

# Retention and Classification Report

**Agency:** Department of Transportation. Office of Internal Audit (1184)

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P.O. Box 148230  
Salt Lake City, UT 84114  
801-965-4633

**Records Officer:** \_\_\_\_\_

|       |  |
|-------|--|
| 10228 | Internal audits                                |
| 10229 | Pre-award and post consultant audits           |
| 10233 | Special audits                                 |
| 10234 | Utility, railroad, and local government audits |

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10228

3

**TITLE:** Internal audits

**DATES:** ca. 1936-

**ARRANGEMENT:** Numerical by district, thereunder alphanumerical by division code

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

These records are audits of the offices, divisions, sections, and other units of UDOT. The Division of Internal Audit reviews offices for compliance with governing regulations and for economy, efficiency, and effectiveness of their operations. Audits are conducted yearly. These records include the audit program, personal observations, interviews with employees, compilation of payroll/FIRMS, analysis of records reviewed, draft reports, and the final audit report.

**RETENTION:**

Permanent. Retain for 3 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

**AUTHORIZED:** 10-23-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year or until updated and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).  
This disposition is based on the administrative needs expressed by the agency.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10228

**TITLE:** Internal audits

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. Audit program and records classified by other entities

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10229

3

**TITLE:** Pre-award and post consultant audits

**DATES:** 1986-

**ARRANGEMENT:** Alphabetical by vendor name, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records document audits of companies before and after projects are awarded. Internal Audit conducts the audits to make sure the company's accounting system is adequate for Utah Department of Transportation needs; to determine that rates reflect their actual cost of overhead, equipment, and labor; to see if the company is complying with federal acquisition regulations; and to verify all labor hours, rates, direct costs, and overhead after the project. Information includes the company's rate structure and trade secrets, correspondence, final audit reports, audit programs, audits from other agencies, and financial statements.

**RETENTION:**

Retain for 7 year(s) after resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

**AUTHORIZED:** 07-30-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 7 years after final payment and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on the Federal Highway Administration retention requirements for audit records, as stated in the Federal-Aid Highway Program Manual, volume 1, chapter 9, section 1.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10229

**TITLE:** Pre-award and post consultant audits

(continued)

**PRIMARY DESIGNATION:**

Protected

**SECONDARY DESIGNATION(S):**

Public. Contracts and billings

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10233

3

**TITLE:** Special audits

**DATES:** ca. 1936-

**ARRANGEMENT:** Alphabetical by company, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

These records document audits of any nature that are assigned to UDOT by the director or Legislature. They are mostly financial audits which determine how Transportation should set policies regarding a certain company (whether to contract with or buy from them). The companies are privately owned but are always transportation-oriented, such as with railroads or ferry boats. The information in the audits includes asset evaluations, ownership, appraisal of value, business documentation (weigh tickets, bills of lading, invoices, etc.), some correspondence, audit program, audit testing, and the final audit report.

**RETENTION:**

Permanent. Retain for 3 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

**AUTHORIZED:** 10-23-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).  
This disposition is based on the administrative needs expressed by the agency.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10233

**TITLE:** Special audits

(continued)

**PRIMARY DESIGNATION:**

Protected

**SECONDARY DESIGNATION(S):**

Public. Contracts and billings

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10234

3

**TITLE:** Utility, railroad, and local government audits

**DATES:** 1936-

**ARRANGEMENT:** Alphabetical by company name, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records are created when a transportation project is started that requires the moving of utility or railroad facilities. Utility services may be moved by the utility company or by a private contractor. These records are the audits of payments made by Transportation for the moving to be completed. Included are labor records, payroll, equipment usage and cost, overhead, correspondence, audit program, audit testing, and the final audit report.

**RETENTION:**

Permanent. Retain for 3 year(s) after resolution of issue

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

**AUTHORIZED:** 10-23-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years after final payment and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have legal value(s).

This disposition is based on Federal Highway Administration retention requirements as stated in the Federal-Aid Highway Program Manual, volume 1, chapter 9, section 1.



**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10234

**TITLE:** Utility, railroad, and local government audits

(continued)

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

|            |                                      |
|------------|--------------------------------------|
| Protected. | Information the company has supplied |
| Public.    | Contracts and billings               |