



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
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STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Schedule Number: 252503

Agency ID #: 478

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**DEPARTMENT OF TRANSPORTATION
 & PUBLIC FACILITIES**
OFFICE OF THE COMMISSIONER
INTERNAL REVIEW SECTION

KEY

- A** - After Audit
- CFY** - Current Fiscal Year
- CY** - Current Year
- P** - Permanent
- Numerals** - Years in Addition to current year
- TO** - Term of Office
- M** - After Microfilming
- C** - Current/or as defined

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

Certain proprietary information contained in audits is confidential under Article I, Section 22, Alaska State Constitution. This records schedule supercedes #252502 and includes records for the Juneau, Anchorage and Fairbanks offices. Audits are assigned an alpha-numeric code referencing year, location and audit type sequence number.

Statutory Authority: AS 44.17.010, 020, 040 (Organization & Staffing Authority); AS 36.30.420 (Right to Audit Records); AS 35.05.050 (Federal Aid); 23 CFR 645 (Utilities); 48 CFR 31 (Contract Cost Principles); OMB Circular A-133 (Federal Single Audit).

Internal Review provides professional audit assistance to department management that assures compliance with Federal Highway Administration and Federal Aviation Administration requirements and provides independent assessments of department operations. The Section reviews operations, identifies control weaknesses and systems improvements, ensures compliance, and recommends efficient, economical and effective improvement in use of resources.

NOTE: Under 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their prescribed retention period. This requires taking into account the issues of refreshing, migration, security duplicates; and, analog/digital crosswalks in planning, implementing, and administering the electronic system. Back-ups produced for system recovery purposes do not serve a recordkeeping function and do not substitute for security copies of records.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed below are approved for retention and disposition as indicated.

Division Director Bob Janes, Chief	State Archivist <i>[Signature]</i>	Date 1-26-07	Attorney General <i>[Signature]</i>	Date 1/10/07
Signature of Division Director <i>[Signature]</i>	Date 12/19/06	Records Analyst <i>[Signature]</i>	Commissioner of Administration <i>[Signature]</i>	Date 1/22/07

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p>Internal Audit Files & Final Reports:</p> <p>Internal audits generally deal with internal operations of the DOT/PF and include such functional areas as buildings, construction, contracting, finance, leasing, maintenance, right-of-way, etc. Audit files consist of correspondence, workpapers, final draft and review comments. Final reports also include letters of transmittal and previous reports and audits.</p> <p>Arranged annually by audit assignment number.</p>	5	-	-	5		DOT/PF: Department of Transportation & Public Facilities.
2	<p>Concession Audits:</p> <p>The purpose of concession audits is to assure management that concessionaire lessees at the Anchorage and Fairbanks International Airports have fairly reported their activities, paid the appropriate fees and rentals due, and complied with the terms of the lease agreements, other applicable regulations, policies and procedures. This series consists of correspondence, workpapers and reviews of concessionaire's leasing space/services.</p> <p>Arranged alphabetically by concessionaire name.</p>	5	-	-	5		<p>Examples of concessions and related user fees and rentals which are audited are those for the duty free shop, aircraft fuel flowage, landing fees and tie-down fees, parking lot/garage, rental car, food and beverage, and gift concessions.</p> <p>These records are administered out of the Anchorage and Fairbanks offices.</p>
3	<p>Utility Audits:</p> <p>Under 23 CFR Part 645 utility audits are performed to assist departmental managers in their responsibility for proper execution and administration of the Utilities Design & Construction program's Utility Relocation Agreements by providing the necessary assurances that federal requirements have been met. This series consists of correspondence, workpapers, reviews, rebittals, and final audit reports.</p> <p>Arranged alphabetically by utility company.</p>	C+3	-	-	C+3		<p>C=Until the project is closed out.</p> <p>Authority: DOT/PF Policy & Procedure 01.04.040.</p>

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4	<p>Special Projects:</p> <p>This series consists of projects and subjects not included in Internal, Utility or Pre-Award Audits. Includes correspondence, investigative backup, conclusions and recommendations.</p> <p>Arranged by audit number.</p>	5	-	-	5		Refer also to the General Administrative Records Retention Schedule, Item 77, Special Projects.
5	<p>Contract Pre-award Audit Workpapers:</p> <p>Federal guidelines and Departmental policy require that all negotiated contracts (i.e. Professional Services Agreements) in excess of \$250,000, which are paid out of federal funds, must receive a Pre-Award Audit evaluation. This audit type documents this examination and consists of correspondence, reviewer notes, audit workpapers and recommendations.</p> <p>Arranged alphabetically by consultant.</p>	5	-	-	5		Authority: FHWA-23 CFR 172 (Administration of Engineering & Design Related Service Contracts; FAA Advisory Circular 150/1500-14C (Architectural, Engineering & Planning Consultant Services for Airport Grant Projects; DOT/PF Policy & Procedure 01.04.030; Professional Services Agreement Manual; External Audit Procedures.
6	<p>Cost Allocation Plans:</p> <p>The purpose of an audit of a Departmental Cost Allocation Plan is to determine that the plan complies with Departmental, FHWA, FAA or other applicable funding agency regulations, administrative policies, and guidelines.</p> <p>Arranged alphabetically by name of plan.</p>	5	-	-	5		Eligibility for inclusion of costs are outlined in the US Office of Management & Budget Circular A-87, Cost Principles for State and Local Governments; and, CFR 23, Subpart G, Payroll & Related Expenses of Public Employees; General Administration & Other Overhead; and, Cost Accumulation Centers & Distribution Methods.

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7	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Internal Review staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>			See GRS	See GRS		<p>All duplicate copies of records maintained on any media may be destroyed as soon as administrative need is met.</p> <p>The General Schedule may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>