

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-406-08-6	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 7/14/08	
1. FROM (Agency or establishment) U.S. Department of Transportation (DOT)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Federal Highway Administration (FHWA)			
3. MINOR SUBDIVISION Office of Research, Development, and Technology			
4. NAME OF PERSON WITH WHOM TO CONFER Zachary Ellis	5. TELEPHONE NUMBER (202) 493-3193	DATE 7/6/09	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>5</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, ☒ is not required ☐ is attached; or ☐ has been requested.			
DATE July 8, 2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>Victor S. Weyher</i>		TITLE Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	This schedule covers program records of the Office of Research, Development, and Technology maintained in the Washington Headquarters Office of the Federal Highway Administration (FHWA). This schedule supersedes SF 115 job numbers NC1-406-80-9 and N1-406-92-1, approved by the Archivist of the U.S. on June 5, 1981, and May 21, 1992, respectively. It also supersedes item 4 in job number NC1-406-79-1, approved by the Archivist on March 13, 1979. Administrative records of this Office are covered by the FHWA Records Disposition Schedule for Washington Headquarters Administrative Files and the General Records Schedules (GRS).	NC1-406-80-9; N1-406-92-1; NC1-406-79-1, item 4.	

1.	Federal Coordinated Research Programs. Includes correspondence, pre-award contract information, study statements, comments, copies of contracts and related material pertaining to administering a program of research (e.g., under the National Cooperative Highway Research Program (NCHRP), Research and Technology Coordinating Committee (RTCC), Strategic Highway Research Program (SHRP), State Planning and Research (SPR) Funds, Small Business Innovative Research (SBIR) Program, etc.) for highway systems which involve R&D studies authorized for Federal funding. DISPOSITION: Cutoff at end of fiscal year. Transfer to the Federal Records Center (FRC) 5 years after cutoff. Destroy 10 years after cutoff.	NC1-406-80-9, items 14 and 23.	
2.	Research Files. Consists of laboratory technical data, correspondence, test reports, final reports, cost data, field technical data, and statistical data-requests for research information from other government agencies. DISPOSITION: Place in inactive file after issuance of final report. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.	NC1-406-80-9, item 18	
3.	Annual Program Files. Consists of general correspondence, agreements between the States and the Federal Government, project agreements, cooperative research and development agreements, and other cooperative research agreements. Draft and final reports, annual reports, quarterly reports, and vouchers for purchases other than personnel, reimbursable costs, contract costs and research costs memorandums, requests for implementation material, mailing lists, and summary sheets to see whether the distribution material on the implementation programs need to be updated. DISPOSITION: Cut off at end of fiscal year or termination date for agreement. Destroy 3 years after cutoff.	NC1-406-80-9, items 4 and 11.	
4.	External Committee Files. Consists of agreements, correspondence, minutes of meetings, and documents related to Federal staff members who serve on	NC1-406-80-9, items 5 and 36.	

	standing and <u>ad hoc</u> research committees under organizations including, but not limited to, the American Association of State Highway and Transportation Officials, Transportation Research Board (National Academy of Sciences), etc. Files are also maintained on associated draft and final reports, public vouchers for purchases including travel, reimbursable costs, contract costs, and research costs. DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cut off.		
5.	Proprietary or Intellectual Property Files. Contains project generated research data stored in data bases and computers, laboratory notebooks, intellectual property related items such as invention reports and decisions pertaining to the pursuit of patents and/or issuance of licenses, as well as computer-generated printouts that are stored for program input and used in analysis and potentially in the prosecution of patents and/or issuance of licenses. DISPOSITION: Maintain during period that intellectual property is undergoing patent prosecution or licensing. Cutoff only after formal determination is made not to prosecute for Federal Government or Federal employee property rights. Store in permanent location on-site and/or in a government owned, restricted access intellectual property database pending formal technical and commercial value reappraisal that should occur every 3 years.. Destroy/delete 20 years after cutoff.	New	
6.	Correspondence Files. Consist of official correspondence and memoranda, received from other FHWA elements and field offices pertaining to daily ongoing operations of the FHWA research facilities. DISPOSITION: Cut off at end of fiscal year. Destroy 5 years after cutoff.	NC1-406-80-9, item 9.	
7.	Standards and Policy Setting. All research and technical data, memoranda, minutes, contracts, reports, correspondence and agreements that form the basis of highway-related standards and policies. DISPOSITION: Cut off at end of fiscal year.	NC1-406-80-9, items 10, 13, 19, 30, and 37.	

	Reevaluate 5 years after cutoff for destruction.		
8.	Drawing, Graphics, and Print Files. Consists of publication printing records and drawing prints/graphics used in reports as well as drawings of all projects and equipment used at the laboratory at the TFHRC. Examples would be research and prints used in the development of new equipment, designs for steel racks for mechanical shops which are equipped for fabricating metal, wood or plastic experimental and model equipment for tests, demonstrations or displays. DISPOSITION: Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. Destroy 20 years after cutoff.	NC1-406-80-9, items 12 and 15.	
9.	Forensic Files. Consists of documents and evaluation procedures (correspondence, photographs, exhibits, public hearings, status reports, working papers, bridge inspections, structural analyses, and tests done on highway structures) pertaining to investigatory research related to highway accidents and facility structural failures of highway facilities, including but not limited to decks, bridges, pavements, guardrails, chemical materials, etc. DISPOSITION: Cutoff at end of fiscal year. Transfer to FRC 10 years after cutoff. Destroy 20 years after cutoff.	NC1-406-80-9, item 25.	
10.	Public Roads Magazine. Consists of the original final version of each issue. DISPOSITION: PERMANENT. Cut off at end of fiscal year. Transfer to National Archives 5 years after cutoff.	NC1-406-80-9, item 28; N1-406-92-1.	
11.	Photo Files. Contain files on all subject areas related to organization contract research studies, briefings, investigations, field documentation, training courses, and presentations. [Annual accumulation = Less than 1 cubic foot; total on hand = 1 cubic foot.]	NC1-406-80-9, item 32.	

	a. Captioned electronic images (born digital or scanned) and accompanying finding aid (electronic or paper). [1990 to present] DISPOSITION: PERMANENT. Cut off at end of fiscal year. Transfer to NARA 3 years after cut off in accordance with 36 CFR 1228.270. b. Captioned photographs (print, negative or slide) and accompanying finding aid. [1950 to present] DISPOSITION: PERMANENT. Transfer to NARA 10 years after approval of schedule or upon completion of scanning and/or captioning project, whichever is sooner. c. Uncaptioned and duplicated photographs (digital, print, negative and slide). DISPOSITION: Destroy when no longer needed for agency business.		
12.	International Technical Research Files. Consist of Transportation Research Board general correspondence, background material, reports, notes, problem statements, research studies on specific projects, coordinated research studies with Organization for Economic Cooperation and Development and under auspices of other public and private and public international cooperative agreements, and individual countries on programs related to the traffic system. DISPOSITION: Cutoff at end of fiscal year. Destroy 5 years after cutoff.	NC1-406-80-9, item 36.	
13.	Technical Report Files. a. Final versions of each published or unpublished technical report. Arranged by report number. DISPOSITION: PERMANENT. Cut off at end of fiscal year. Transfer to National Archives 5 years after cutoff. b. Manuscripts or reports prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analysis.	NC1-406-79-1, item 4.	

	DISPOSITION: Cut off at end of fiscal year. Destroy 10 years after cutoff.		
c.	Reference copies of technical reports. DISPOSITION: Retain until no longer needed for business needs.		