

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-406-09-019

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/19/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N 1-406-09-19 / 11 is superseded by DAA-0406-2020-0004-0001

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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER N1-406-09-19 | |
| 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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) – Engineering and Operations | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Victor S Wagher | 5 TELEPHONE NUMBER 202-366-6672 | DATE 14 DEC 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>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 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) |
| | <p>This schedule covers Engineering and Operations records of the Federal-Aid Divisions (field offices) of the Federal Highway Administration (FHWA). This schedule supersedes SF 115 job numbers NC1-406-85-6 and NC1-406-85-7 (portions), approved by the Archivist of the U S. on November 13, 1986, and N1-406-99-2, approved by the Archivist of the U S on June 22, 2000</p> <p>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> | | |

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| 1 | <p>Access Interchange Requests. Requests from States for approval to construct interchanges on completed sections of the Interstate System, including State requests and justifications, correspondence, and analysis and recommendations of FHWA</p> <p>DISPOSITION. Place in inactive file after completion of interchange. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.</p> | NC1-406-85-6/1 | |
| 2. | <p>Defense Access Roads (STRAHNET). General correspondence on the review and approval of defense access proposals which are maintained on a per State basis.</p> <p>DISPOSITION: Place in inactive file after completion of project Cut off inactive file at end of fiscal year Destroy 3 years after cutoff</p> | NC1-406-85-6/2 | |
| 3 | <p>Bid Price Reports. Reports on the average bids for all highway contracts, average estimates and the disparity between bid estimates and engineering estimates</p> <p>DISPOSITION Place in inactive file after completion of project Cut off inactive file at end of fiscal year. Destroy 12 years after cutoff.</p> | NC1-406-85-6/5, NC1-406-85-6/1B | |
| 4. | <p>Stewardship Agreement Files. Correspondence with States concerning their certification acceptance programs, including copies of certificates of agreements, questions on rules and procedures from States, revisions to the programs, and agreements from States who have chosen to be under the certification plan.</p> <p>a. All materials except stewardship agreements.</p> <p>DISPOSITION: Destroy when 10 years old or when no longer needed for business needs, whichever is later.</p> <p>b. Stewardship agreements.</p> <p>DISPOSITION Destroy 3 years after superseded.</p> | NC1-406-85-6/6 | |
| 5. | <p>Contract Administration. Information on contract administration, construction inspection procedures, certification acceptance, fuel conservation, anti-inflation materials certification, value engineering, etc</p> | NC1-406-85-6/8 | |

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| 6 | <p>DISPOSITION Cut off files at end of fiscal year Destroy 3 years after cutoff</p> <p>Construction Safety and Health. Information and policy on the OSHA program and Traffic Control and Safety through Construction and Maintenance Zones</p> <p>DISPOSITION. Cut off files at end of fiscal year Destroy 3 years after cutoff</p> | NC1-406-85-6/11 | |
| 7 | <p>Design Policy and Procedures. Correspondence and related material specific to policy guidance on design matters include roadside development, roadway design, hydraulics, preliminary engineering, and consultants.</p> <p>DISPOSITION. Permanent. Transfer paper records to the Federal Records Center one year after superseded. Offer to NARA 25 years after superseded Transfer electronic records and related documentation to the National Archives one year after superseded, according to 36 CFR 1235 Subpart C, or whatever standards are in place at the time of transfer.</p> | NC1-406-85-6/14 | |
| 8. | <p>Design Standards. Approved State design standards and drawings and correspondence related to their review and approval</p> <p>DISPOSITION Place in inactive file after payment of final voucher. Cut off inactive file at end of fiscal year Destroy 7 years after cutoff.</p> | NC1-406-85-6/15 | |
| 9.* | <p>Continuity of Operations (COOP) Files. Leases, letters of agreement, floor plans, and correspondence related to administration and operation of emergency operating facilities security and protective services programs. Files also consist of correspondence, reports, bulletins, and other information relating to the emergency plans and disaster assistance plans Includes correspondence with and plans and materials issued by other DOT modal administrations, other Federal agencies, State and local governments, and Division offices. Includes information on specific disasters, strikes, and other crises.</p> <p>DISPOSITION Review annually Destroy in agency when superseded by another COOP plan</p> | NC1-406-85-6/18, NC1-406-85-6/47 | |
| 10. | <p>Emergency Relief Files. Determinations as to whether a particular State is eligible for emergency</p> | NC1-406-85-6/19 | |

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| <p>11.*</p> | <p>relief, information on allocation of funds, and correspondence with regional offices and other related material that is used to administer the Emergency Relief Program</p> <p>DISPOSITION: Cutoff after State receives its requested emergency relief reimbursement Destroy 10 years after cutoff</p> <p>Federal-Aid Project (FAP) Files, October 1, 1966 and after. Project Agreement, Project Agreement Modification and other Federal-Aid project documentation, including Letter of Authorization, Inspection Reports, Final Voucher, supporting documentation, including railroad and utility bills and agreement (when applicable), copy of construction contract and extra work or change order, and pertinent correspondence and documents not otherwise provided for in this schedule, including auditors work paper, final test report, right-of-way certificates of maps This series also includes projects involving preliminary engineering or advance acquisition of right-of-way and interstate system FAP projects files as approved under disposition authorities NC1-406-85-6/24-1A and 1B and 2.</p> <p>DISPOSITION. Place in active file after payment of final voucher Cut off inactive files at the end of the fiscal year. Transfer to inactive storage one year after cutoff. Destroy 25 years after cutoff</p> <p>NOTE. If there are any particular FAP case files that contain sufficient historical value to warrant permanent retention, FHWA will identify such projects on an SF 115 for individual appraisal For FAP records prior to October 1, 1966, FHWA will follow disposition authorities under N1-406-90-2 (Project Agreement and Project Agreement Modification) and NC1-406-85-6/24 (Federal-Aid Project Plan Files and other Federal-Aid Projects).</p> | <p>N1-406-99-2/A&B NC1-406-85-6/3 NC1-406-85-6/9 NC1-406-85-6/27 NC1-406-85-6/29 NC1-406-85-6/32</p> | |
| <p>12.</p> | <p>Force Accounts Files. FHWA rules, regulation and policy on force account work relative to construction.</p> <p>DISPOSITION. Cut off files at end of fiscal year Destroy 3 years after cutoff</p> | <p>NC1-406-85-6/28</p> | |
| <p>13</p> | <p>Materials (Construction and Maintenance) Files. Contains information and correspondence relative to price adjustments, material and fuel shortages,</p> | <p>NC1-406-85-6/39</p> | |

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| | <p>specifications, experimental and demonstration projects, AASHTO Material Reference Laboratory and Cement and Concrete Reference Laboratory evaluations of State laboratories, usage factors, tests, etc</p> <p>DISPOSITION Destroy when superseded, obsolete, or after 5 years, whichever comes first.</p> | | |
| 14. | <p>Pavement Management Files. Correspondence, copies of directives and technical information, training material, and other related materials</p> <p>DISPOSITION Destroy when superseded, obsolete or after 5 years, whichever comes first</p> | NC1-406-85-6/42 | |
| 15. | <p>Process and Program Review Files. Reports, working papers, and other supporting documentation pertaining to maintenance reviews and reviews of the various construction phases at State highway agencies.</p> <p>DISPOSITION: Cut off files at end of fiscal year Destroy 10 years after cutoff</p> | NC1-406-85-6/44 | |
| 16 | <p>Quality Assurance Files. Files concerning construction associated with the assurance of a quality highway project, including training courses, correspondence, copies of speeches, and other related material</p> <p>DISPOSITION Cut off files at end of fiscal year Destroy 10 years after cutoff</p> | NC1-406-85-6/46 | |
| 17 | <p>Railroad Files. Policy and correspondence in regard to specific proposals for the protection of and elimination of railroad grade crossings within each State Also includes correspondence in regard to application of policy on railroad right-of-way and abandonment.</p> <p>DISPOSITION. Destroy 3 years after completion of the project or when the policy is superseded, whichever comes first</p> | NC1-406-85-6/48 NC1-406-85-7/19 | |
| 18. | <p>Resurfacing, Restoration and Rehabilitation (RRR) Files. Information, draft regulations, and review comments on proposed geometric standards and policies for RRR type projects.</p> <p>DISPOSITION Destroy 3 years after adoption of</p> | NC1-406-85-6/49 | |

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| 19 | <p>regulation</p> <p>Specifications Files. Include construction project specifications and special provisions along with related correspondence, including AASHTO specifications, publications, ASTM standards, and copies of the State's standard specifications and special provisions, and approval actions taken on State's specifications</p> <p>DISPOSITION: Cut off files at end of fiscal year Destroy 10 years after cutoff</p> | <p>NC1-406-85-6/53; NC1-406-85-6/54</p> | |
| 20. | <p>Traffic Control Subject Files. Traffic control standards and specifications, including background information, correspondence, and standards for traffic control such as road markers, traffic signs, etc</p> <p>DISPOSITION Cut off at end of fiscal year Transfer to the Federal records center (FRC) 5 years after cutoff Destroy 15 years after cutoff.</p> | <p>NC1-406-85-6/58</p> | |