

Retention and Classification Report

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

4501 South 2700 West
P.O. Box 148230
Salt Lake City, UT 84114
801-965-4633

Records Officer: _____

| | |
|-------|--|
| 03326 | *Employee performance audit reports |
| 10550 | *Internal administrative correspondence |
| 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: 3326

3

TITLE: Employee performance audit reports

DATES: i 1975-2014.

ARRANGEMENT: Numerical by district, thereunder alphabetical by employee name

DESCRIPTION:

These audit and investigation reports determine employee compliance with the policies and procedures established by the department and conducted by the division. Includes original audit workpapers, notification of complaint, back up correspondence, daily account of audit findings, employer, expenditures, home ownership, job position information (grade/step, etc.), name, occupation, occupational licenses, police records, property ownership, psychiatric information, public housing occupancy, and victim information.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Performance plans and evaluations, GRS-1966.

AUTHORIZED: 06-01-2017

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This disposition is based on the fiscal value of these records.

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

| | |
|------------|---|
| Public. | Eighteen personal data elements identified by the State Records Committee |
| Protected. | Informant name |

AGENCY: Department of Transportation. Office of Internal Audit

SERIES: 10550

1

TITLE: Internal administrative correspondence

DATES: 1968-2015.

ARRANGEMENT: Chronological.

DESCRIPTION:

Business-related messages that document work accomplished, transactions made, or actions taken. These records do not offer unique information about agency functions, programs, or policies, though they may cite them. These records may originate on paper, electronic mail, or other media.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2015.

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 |