

		Job Number N1-406-06-2	
REQUEST FOR RECORDS DISPOSITION AUTHORITY To: National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001		DATE RECEIVED <i>1-6-2006</i>	
1. FROM (Agency or establishment) Department of Transportation		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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			
3. MINOR SUBDIVISION Washington Headquarters			
4. NAME OF PERSON WITH WHOM TO CONFER Victor S. Wagher	5. TELEPHONE 202-366-6672	DATE <i>10/9/07</i>	ARCHIVIST OF THE UNITED STATES <i>Mr. [Signature]</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>6</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accountability Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies,			
<input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>1/3/2005</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Victor S. Wagher</i>	TITLE <i>RECORDS OFFICER</i>	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

This schedule provides one-time and continuing disposition authority for Federal Highway Administration (FHWA) records located in Washington Headquarters.

SEE ATTACHED PAGES.

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION
Job Number N1-406-06-2

1. Contracting Officer's Technical Representative (COTR) Records

The primary duty of the COTR is to monitor the contractor's performance to ensure that all of the technical requirements under the contract are met by the delivery date or within the period of performance, and at the price or within the estimated cost stipulated in the contract. The COTR will establish and maintain an organized contract administration file to records all contractor and Government actions pertaining to the contract. The COTR's file is of particular importance, for the documentation of interaction with the contractor may be used in the event of litigation. In addition, an organized file facilitates an easy transition from one COTR to another if reassignment becomes necessary. The file(s) should contain but are not limited to the following types of documentation:

- The contract instrument (i.e., contract modifications, task orders, delivery orders, and the contractor's proposals applicable to these documents).
- The COTR's delegation letter, and all correspondence between the contractor and the contracting officer, filed in chronological order.
- A copy of the contractor's invoices/vouchers and any correspondence pertaining to the payments.
- The COTR's trip reports and written memoranda to the file on telephone conversations or other meetings with the contractor.
- A copy of the contractor's progress reports and other contract deliverables, and all correspondence pertaining to these documents.
- An evaluation of the contractor's performance, completed within 30 days after the contractor has met all terms and conditions of the contract.

Disposition: Cut off files at the close of the contract. Destroy 6 years and 3 months after cutoff.

2. Century Date Conversion (Y2K) Project Records

Records related to the initiative undertaken to ensure that automated systems would continue to function reliably when the date changed to the year 2000. The project related to activities conducted by all entities in the Agency.

Records are created in both electronic and paper media, including word processing and electronic mail. Files may included but are not limited to:

- Records related to overall Year 2000 efforts, plans, strategies, testing plans and criteria, monitoring and tracking efforts, research papers, publications, and policy letters.
- Lists of all applications (or systems) reviewed or assessed with notation of those requiring remedial work; scope of work needed to bring nonconforming applications or systems into compliance.
- Testing documentation such as descriptions of types of tests performed on various systems (e.g. baseline, unit, regression, etc.); types of test systems used; procedures involved in testing; information sufficient to support the decisions to choose particular tests and to establish the validation of tests conducted; descriptions of extent of particular tests; information, such as summaries of test results and sign-offs, sufficient to establish the Year 2000 readiness of applications and systems tested; deviations from prescribed test results; criteria to determine that an application or system is Year 2000 ready; plans for retesting computers, applications or systems that fail a Year 2000 test and documentation as to how the failure was corrected; and, information sufficient to explain changes to applications or systems for Year 2000 readiness.
- Reviews of Year 2000 program conducted by the Department's Inspector General, the Government Accountability Offices, or conducted by an outside auditing firm.
- Contracts (not including purchase orders) in which Year 2000 compliance is a stated requirement and contracts with outside consultants to address the century date change.
- Records of correspondence with external vendors, such as documentation from Web sites or certification letters, describing the Year 2000 status of vendor products and services used by the Agency. Records of correspondence, including web site postings, by the Agency with customers, supervised institutions, and/or the public describing the Agency's Year 2000 status.

Disposition: Close files at the end of year 2000. Destroy 7 years after files are closed.

3. Office of Inspector General Hotline Complaint/Investigative Files

Case files developed during investigations of known or alleged fraud and abuse and irregularities or violations of laws and regulations, excluding those that result in national media attention, Congressional investigation, or substantive changes in Agency policy or procedure. Cases relate to Agency personnel and programs and

operations administered or financed by the Agency, including contractors and others having a relationship with the Agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files contain the original complaint, resolution, any correspondence relating to the complaint and investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

- a. **Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation.** They include anonymous or vague allegations not warranting an investigation, matters referred to FHWA offices for handling, and support files providing general information that may prove useful to Inspector general investigations.

Disposition: Place in inactive files when case is closed. Cut off inactive files at the end of the fiscal year. Destroy 8 years after cutoff.

- b. **All other investigative case files,** except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

Disposition: Place in inactive files when case is closed. Cut off inactive files at the end of the fiscal year. Destroy 10 years after cutoff.

[NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigations and/or substantive changes in Agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by the National Archives and Records Administration (NARA). Such files must be scheduled by submitting an SF 115.]

4. **Audit Case Files**

*Supercedes NI-406-80-11, items 56 + 57
JCL 4/10/08*

- a. **Case files maintained by the Office of Information and Management Services** of internal audits of Agency programs, operations, and procedures, and of external audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers.

*Per email
4/9/08
Victor
Wagner.*

Disposition: Cut off case file at the end of the fiscal year in which the case is closed. Destroy 8 years after cutoff.

- b. **Case files maintained by other FHWA offices** of internal audits of Agency programs, operations, and procedures, and of external audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers.

Disposition: Cut off case file at the end of the fiscal year in which the case is closed. Destroy 4 years after cutoff.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

J. Cassidy
Date: September 21, 2007
Appraiser: Jim Cassidy, NWML
Agency: Federal Highway Administration (FHWA)
Subject: NI-406-06-2

INTRODUCTION

Schedule Overview

Miscellaneous Records of the Federal Highway Administration, including Contracting Officer's Technical Representative (COTR) Records, Century Date Conversion (Y2K) Project Records, Office of Inspector General Hotline Complaint/Investigative Files, and Audit Case Files.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 1: Contracting Officer's Technical Representative (COTR) Records

Contract instruments, delegation letters and other correspondence, invoices/vouchers, trip reports and written memoranda to the file on telephone conversations or other meetings with the contractor, progress reports and other contract deliverables, evaluation of the contractor's performance, and other records typically accumulated by an FHWA Contractor.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

- *Has little or no research value.
- *Does not document significant actions of Federal officials.

Adequacy of Proposed Retention Period(s):

- *Adequate from the standpoint of legal rights and accountability. This retention is very similar as that approved by GRS 3, item 3. FHWA feels that GRS 3, item 3 is inadequate to describe the records covered by this schedule.

Media Neutrality: Not Requested

Item 2: Century Date Conversion (Y2K) Project Records

Records related to the initiative undertaken to ensure that automated systems would continue to function reliably when the date changed to the year 2000. The project related to activities conducted by all entities in the Agency.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

- *Has little or no research value.

*Does not document significant actions of Federal officials.

*Y2K records accumulated by FHWA are applicable only to FHWA, and do not reflect major policy decisions made on Y2K records throughout the Federal Government.

Adequacy of Proposed Retention Period(s):

* Adequate.

Media Neutrality: Requested and approved.

Item 3 (a, b): Office of Inspector General Hotline Complaint/Investigative Files

Case files developed during investigations of known or alleged fraud and abuse and irregularities or violations of laws and regulations. Cases relate to Agency personnel and programs and operations administered or financed by the Agency, including contractors and others having a relationship with the Agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files.

Item 3a: Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Unlikely to have major research value.

*Does not usually document significant actions of Federal officials.

Adequacy of Proposed Retention Period(s):

* Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Requested

Item 3b: All other investigative case files.

All other investigative case files, except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Unlikely to have major research value.

*Does not usually document significant actions of Federal officials.

Adequacy of Proposed Retention Period(s):

* Adequate from the standpoint of legal rights and accountability. FHWA has provided that in relatively rare instances Significant cases, i.e., those that result in national media attention, Congressional investigations and/or substantive changes in Agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by the National Archives and Records Administration (NARA). Such files must be scheduled by submitting an SF 115.

Media Neutrality: Not Requested

Item 4 (a, b): Audit Case Files

Case files maintained by the Office of Information and Management Services or other FHWA offices of internal audits of Agency programs, operations, and procedures, and of external audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers.

Item 4a: Case files maintained by the Office of Information and Management Services.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Unlikely to have major research value.

*Does not usually document significant actions of Federal officials.

Adequacy of Proposed Retention Period(s):

* Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Requested

Item 4b: Case files maintained by other FHWA offices.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Unlikely to have major research value.

*Does not usually document significant actions of Federal officials.

*Shorter period justified because longer term audit files maintained in Office of Information and Management Services.

Adequacy of Proposed Retention Period(s):

* Adequate from the standpoint of legal rights and accountability.

Media Neutrality: Not Requested



JAMES G. CASSEDY

LifeCycle Management Division