 -  
Volume: 8 Cu. Ft. / 2.4 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This file contains reports of internal and external audits of university grant and program administration as well as the expenditure of regular appropriations and allocations. Related exhibits, working papers, and correspondence are also included within the series.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, no litigation is pending or anticipated and providing all audit findings have been resolved.

Disposition Approved 11/18/09

140.03 University Investment Agreements (Originals) (Hardcopy)

Dates: 1985 - 1999  
Volume: 4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of agreements authorizing the Controller to invest monies of the university with investment brokers.

Record series information includes name of broker, statement of agreement, and appropriate signatures (e.g., investment brokers, university representatives, and officials of the financial institutions).

Recommendation: Retain in office for ten (10) fiscal years following termination of agreement(s), then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 11/18/09

140.04 Investment Program Status Reports (Originals) (Hardcopy) (Electronic)

Dates: 1985 - 1999  
Volume: 4 Cu. Ft. / 1.2 GB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

This record series consists of reports, which detail the status of university investments. Record series data include name of investment firm, phone number of firm, purchase price, purchase amount, accrued interest totals, total settlement, purchase and settlement date, yield amount, account total, and individual officer initiating the investment.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 11/18/09

140.05 Monthly Reports File (Originals) (Hardcopy) (Electronic)

Dates: 1985 -  
Volume: 1 Cu. Ft./300 MB  
Annual Accumulation: Negligible/ 150 MB  
Arrangement: Chronological

The following monthly reports are generated or received by the Controller in the course of the Office's business of monitoring the financial solvency of the university:

- (d) Budget-Income Fund Analysis;
- (e) Cash and Investment Report;
- (f) Federal Funding Report (Controller);
- (g) Non-Appropriated Monthly Summary (Administrative Accounting);
- (h) Auxiliary Enterprises and Treasurer's Reports;
- (i) Quarterly Financial Report;
- (j) Debt Service Transfer; and
- (k) Paying Agent Fee.

Recommendation: Retain in office for six (6) fiscal years, then dispose of or delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Disposition Approved 11/18/09