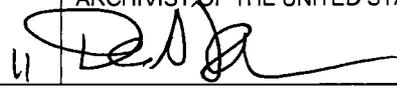


<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-406-09-3	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 11/7/08	
1 FROM (Agency or establishment) U S Department of Transportation (DOT)		<b>NOTIFICATION TO AGENCY</b>  In accordance 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Administration (HAD)			
4 NAME OF PERSON WITH WHOM TO CONFER Victor Wagner	5 TELEPHONE NUMBER (202) 366-6672	DATE 19 DEC 11	ARCHIVIST OF THE UNITED STATES 
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>35</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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE September 24, 2008	SIGNATURE OF AGENCY REPRESENTATIVE Victor A. Wagner		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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 the records of the Office of Administration (HAD) and other administrative files maintained in the Washington Headquarters Offices of the Federal Highway Administration (FHWA) This schedule primarily supersedes SF 115 job number NC1-406-80-11, approved by the Archivist of the U S on July 2, 1981 Administrative records not covered on this schedule are covered by the General Records Schedules (GRS), issued by the National Archives and Records Administration (NARA)  Items marked with an asterisk (*) may contain sensitive and/or personal identifiable information and require controlled access and handling to safeguard against a breach of information ( <i>Privacy Act of 1974 and the Federal Information Security Management Act of 2002</i> )	NC1-406-80-11	

1	<p><b>Administrative Files</b> Contain correspondence, personnel material, training material, budget material, daily, weekly, monthly and bi-weekly reports, communications with other agencies, meeting materials, and other related documents pertaining to the daily operation of the office</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Destroy 3 years after cutoff</p>	NC1-406-80-11, item 3	
2	<p><b>Associate Administrator for Administration Files.</b> Consist of general correspondence and emails with background notes, working papers, speeches and presentations, preliminary files related to the development of policy and guidance, and other related documentation assisting the AA to carry out his or her mission on administrative matters</p> <p>DISPOSITION Temporary Destroy/delete when 3 years old</p> <p><b>Biographical Sketches.</b> Contain, along with picture, summary of work experience, education, awards as well as title of present position occupied by key executives in FHWA Sketches are used for public affairs purposes and conferences Sketches are distributed to the Office of the Administrator, Associate Administrators, Staff Office Directors, Division Administrators and Federal Lands Highway Division Engineers</p>	NC1-406-80-11, item 15	
3	<p><b>Record Copy</b></p> <p>DISPOSITION <b>PERMANENT.</b> Place in inactive file upon separation from FHWA Cut off inactive file every 10 years and transfer to NARA upon breaking</p>	NC1-406-80-11, item 17a	
4	<p><b>All other copies</b></p> <p>DISPOSITION Temporary Destroy 1 year after separation</p>	NC1-406-80-11, item 17b	
5 *	<p><b>Delegation of Authority Files.</b> Include documentation and supporting papers pertaining to delegations of authority from the Secretary of Transportation to the Federal Highway Administrator, and subsequent delegations from the Administrator to headquarters and field officials of the Agency These files also include records of internal delegations of authority that are made within</p>	NC1-406-80-11, item 38	

	<p>FHWA headquarters and field organizations</p> <p>DISPOSITION Temporary Place in inactive file when delegation is invalid Cut off inactive file at end of fiscal year Destroy 6 years after cutoff</p> <p><b>Directives Files.</b> Consist of official file copies, directives, background materials, and other papers related to the development of FHWA directives, including changes that are authorized issuances and used as a primary means of issuing policy instructions and procedures Record copies are maintained in the Management Programs &amp; Analysis Division (HAIM-10)</p> <p><b>Notices</b> Official Agency issuances containing internal policy, instructions, or procedures that generally has a short-term duration, typically, not extending beyond a 1 year period</p> <p><b>Record copy</b></p> <p>DISPOSITION <b>PERMANENT</b> Place in inactive file when superseded Break inactive file every 5 years and transfer to National Archives upon break</p>		
6		N1-406-04-1, Item 1a	
7	<p><b>All other copies</b></p> <p>DISPOSITION Temporary Destroy in agency when no longer needed</p> <p><b>Orders</b> Official Agency issuances containing internal policy, instructions, or procedures expected to remain in effect for more than 1 year</p>	N1-406-04-1, Item 1b	
8	<p><b>Record copy</b></p> <p>DISPOSITION <b>PERMANENT.</b> Place in inactive file when superseded Break inactive file every 5 years and transfer to National Archives upon break</p>	NC1-406-80-11, Item 39d(1)	
9	<p><b>All other copies</b></p> <p>DISPOSITION Temporary Destroy in agency when no longer needed</p>	NC1-406-80-11, Item 39d(2)	

10	<p><b>Joint Interagency Orders and Notices.</b> Official issuances of policy, instructions, or procedures that are administered jointly by FHWA and other DOT Operating Administrations (OAs)</p> <p><b>Record copy</b></p> <p>DISPOSITION <b>PERMANENT.</b> Place in inactive file when superseded Break inactive file every 5 years and transfer to National Archives upon break</p>	New	
11	<p><b>All other copies</b></p> <p>DISPOSITION Temporary Destroy in agency when no longer needed</p>		
12	<p><b>Federal-Aid Policy Guide (FAPG),</b> formerly the Federal-Aid Highway Program Manual (FHPM) The FAPG, terminated as a category of directive by issuance of FHWA Order 1321 1C, contained the Federal-Aid Highway Program (FAHP) regulations published in Titles 23 and 49 of the Code of Federal Regulations (CFR), as well as the non-regulatory supplements and non-CFR related guidance material It was designed to provide guidance for the FAHP when the FHPM was cancelled in 1991 The FAPG and its supplements contained the current policies, regulations, and non-regulatory procedural guidance related to the FAHP and FHWA's Federal Lands Highway Program Most of these are maintained in HAIM-10</p> <p><b>Record copy</b></p> <p>DISPOSITION <b>PERMANENT</b> Place in inactive file when superseded Break inactive file every 5 years and transfer to National Archives upon break</p>	New	
13	<p><b>All other copies</b></p> <p>DISPOSITION Temporary Destroy in agency when no longer needed</p>		
14	<p><b>Background and supporting documents</b></p> <p>DISPOSITION Temporary Destroy 5 years after directive is canceled, superseded, or obsolete</p>		

15 *	<p><b>Directory Files.</b> Contain changes made periodically to U S Government Manuals, the Congressional Directory, the Federal Register and others Files also contain requests for the changes by related organizations and agencies affiliated with FHWA and DOT</p> <p>DISPOSITION Temporary Destroy when 3 years old</p>	NC1-406-80-11, item 40	
16 *	<p><b>Employee Master Record Files.</b> Consist of Form FHWA-21, Authorization for Paid Overtime and Holiday Work and for Compensatory Overtime, used for the appropriate officials to approve overtime and other documentation used to develop predetermined control totals to assure accuracy of salary payments and deductions</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Destroy 3 years after cutoff</p>	NC1-406-80-11, item 44	
17 *	<p><b>Employment Correspondence Files.</b> Contain copies of letters inquiring about employment, requesting literature of special interest on training and career opportunities in FHWA and other information pertaining to FHWA personnel training and employee development programs</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Destroy 2 years after cutoff</p>	NC1-406-80-11, item 45	
18 *	<p><b>Foreign Country Files.</b> Consist of correspondence, financial data, reimbursable agreements, and other papers related to FHWA involvement in work done with foreign countries</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Transfer to FRC 3 years after cutoff Destroy 10 years after cutoff</p> <p><b>Mission and Organization Files.</b> Include documentation and supporting papers pertaining to changes in the mission, functions, and organizational structure of Agency headquarters and field offices Approval documents and background information are included that provide rationale and justification for the changes, as well as organizational charts and related papers</p>	NC1-406-80-11, item 51	
19	<p>Order containing organizational charts and changes (record copies) as well as key documents that provide</p>		

	<p>rationale, justification, and historical information for organizational changes</p> <p><b>DISPOSITION PERMANENT.</b> Cut off files at end of fiscal year Transfer to the FRC 5 years after cutoff Transfer to National Archives when 10 years old</p>	<p>NC1-406-80-11, item 54a</p>	
20	<p>All other material, such as documentation that supports organization-related proposals and changes</p> <p><b>DISPOSITION Temporary</b> Destroy in agency when no longer needed</p>	<p>NC1-406-80-11, item 54b</p>	
21	<p><b>Grant Case Files (Non-Acquisition).</b> Contain fellowship grants, scholarship grants, grant agreements, modifications and supporting correspondence</p> <p><b>DISPOSITION Temporary</b> Cut off at end of fiscal year Destroy when 5 years old</p>	<p>NC1-406-80-11, item 60</p>	
22	<p><b>Management Project Study Files.</b> Includes files and supporting papers pertaining to studies, surveys, and special management reviews for which the office has exercised lead or primary responsibility Files may include copies of final reports, correspondence, notes, drafts, background materials, questionnaires, statistical data, process flow charts, and other papers related to the planning and completion of these efforts</p> <p><b>DISPOSITION Temporary</b> Cut off at end of fiscal year Transfer to FRC 5 years after cutoff Destroy 10 years after cutoff</p>	<p>NC1-406-80-11, item 69</p>	
23	<p><b>Monthly Transaction Reports.</b> Files contain purchase orders, invoices, backup material, disposition reports and related data listed on non-expendable property accounts and transactions</p> <p><b>DISPOSITION Temporary</b> Cut off at end of fiscal year Transfer to FRC when 2 years old Destroy 6 years and 3 months after final payment</p> <p><b>Motion Pictures, Sound and Video recordings, and related records.</b> Motion Picture films, sound recordings, video recordings, whether analog or digital, and related records created or produced or acquired from outside sources by the FHWA. For each type of audiovisual record designated as</p>	<p>NC1-406-80-11, item 75</p>	

permanent, the specific record components required by 36 CFR 1228 266 are listed below

**Motion Pictures** FHWA-sponsored films for distribution (informational films) The original negative or color original plus separate optical sound track, an intermediate master positive or duplicative negative plus optical sound track, and a sound projection print Films made for internal use (program films) The original negative or color original plus sound, and a projection print Acquired films Two projection prints Unedited footage, out takes and trims, showing unrehearsed historical events or historically significant phenomena The original negative or color original and a work print, properly arranged, labeled, and described

**Sound Recordings.**

a Analog sound recordings The original tape, tape master, or earliest generation of the recording and a subsequent copy for reference if one exists

b Digital sound recordings The original digital recording (regardless of form, such as digital computer audio file at highest resolution, preferably as uncompressed audio, or CD quality audio files) and two CD copies If computer digital audio files, transfer on a portable Hard Drive is acceptable

**Video Recordings.**

a Analog video records *Videotape* The original or earliest generation videotape and a reference copy Industrial-quality or professional videotapes shall be used as originals (e g , BetaCam) Reference copies can be on VHS

b Digital video recordings The original digital recording (regardless of form, in the highest resolution as digital source files or as recorded on a professional digital tape in an edited master and as unedited material), and a DVD copy for reference use

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**Official record set** The original master sound or video recording, or the original film negative and one print of motion picture film that document FHWA's mission, program, and activities Includes FHWA-sponsored productions intended for public distribution, FHWA-sponsored training productions that explain Agency functions and activities, recordings of public meetings and speeches, FHWA-sponsored conferences, guest speakers, testimony of Agency officials before Congress and at other

NC-406-75-1 item 2

<p>25</p>	<p>hearings, and interviews with FHWA officials and staff, and other productions created to disseminate information to the public regarding FHWA operations and programs</p> <p>DISPOSITION DISPOSITION <b>PERMANENT</b> Cut off at end of calendar year Transfer copies to NARA two years after cutoff</p> <p><b>National Cooperative Highway Research Program.</b> Consists of correspondence, funding procedures, State agreements, copies of vouchers, reimbursable agreements, and financial data related to the program of research for highway systems which involve R&amp;D studies</p> <p>DISPOSITION Temporary Place in inactive file after completion of program Cut off inactive file at end of fiscal year Transfer to FRC 3 years after cutoff Destroy 5 years after cutoff</p>	<p>NC1-406-80-11, item 78</p>	
<p>26 *</p>	<p><b>Human Resources Accountability Review Files.</b> Contain general correspondence, background material, classification actions, external agency evaluation reports, and internal evaluation studies of management programs Files also contain questionnaires that have been sent to FHWA employees on their working conditions in the office, desk audits, and position description reviews for Washington Headquarters, Resource Centers, and divisions</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Destroy in agency when 5 years old</p> <p><b>Still Photography Files</b> For each type of photographic print, negative, and slide designated as permanent, the specific record components required by 36 CFR 1228.366 are listed below</p> <p><b>Black-and-white photographs</b> An original negative and a captioned print, or the caption information can be maintained in another file such as a database if the photo file number is clearly correlated If the original negative is nitrate, unstable acetate, or glass-based, a duplicate negative on a polyester base is also needed</p> <p><b>Color photography</b> The original color negative, color transparency, or color slide, a captioned print of the original color negative and/or captioning</p>	<p>NC1-406-80-11, item 88</p> <p>NC-406-75-1, NC1-406-80-11, item 93</p>	

	<p>information as described above or an original color transparency of slide, and a duplicate negative, slide, or transparency if one exists</p> <p><b>Slide sets</b> The original and a reference set and related audio recordings and script</p> <p><b>Filmstrips</b> The original and a reference set</p> <p><b>Digital photographs</b> Born digital or scanned images that meet the current NARA transfer standard, "Expanding Acceptable Transfer Requirements Transfer Instructions for Permanent Electronic Records - <u>Digital Photographic Records</u>, issued November 12, 2003</p> <p>Photographs depicting significant events, personalities, and other subjects relating to the mission and activities of FHWA Included are photographs of dedication ceremonies and official events, visits from officials and significant citizens, and major program activities</p>		
27	<p>Photographs (black and white photographs, color photographs, slide sets, and filmstrips)</p>	NC-406-75-1, Item 2	
28	<p>DISPOSITION <b>PERMANENT</b> Cut off annually Transfer to NARA in 5-year blocks when the oldest records in the block are 10 years old</p>		
28	<p>Digital photographs (born digital or scanned)</p> <p>DISPOSITION <b>PERMANENT</b> Cut off images after 2 years and transfer digital images in the 2-year block immediately to NARA</p>		
29	<p>Official portraits of the FHWA Administrator and other senior FHWA officials</p>		
29	<p>Photographs (black and white photographs, color photographs)</p> <p>DISPOSITION <b>PERMANENT</b> Cut off at the end of each Administrator's tenure and transfer to NARA 3 years after cutoff</p>	NC-406-75-1, Item 2	
30	<p>Digital photographs (born digital or scanned)</p> <p>DISPOSITION <b>PERMANENT</b> Cut off images after 2 years and transfer digital images in the 2-year block immediately to NARA</p>		

31	<p>Duplicate photographs and negatives</p> <p>DISPOSITION Temporary Destroy when no longer needed</p>		
32	<p><b>Printing Requisition Files.</b> Contain DOT Form 1700 8, Duplication Request, DOT Form 1700 3, Printing, Binding, Distribution and Editorial Service Requests, Standard Form -1, and GPO Form 2511 Print Order, related memoranda, and documents used in requesting printing and distribution services for FHWA DOT Form 1700 8 is used in the initial request for ordering all printing and duplicating services and provides information as to the quantity, kind, color and size of the material to be printed DOT Form 1700 3 is submitted to OST to provide printing and distribution instructions, the requisition number, delivery instructions, appropriation number for billing purposes and is approved by the Publication and Visual Communications Team SF-1 Form is submitted to GPO to request printing /binding /distribution services GPO Form 2511 is submitted to contract printers to request printing/binding/distribution services thru GPO</p> <p>DISPOSITION Temporary Destroy 4 years after completion of job</p>	NC1-406-80-11, item 99	
33	<p><b>Program Improvement Files.</b> Includes records and supporting papers pertaining to Agencywide program initiatives and special project assignments for which the office has exercised lead or primary responsibility Examples include documents implementing Presidential or OMB directed program initiatives, as well as correspondence, papers, and background information concerning strategic planning, organizational assessments, quality and productivity improvement, and budget development</p> <p>DISPOSITION Temporary Cut off at end of fiscal year Transfer to FRC 5 years after cutoff Destroy 10 years after cutoff</p>	NC1-406-80-11, item 103	
34	<p><b>Property and Services Program Files.</b> Consist of general correspondence, records of coordination and approval, material on nationwide FHWA programs for space and communications management, real property and personal property management and coordination of plans, acquisition, construction, utilization and maintenance of all FHWA property</p>	NC1-406-80-11, item 110	

35	<p>which include motor vehicles, facilities, property, equipment and records against theft, damage and civil disturbance, accountability for official identification cards and credentials and the establishment of orderly evacuation in the event of disaster or attack.</p> <p>DISPOSITION Temporary. Cut off at end of fiscal year. Destroy 3 years after cutoff.</p> <p><b>Property and Supplies Files.</b> Consist of correspondence, copies of invoices and requisitions, personal property loss, inventories and identification, damaged property, standards for purchasing, equipment control studies and other related information pertaining to property and supplies that have been coordinated with the Office of Acquisition Management</p> <p>DISPOSITION: Temporary. Cut off at end of fiscal year Destroy 3 years after cutoff.</p>	NC1-406-80-11, item 111	
36	<p><b>Reference Files.</b> Files contain copies of information used as ready reference on subjects of current or ongoing interest These files may contain copies of publications, directives, pictures, correspondence and the like. Official file copies are not to be placed in these files nor are the files to be considered pending files where official file copies are kept on a tentative basis</p> <p>DISPOSITION: Temporary. Destroy in agency when no longer needed.</p>	NC1-406-80-11, item 115.	
37	<p><b>Safety Program Files.</b> Consist of correspondence, official file copies, reference materials, working papers, and other related documents pertaining to the accident prevention program and FHWA Occupational Health and Safety Program.</p> <p>DISPOSITION: Temporary. Cut off at end of fiscal year Destroy 3 years after cutoff.</p>	NC1-406-80-11, item 124	
38	<p><b>Verification in Hours Status Files.</b> Files contain documents received from management verifying hours of FHWA employees and used for audit purposes</p> <p>DISPOSITION: Temporary. Destroy when 6 months old.</p>	NC1-406-80-11, item 148	

39	<p><b>Posters.</b> Posters created by FHWA for distribution Government wide or to the public.</p> <p>DISPOSITION: <b>PERMANENT</b> Transfer 2 copies to NARA upon publication.</p> <p><b>FHWA Publications</b> Records accumulated in editing, printing, and publishing FHWA publications, guides, handbooks, booklets, brochures, and newsletters These publications may be in hard copy or electronic format.</p>	New	
40	<p><b>Record copy of each publication</b></p> <p>DISPOSITION. <b>PERMANENT.</b> Transfer 2 copies of each publication to NARA immediately upon publication. Consult with FHWA Records Officer for specific transfer procedures. Electronic publications will be transferred in a format and on a medium acceptable to NARA at the time of the transfer</p>	New	
41	<p>Photographs, negatives, and prints used in publications, EXCLUDING original photography under items 27-30</p> <p>DISPOSITION Temporary Destroy when no longer needed for business needs.</p> <p><b>Freelance Editorial Vendors Files</b> Documents relating to freelance editorial vendor services, including indexing</p>	New	
42	<p>Invoices, log of current budgetary balance, mailing lists, and related records</p> <p>DISPOSITION Temporary. Cut off annually. Destroy when 3 years old.</p>		
43	<p>Resumes, examples of work, and evaluations</p> <p>DISPOSITION: Temporary Destroy when superseded or obsolete.</p> <p><b>Technical Advisories (TA)</b> TAs contain detailed techniques or technical materials, advisory in nature, and are directed toward State Highway Agencies, Governor's Highway Safety Representatives, or local government jurisdictions, as well as FHWA offices. TAs are guidance and not used to impose requirements or issue policy. TAs were recently</p>		

	<p>terminated as a category of Agency directive but will likely continue to be issued as guidance. Legacy TAs are currently maintained by HAIM-10, but TAs will be owned by the FAHP program offices in FHWA Headquarters which provide national leadership, set policy, and provide guidance in specific program areas. Although these documents are listed in the web based Federal-Aid Highway Program Policy and Guidance Center (PGC), the program offices are the content owners of the documents and are responsible for maintaining the originals</p> <p><b>Record copy.</b></p> <p>DISPOSITION <b>PERMANENT.</b> Place in inactive file when superseded. Break inactive file every 5 years and transfer to National Archives upon break</p> <p><b>All other copies.</b></p> <p>DISPOSITION: Temporary Destroy in agency when no longer needed</p> <p><b>Background and supporting documents</b></p> <p>DISPOSITION: Temporary Destroy 5 years after directive is canceled, superseded, or obsolete.</p> <p><b>Audit Case Files</b></p> <p>Case files maintained by the Office of Information and Management Services of internal and external audits of Agency programs, operations, procedures, and audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers</p> <p>DISPOSITION: Temporary Cut off case file at the end of the fiscal year in which the case is closed. Destroy 8 years after cutoff.</p> <p>Case files maintained by other FHWA offices of internal and external audits of Agency programs, operations, procedures, audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers</p> <p>DISPOSITION: Temporary Cut off case file at the end of the fiscal year in which the case is closed. Destroy 6 years after cutoff.</p>	<p>NC1-406-80-11, item 39E</p>	
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