



Department of Education and Early Development  
 Division of Libraries, Archives & Museums  
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)  
 P.O. Box 110525, 141 Willoughby Avenue  
 Juneau, AK 99811-0525  
 T: (907) 465-2317/2275  
 F: (907) 465-2465

# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 478      Schedule No: 25-478.1**

DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
 OFFICE OF THE COMMISSIONER  
 478 - INTERNAL REVIEW SECTION

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Certain proprietary information contained in audits is confidential under Article I, Section 22, Alaska State Constitution. This schedule supersedes #252503.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

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

Division Director	Signature of Division Director <i>Original signature held on file.</i>	Date 12/19/06
Attorney General/Designee <i>Original signature held on file.</i>	Date 1/10/07	Commissioner of Administration/Designee <i>Original signature held on file.</i>
State Archivist <i>Original signature held on file.</i>	Date 1/26/07	Records Analyst <i>Original signature held on file.</i>
		Date 12/12/06

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Internal Audit Files &amp; Final Reports</b>                      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		DOT/PF = Department of Transportation and Public Facilities.
<p><b>002 - Concession Audits</b>                      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		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.  These records are administered out of the Anchorage and Fairbanks offices.
<p><b>003 - Utility Audits</b>                      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 &amp; Construction program's Utility Relocation Agreements by providing the necessary assurances that federal requirements have been met. This series consists of correspondence, workpapers, reviews, rebuttals, and final audit reports.</p> <p>Arranged alphabetically by utility company.</p>		C+3		C = Until the project is closed out.  Authority: DOT/PF Policy & Procedure 01.04.040.
<p><b>004 - Special Projects</b>                      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		

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
---	---	---

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>005 - Contract Pre-award Audit Workpapers</b>                      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		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.
<p><b>006 - Cost Allocation Plans</b>                      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		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.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
---	---	---