Records Disposition Authorization

A Records Disposition Authorization, Application #UI-01-10, for the Office of University Audits (Office) was filed with the Office of the Secretary of State, October 8, 2001, and approved by members of the State Records Commission at their November 21, 2001 meeting. This authorization allows the Office to dispose of, or transfer to the State Records Commission/Archives, the records as listed below.

Audit Reports Files – Fiscal Years 1976-Present

Audit reports are retained in electronic format for a period of 20 years from audit completion (report issuance). Pre-fiscal year 1997 reports are maintained in TIFF format. Post fiscal year 1996 files are maintained in HTML or ASCII format. Backup (redundant) copies of all files are maintained during the 20 year retention period. On an annual basis, audit reports that have reached the 20 year retention period are forwarded to the University Archivist in a non-proprietary format such as PDF. Audit management must ensure all recommendations have been closed, and no litigation is pending or anticipated in regard to the related audits or audited units prior to transfer to the Archivist. Such audit reports may then be disposed of in accordance with the Records Disposal section below.

Workpaper Files – Fiscal Years 1996-Present

All audit workpapers are retained for a period of 10 years from audit completion (report issuance). Workpapers are retained in electronic format. Backup (redundant) copies of all workpaper files are maintained during the 10 year retention period. Software and hardware able to read all files is maintained during the retention period, or electronic files are translated to a format which may be ready by current software and hardware. At the end of the 10 year retention period, workpapers may be destroyed in accordance with the Records Disposal section below, provided that audit management has ensured all recommendations have been closed, and no litigation is pending or anticipated in regard to the related audits or audited units.

General Correspondence Files

General correspondence files include final, formal correspondence outside of the AutoAudit process such as routine correspondence, copies of University reports generated by other offices, and memoranda relating to campus committees on which audit staff serve. These files may be destroyed after a period of 5 years in accordance with the Records Disposal section below. However, correspondence pertaining to the charge, mission, and activities of the Office is considered to be historical record. On an annual basis, historical records that have reached the 5 year retention period are forwarded to the University Archivist. Generally, such historical record includes correspondence from the Executive Director of University Audits.
Other Records

Other Office records are to be retained in accordance with the OBFS Policies and Procedures Manual.

Records Disposal

Records may only be disposed of upon authorization of the State of Illinois, in accordance with the State Records Act. See OBFS Section 1.4 – University Business & Financial Records Management.