

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-406-09 <i>H</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>11/17/08</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Operations			
4. NAME OF PERSON WITH WHOM TO CONFER Nan Prillerman	5. TELEPHONE NUMBER (202) 366-1808	DATE <i>10/11/09</i>	ARCHIVIST OF THE UNITED STATES <i>(Shirley) 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>6</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 <i>October 8, 2008</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Victor S. Wagner</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 GRS OR SUPERSEDED JOB CITATION	10.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 Operations maintained in the Washington Headquarters Office of the Federal Highway Administration (FHWA). This schedule supersedes operations-related records on SF 115 job numbers NC1-406-80-8 and N1-406-89-3, approved by the Archivist of the U.S. on December 11, 1981, and February 15, 1991, respectively. Most administrative records of this Office are covered by the FHWA Records Disposition Schedule for Washington Headquarters Administrative Files and the General Records Schedules (GRS).	NC1-406-80-8 (Partial); N1-406-89-3 (Partial)	

1.	<p><b>Administrative Files.</b> Include personnel files (position descriptions, time and attendance cards, requests for personnel actions), training information (requests for training, records of personnel involved in training), travel vouchers and travel orders, budget estimates, and internal reports. Also included in these files are progress reports and highlights.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 6 years after cutoff.</p>	NC1-406-80-8, item 4.	
2.	<p><b>Continuity of Operations (COOP) Plans.</b> COOP plan are procedures for continuing essential operations and relocating essential personnel and records to an alternate site in the event of an emergency situation. FHWA Headquarters and Field Offices COOP plans Volume II contains personally identifiable information (PII) such as home addresses and home telephone numbers.</p> <p>DISPOSITION: Reviewed annually. Destroy in agency when superseded by another COOP plan.</p>	<p>NC1-406-80-8, item 28.</p> <p>Superseded by Job / Item number:  <u>DAA-GRS-2016-0004-001</u>  Date (MM/DD/YYYY):  <u>July 17, 2019</u> <i>John Barnes</i></p>	
3.	<p><b>Contract Administration Project Files.</b> Files on direct Federal projects that have been let. They include project status reports, reports by engineers supervising the project, correspondence concerning the projects, and contractor and subcontractor agreements. These files are used for program evaluation.</p> <p>DISPOSITION: Destroy 1 year after project is completed, except for documents that are deemed to be of longer term reference value, which should be evaluated 3 years after project completion for destruction.</p>	NC1-406-80-8, item 29.	
4.	<p><del><b>Emergency Planning Administrative Correspondence Files.</b> Correspondence files relating to administration and operation of the emergency planning program.</del></p> <p><del>DISPOSITION: Destroy when 2 years old.</del></p>	GRS 18, item 26.	
5.	<p><b>International Committees and Organization Files.</b> Files of FHWA's participation in committees that serve as a forum for the international exchange of information pertaining to the traffic control field. These are also files tracing the development of international standards for signs and symbols.</p>	NC1-406-80-8, item 89.	

	<p>DISPOSITION: <b>PERMANENT</b>. Cutoff at end of calendar year.</p> <p>a. <u>If paper</u>: Transfer to the Federal Records Center (FRC) when 5 years old. Transfer to National Archives in 5 year blocks when 15 years old. (Annual accumulation is less than 1 cubic foot.)</p> <p>b. <u>If electronic</u>: Transfer to the National Archives 15 years after cutoff, in accordance with <u>36 CFR 1228.270</u>.</p>		
6.	<p><b>Legislative Files</b>. Contain comments on legislation where FHWA is the lead agency or is submitting comments on legislation affecting the policy of FHWA. Files also contain reports to Congress and correspondence on reports.</p>	NCI-406-80-8, item 95.	
7.	<p>DISPOSITION: Destroy 3 years after enactment of legislation.</p> <p><b>Manual on Uniform Traffic Control Devices (MUTCD) Official Rulemakings, Interpretations, and Experimentations</b>. Files contain official FHWA rulemakings on changes to the national standards and the background information related thereto. Files include requests for rulings on interpretations of the MUTCD, experimentations with new devices, and the responses. The requests come from State and local governments and from private firms and individual citizens. Older rulings were made by a National Advisory Committee and newer rulings are made by the FHWA. The rulings become part of the national standards for traffic control devices and are of historical value.</p> <p>DISPOSITION: <b>PERMANENT</b>. Cutoff and move to closed-out file after one of the following conditions has been met: (1) the request has been ruled on incorporated into a new MUTCD, or (2) rulemaking has been completed and the MUTCD manual has been reissued.</p> <p>a. <u>If paper</u>: Transfer closed file annually to FRC. Transfer to National Archives 15 years after closure in 5 year blocks. (Annual accumulation is approximately 2 cubic feet.)</p> <p>b. <u>If electronic</u>: Transfer to the National Archives 15 years after closure, in accordance with <u>36 CFR 1228.270</u>.</p>	NCI-406-80-8, item 104.	

8.	<p><b>National Committee Member Files.</b> Files of committees with which FHWA exchanges or receives information involved in traffic control. FHWA members may sit on these committees, however, the files are not the record files of the committee, but member copies of committee information.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	NC1-406-80-8, item 107.	
9.	<p><b>Organization Files.</b> Consist of files involving the organization of the office, meetings, program emphasis area, working files and related correspondence.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	NC1-406-80-8, item 113.	
10.	<p><b>Program Control Files.</b> Files include feasibility studies, allocation requests, budget expenditure records, status reports, general reports and correspondence from Congress, the FHWA field offices, local governments, and private citizens.</p> <p>a. <b>Status Reports.</b></p> <p>DISPOSITION: Review annually and purge when superseded or when program is completed.</p> <p>b. <b>All other records.</b></p> <p>DISPOSITION: Place in closed case file when the program is completed. Cut off closed case file at end of fiscal year.</p> <p>1. <u>If paper:</u> Transfer to FRC after cutoff. Destroy 3 years after cutoff.</p> <p>2. <u>If electronic:</u> Delete 3 years after cutoff.</p>	NC1-406-80-8, item 123.	
11.	<p><b>Project Files.</b> Reports, correspondence, plans, and other papers related to Federal-aid highway projects, and not scheduled elsewhere.</p> <p>DISPOSITION: Destroy 3 years after project is completed.</p>	NC1-406-80-8, item 125.	
12.	<p><b>Research Projects.</b> Correspondence, notes, minutes of meetings and progress reports on various ongoing research projects.</p>	NC1-406-80-8, item 137.	

<p>13.</p>	<p>DISPOSITION: Place in inactive file upon completion of project. Cut off inactive file at end of fiscal year. Destroy 3 years after cutoff.</p> <p><b>Traffic Control Subject Files.</b> Pertain to traffic control standards and specifications. They are filed by subject, and contain background information, correspondence, and standards for traffic control such as road markers, traffic signs, etc. They serve as a record of the development of particular traffic controls.</p> <p>DISPOSITION: Cut off at end of fiscal year.</p> <p>a. <u>If paper:</u> Transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff.</p> <p>b. <u>If electronic:</u> Delete 10 years after cutoff.</p>	<p>NC1-406-80-8, item 169.</p>	
<p>14.</p>	<p><b>Training Courses.</b> Files on training courses developed by or for the office. Files include correspondence with the school or contractors concerning the courses, evaluations and descriptions of the course and requests for funding the development and participation of field and State highway engineers in the courses.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>NC1-406-80-8, item 171.</p>	
<p>15.</p>	<p><b>Rulemaking Internal File to Dockets:</b> Internal working papers for each rule containing internal comments as well as external comments from the public and public interest groups.</p> <p>DISPOSITION: Destroy when 5 years old.</p>	<p>N1-406-89-3, item 51.</p>	
<p>16.</p> <p>a.</p>	<p><b>Size and Weight Certification Case Files.</b> Contains State size and weight enforcement certification documentation submitted to FHWA by the States as required by 23 CFR 657, and divisional and regional documentation. Also included are copies of annual reports to Congress on size and weight.</p> <p><b>Size and Weight Annual Report and other publications.</b></p> <p>DISPOSITION: <b>PERMANENT.</b> Cutoff file at end of fiscal year.</p>	<p>N1-406-89-3, item 54A</p>	

<p>17.</p>	<p>1. <u>If paper</u>: Transfer to FRC 10 years after cutoff. Transfer to National Archives when latest record is 15 years old. (Annual accumulation is approximately 2 cubic feet.)</p> <p>2. <u>If electronic</u>: Transfer to National Archives when latest record is 15 years old, in accordance with <u>36 CFR 1228.270</u>.</p> <p>b. <b>Other files.</b></p> <p>DISPOSITION: Cutoff at end of fiscal year. Destroy/delete 6 years after cutoff.</p> <p><b>Size and Weight Research Case Files.</b> Contains ongoing research project as well as research by other agencies and consists of correspondence, contract documents, progress, interim, and final reports.</p> <p>a. <b>Final reports resulting from FHWA research.</b></p> <p>DISPOSITION: <b>PERMANENT.</b> Place in inactive file when case is closed. Cutoff inactive file at end of fiscal year.</p> <p>1. <u>If paper</u>: Transfer to FRC 10 years after cutoff. Transfer to National Archives in 5 year blocks when latest record is 15 years old. (Annual accumulation is approximately 1 cubic foot.)</p> <p>2. <u>If electronic</u>: Transfer to National Archives when latest record is 15 years old, in accordance with <u>36 CFR 1228.270</u>.</p> <p>b. <b>Supporting Documentation.</b></p> <p>DISPOSITION: Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Destroy/delete 3 years after cutoff.</p> <p>c. <b>Research reports resulting from the research of other agencies.</b></p> <p>DISPOSITION: Destroy when no longer needed for administrative purposes.</p>	<p>N1-406-89-3, item 54B</p> <p>N1-406-89-3, Item 55A</p> <p>N1-406-89-3, Item 55B</p> <p>N1-406-89-3, Item 55C</p>	
<p>18.</p>	<p><b>Size and Weight Subject Files.</b> Contains correspondence, reports, briefing and other materials relating to the vehicle size and weight program, and cover such areas as drivers, permits, buses, trucks, scales, vehicle components and operating characteristics, Federal and State vehicle size and weight laws and regulations, national network route descriptions, grandfather rights, and penalties for</p>	<p>N1-406-89-3, Item 56.</p>	

	<p>violations (periodic, as law requires - past ones done in 1956, 1982, and 1991).</p> <p>DISPOSITION: <b>PERMANENT</b>. Cutoff inactive file at end of fiscal year.</p> <p>a. <u>If paper</u>: Transfer to FRC 10 years after cutoff. Transfer to National Archives in 5 year blocks when latest record is 15 years old. (Annual accumulation is less than 1 cubic foot. Total on hand is approximately 4 cubic feet)</p> <p>b. <u>If electronic</u>: Transfer to National Archives when latest record is 15 years old, in accordance with <u>36 CFR 1228.270</u>.</p> <p>19. <b>Work Zone Official Rulemakings</b>. Files contain official FHWA rulemakings on work zone safety and mobility requirements and related background information. The rulings are incorporated into 23 CFR as regulations pertaining to work zone management and operation.</p> <p>DISPOSITION: <b>PERMANENT</b>. Cutoff files after rulemaking has been completed and 23 CFR has been updated.</p> <p>a. <u>If paper</u>: Transfer to FRC after cutoff. Transfer to National Archives 15 years after cutoff in 5 year blocks. (Annual accumulation is approximately 1 cubic foot.)</p> <p>b. <u>If electronic</u>: Transfer to National Archives 15 years after cutoff, in accordance with <u>36 CFR 1228.270</u>.</p> <p>20. <b>Work Zone Program Files</b>. Consist of files involving management of the work zone program including program assessment and emphasis, research, outreach, project files, meetings, working files, and related correspondence.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>New</p> <p>New</p>	
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