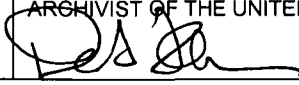
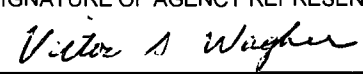


REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-406-09-17	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8/24/09	
1 FROM (Agency or establishment) U S Department of Transportation		NOTIFICATION TO AGENCY In accordance with the provisions 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Federal-Aid Divisions (Field Offices) - Administrative			
4. NAME OF PERSON WITH WHOM TO CONFER Victor S. Wagher	5 TELEPHONE NUMBER 202-366-6672	DATE August 10	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>12</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 August 7, 2009	SIGNATURE OF AGENCY REPRESENTATIVE 		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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 administrative records of the Federal-Aid Divisions (field offices) of the Federal Highway Administration (FHWA). This schedule supersedes SF 115 job number NC1-406-85-1 and portions of NC1-406-85-6, both approved by the Archivist of the U.S. on November 13, 1986. Administrative records not covered here are covered by the General Records Schedules (GRS). 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</i> and the <i>Federal Information Security Management Act of 2002</i>).		

<p>1.*</p>	<p>Accident Report Files (Personal Injury Files). Consist of forms, reports, correspondence, and related medical and investigative records related to on the job injuries, whether or not a claim for compensation was made, excluding copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.</p> <p>DISPOSITION: Cut off on termination of compensation or when deadline for filing claim is passed. Destroy 3 years after cutoff.</p>	<p>GRS 1/31</p>	
<p>2.*</p>	<p>Administrative Files. General correspondence, personnel information, monthly reports, notes on meetings, schedules, trip reports, and other documents relating to the administrative operation of the office.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>GRS 23/1</p>	
<p>3.*</p>	<p>Adverse Action Files. Documents pertaining to specific employee adverse action cases, such as working papers, correspondence, background material, official file copies, copies of court decisions and appeals.</p> <p>DISPOSITION: Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Transfer to Federal Records Center (FRC) 5 years after cutoff. Destroy 7 years after cutoff.</p>	<p>GRS 1/30B</p>	
<p>4.</p>	<p>Performance and Strategic Plan Files. Include correspondence pertaining to preparation of Strategic Plan, copy of current Division Strategic Plan, and memoranda and correspondence relating to emphasis areas of Strategic Plan for Division offices.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>NC1-406-85-1/4</p>	
<p>5.</p>	<p>Appropriations Files. Correspondence and other files on apportionments, allotments, obligations, liquidations, expense vouchers, status of funds and accounts, checks and depositories, and reconciliations. Also includes reports on financial management reviews and correspondence on eligibility for participation.</p> <p>DISPOSITION: Retain apportionment memos until</p>	<p>NC1-406-85-1/5</p>	

	funds expire. Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff.		
6.*	<p>Audit Case Files. Case files maintained by field offices 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: Cut off case file at the end of the fiscal year in which the case is closed. Destroy 6 years after cutoff. NOTE For FIRE program documentation, see item 19</p>	NC1-406-85-1/6	
7.	<p>Budget Files. Copies of invoices for communications, machine repairs, equipment rentals, reimbursable services with annual and quarterly reports, reconciliation reports, and other materials pertaining to the budget expenditures.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	NC1-406-85-1/10	
8.	<p>Budget Report Files. Periodic reports on the status of appropriation accounts and apportionment.</p> <p>a. Annual reports.</p> <p>DISPOSITION: cut off at end of fiscal year. Destroy 5 years after cutoff.</p> <p>b. All other reports. Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	GRS 5/3	
9.	<p>Building Services Files. General correspondence, records of coordination and approval, official file copies, and information on the Division offices maintenance, repairs, renovations, designs, etc.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 2 years after cutoff or 2 years after warranty expires, whichever is later.</p>	GRS 11/1	
10.*	<p>Accountable Officers' Files (Site Audit Records). Files include SF 215 (Deposit Ticket), records of cash receipts, vouchers, and other accounting records maintained for site audit by GAO auditors, consisting of statements of transactions, statements of</p>	NC1-406-85-1/14, GRS 6/1a	

	<p>accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records.</p> <p>DISPOSITION: Destroy 6 years and 3 months after period covered by account.</p>		
11.	<p>Telecommunications General Files. Include plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	GRS 12/2b	
12.	<p>Credit Card Files. Consist of memorandums, U.S. Government purchase cards (gasoline credit cards, small purchases credit cards) and Form FHWA-164 Property Receipt and/or Receipt for Property Returned.</p> <p>DISPOSITION: Destroy 3 years after final payment.</p>	NC1-406-85-1/23	
13.	<p>Correspondence Files. Includes general correspondence with States, external groups, and private citizens. This does not include the project correspondence that is part of the Federal-Aid Project Files.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	NC1-406-85-1/25	
14.	<p>Delegations of Authority Files. Includes documentation and supporting papers pertaining to official delegations of authority regarding personnel administration, information and management services, acquisition management, and other approvals, e.g., payroll and time and attendance documents, travel vouchers, contracts, etc.; re-delegations of authority from the Division Administrator and other records of internal delegations of authority; and incoming requests for changes in delegations.</p> <p>DISPOSITION: Place in inactive file when delegation is no longer valid. Cut off inactive file at end of fiscal year. Destroy 6 years after cutoff.</p>	NC1-406-85-1/26	

15.	<p>Directive Files (Information Copies). Copies of directives, background material, and other materials related to the directives implementation in the field offices. Official recordkeeping versions of directives are maintained in the Washington Headquarters' Management Programs and Analysis Division (HAIM-10).</p> <p>DISPOSITION: Destroy in agency when no longer needed for business needs.</p>	NC1-406-81-1/27A GRS 16/1A	
16.	<p>Excess Equipment Program Files. Include files and correspondence related to the excess equipment program (transfer of Federal excess equipment to State highway administrations) including letters of credential, equipment order files (SFs 122 and support material), journal vouchers, bills, and title transfers.</p> <p>a: Transactions of more than \$25,000.</p> <p>DISPOSITION: Destroy 6 years after final payment.</p> <p>b: Transactions of \$25,000 or less.</p> <p>DISPOSITION: Destroy 3 years after final payment.</p>	GRS 4/3	
17.	<p>Expenditure Accounting General Correspondence Files. Correspondence and/or subject files maintained by Divisions which are responsible for expenditure accounting, pertaining to the internal operations and administration thereof.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 2 years after cutoff.</p>	GRS 7/1	
18.	<p>FHWA Organization Files. Includes documentation and supporting papers pertaining to changes in the mission, functions, and organizational structure of the Division Office. Includes approval documents and background information that provide rationale and justification for the changes, as well as organizational charts (before and after an organizational change) and related papers.</p> <p>a. Memorandums and other documents approving changes to the mission, functions, and organizational structure; the rationale/justification for an organizational change (this can be of a summary nature); approved organizational charts depicting</p>		

	<p>organizational structure only, both prior to and following an organizational change; documents indicating concurrence, nonconcurrence, and/or comments; and key historical information.</p> <p>DISPOSITION: PERMANENT. Cut off files at end of fiscal year. Transfer to NARA 5 years after cutoff. [Larger Divisions currently have on hand 30-40 pages; annual accumulation is only about 5 pages.]</p> <p>b All other material that is not included in item 18a above, but supports organization-related proposals and changes.</p> <p>DISPOSITION: Destroy in Division Office when no longer needed for business needs.</p>		
19	<p>Financial Management Files – Financial Integrity Review and Evaluation (FIRE) Files. Correspondence, working papers, and reports on internal and external financial management.</p> <p>a. Correspondence and working papers, including FIRE review documentation.</p> <p>DISPOSITION: Retain copies of all required review documentation for a period of 3 years from the date of the annual certification supported by the review activities (see FHWA Order <u>FHWA Order 4560.1B</u>).</p> <p>b. Final Reports.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 10 years after cutoff.</p>	NC1-406-85-1/37	
20.*	<p>Freedom of Information Act (FOIA) Request Files. Files created in response to requests for information under the FOIA consisting of the initial request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested records copy thereto</p> <p>a. Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein).</p> <p>(1) Granting access to all the requested records</p> <p>DISPOSITION: Destroy 2 years after date of reply.</p>	GRS 14/11	

~~(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fee.~~

~~(a) Requests not appealed~~

~~DISPOSITION: Destroy 2 years after date of reply~~

~~(b) Requests appealed~~

~~DISPOSITION: Destroy as authorized under item 19.~~

~~(3) Denying access to all parts of the records requested.~~

~~(a) Requests not appealed.~~

~~DISPOSITION: Destroy 6 years after date of reply.~~

~~(b) Requests appealed.~~

~~DISPOSITION: Destroy as authorized under item 19.~~

~~b. Official copy of requested records.~~

~~DISPOSITION: Dispose of in accordance with approved agency disposition instruction for the related records, or with the related FOIA request, whichever is later~~

~~21.*~~

~~FOIA Appeals Files. Files created in response to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).~~

~~DISPOSITION: Destroy 6 years after final determination by agency, 6 years after the time at~~

GRS 14/12

	<p>which a requester could file suit, or 3 years after final adjudication by courts, or, whichever is later.</p> <p>b. Official file copy of records under appeal.</p> <p>DISPOSITION: Dispose of in accordance with approved agency disposition instructions for the related record, or with the related FOIA request, whichever is later.</p>		
22.*	<p>FOIA Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.</p> <p>a. Registers or listings.</p> <p>DISPOSITION: Destroy 6 years after date of last entry.</p> <p>b. Other files.</p> <p>DISPOSITION: Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.</p>	GRS 14/13	
23.*	<p>FOIA Report Files. Recurring reports and one-time information requirements relating to the Freedom of Information Act, excluding annual reports to the Congress at the Departmental or Agency level.</p> <p>DISPOSITION: Destroy when 2 years old.</p>	GRS 14/14	
24.	<p>Funds Accounting Files. Correspondence and other documentation in regard to accounting procedures, State audit procedures, and billing and voucher procedures</p> <p>DISPOSITION: Destroy when 7 years old.</p>	NC1-406-85-1/41	
25.*	<p>Interview Records. Correspondence, reports and other records relating to interviews with employees.</p> <p>DISPOSITION: Destroy 6 months after the position is filled or when 1 year old if no selection is made.</p>	GRS 1/8	
26.*	<p>Personnel Correspondence and Subject Files.</p>		

	<p>Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>NC1-406-85-1/86; GRS 1/3</p>	
27.	<p>Position Description Files. Record copy of position descriptions that include information on title, series, grade, duties, and responsibilities, and related documents.</p> <p>DISPOSITION: Destroy 2 years after position is abolished or description is superseded.</p>	<p>GRS 1/7B</p>	
28.	<p>Printing Requisition Files. SF 1, Printing and Binding Requisition to the Public Printer, DOT 1700 3, Printing, Binding, Distribution, And Editorial Services Request, and related documents used for requesting printing, binding and distribution.</p> <p>DISPOSITION: Destroy 3 years after completion or cancellation of requisition.</p>	<p>NC1-406-85-1/66; GRS 3/6a</p>	
29.	<p>Privacy Act General Administrative Files. Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.</p> <p>DISPOSITION: Destroy when 2 years old.</p>	<p>GRS 14/26</p>	
30.	<p>Program Control Files. Legislated Federal-aid programs kept for program control over the allocation, planning and execution of the projects within a program which are handled at the Division office level. Files also include feasibility studies, allocation requests, budget expenditure records, status reports, general reports and correspondence from Headquarters, State offices, local governments, and private citizens.</p> <p>DISPOSITION. Cut off at end of fiscal year. Destroy 3 years after cutoff</p>	<p>NC1-406-85-1/68</p>	
31.	<p>Property and Services Program Files. Consist of general correspondence, records of coordination and</p>	<p>NC1-406-85-1/71;</p>	

	<p>approval, material on programs for space and communications management, real property and personal property management and coordination of plans, acquisition, construction, utilization and maintenance of all FIIWA property which include motor vehicles, facilities, property, equipment and records against theft, damage and civil disturbance, accountability for official identification cards and credentials.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 2 years after cutoff.</p>	GRS 11/1	
32.	<p>Property and Surplus Files. Correspondence, invoices, requisitions, official file copies, 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 Acquisitions office.</p> <p>DISPOSITION: Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.</p>	NC1-406-85-1/72; GRS 4/1-3	
33.*	<p>Acquisition Files. Consist of pre and post award contracts, grants, cooperative agreements, inter and intra agency agreements, requisitions (including funds obligation authority), purchase orders, purchase card transactions, lease (not including real property), and bond and surety records, including correspondence, copies of proposals, and related working papers pertaining to award, administration, receipt, inspection and payment (other than real property and tax exemption files). Files may contain sensitive corporate business information.</p> <p>a: Record copies of award instruments and related papers.</p> <p>(1) Awards at or below the simplified acquisition threshold (as defined at Federal Acquisition Regulation (FAR) 2.101):</p> <p>DISPOSITION: Destroy 3 years after final payment.</p> <p>(2) Award files above the simplified acquisition threshold (as defined at FAR 2.101):</p> <p>DISPOSITION: Destroy 6 years and 3 months</p>	NC1-406-85-1/94, NC1-406-85-1/99 GRS 3/3	

	<p style="text-align: center;">after final payment</p> <p>b. Other copies of records described above used by component elements of a procurement office for administrative purposes.</p> <p>DISPOSITION: Destroy upon termination or completion.</p> <p>e. Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.</p> <p>DISPOSITION: Destroy or delete when 5 years old.</p>		
34.	<p>Internal Financial Reports. Internal reports of the financial status of allotments, appropriations, apportionments, etc., used by management plus reports of expenditures to Washington Headquarters.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 5 years after cutoff.</p>	NC1-406-85-1/80	
35	<p>State Highway Organization Files. Correspondence documenting State Department of Transportation delegations of authority, and other types of action within their organizations that affects the Federal-aid highway program.</p> <p>DISPOSITION: Destroy when updated by the State Highway Organization.</p>	NC1-406-85-1/85	
36*	<p>Time and Attendance Source Records. Supporting documentation for data entered into DOT's CASTLE system.</p> <p>a. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flexitime records; leave applications; certificates; and related documents for jury duty; military duty; or court service; and authorized premium pay or overtime records, maintained at duty post upon which leave input data is based.</p> <p>DISPOSITION: Destroy when 6 years old.</p> <p>Delegations of approval authority to non-supervisory individuals.</p>	GRS 2/7; NC1-406-85-1/59	

<p>b.</p> <p>37.*</p>	<p>DISPOSITION: Destroy when 6 years old.</p> <p>Travel Order and Voucher Files. Records relating to reimbursing individuals and public vouchers for all travel related claims for reimbursement, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.</p> <p>DISPOSITION: Destroy when 6 years and 3 months old.</p>	<p>GRS 6/1A</p>	
<p>38.</p> <p>a.*</p>	<p>Vehicle Files. Accident reports, general correspondence, maintenance record, official file copies and related data pertaining to the management of the motor vehicle fleets in the Divisions.</p> <p>Accident reports and files.</p> <p>DISPOSITION: Destroy 6 years after case is closed.</p> <p>Operating and maintenance correspondence and files.</p>	<p>GRS 10/5</p>	
<p>b.</p> <p>39.</p>	<p>DISPOSITION: Destroy when 2 years old.</p> <p>Records Management Files. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, electronic information systems, and word processing; records management surveys, vital records programs; and all other aspects of records management not covered elsewhere in this schedule.</p> <p>DISPOSITION: Destroy when 6 years old.</p>	<p>GRS 10/1, 2</p> <p>GRS 16/7</p>	
<p>40.</p>	<p>Discretionary Program Files. General correspondence, congressional inquiries, approvals, and correspondence pertaining to the Discretionary Program funds.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>	<p>NC1-406-85-6/16</p>	