

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

NCD COPY

LEAVE BLANK

JOB NO

NC 406 75 5

DATE RECEIVED

MAY 10 1976

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

Date

JUN 8 1976

James E. O'Neil
Archivist of the United States

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)

Department of Transportation

2 MAJOR SUBDIVISION

Federal Highway Administration

3 MINOR SUBDIVISION

Office of Program Review and Investigations

4 NAME OF PERSON WITH WHOM TO CONFER

Walter R. Gard

5 TEL EXT

4260534

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE

MAY 6 1976

D SIGNATURE OF AGENCY REPRESENTATIVE

[Handwritten Signature]

E TITLE

FHWA Records Officer

7 ITEM NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 SAMPLE OR
JOB NO

10 ACTION TAKEN

Records of the Office of Program Review and Investigations (PR&I) reflecting significant functions and activities. Primary subjects include:

1. Administrative Files

Files created by the Office Director consisting of correspondence, memorandums, reports, and other material pertaining to the various functions within PR&I.

Destroy when 5 years old

2. External Audit Files

Correspondence, memorandums, and other papers relating to audit operations; budget matters; audit reviews; coordination with other Federal,

Copy to Agency & NC.W 6-9-76 RG-406; 12 items

Request for Records Disposition Authority - Continuation

NC 406 75 5

JOB NO

PAGE OF

2/4

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	<p>State, and/or Political Subdivisions; contracts; and certain reports generated by the External Audit Division.</p> <p style="text-align: center;">Transfer to Federal Records Center when 3 years old. Destroy when 10 years old.</p>		
3.	<p><u>External Audit Reports</u></p> <p>External audit reports originating in Washington Headquarters External Audit Division, and those received from field audit offices.</p> <p style="text-align: center;">Destroy when 5 years old.</p>		
4.	<p><u>GAO General Files</u></p> <p>Correspondence, memorandums, and other file material regarding all General Accounting Office activities except reports.</p> <p style="text-align: center;">Destroy when 3 years old.</p>		
5.	<p><u>GAO Reports</u></p> <p>Case files on each survey or review by the General Accounting Office including drafts and final reports on cases involving or of interest to FHWA.</p> <p style="text-align: center;">Destroy 5 years after case has been closed.</p>		
6.	<p><u>Investigation Case Files</u></p> <p>Correspondence reporting allegations of irregularities or violations of laws or contract specifications, where Federal funds are involved, necessitating investigations by FHWA. Case files consisting of reports containing the results of investigations and special inquiries. These files also contain memorandums concerning the</p>		

Request for Records Disposition Authority - Continuation

NC 406 75 5

JOB NO

PAGE OF

3/4

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7.	<p>adequacy of existing policy and procedures and recommendations, where appropriate, to correct any deficiencies.</p> <p style="text-align: center;">Transfer to Federal Records Center when 3 years old. Destroy when 10 years old.</p> <p><u>OST Files</u></p> <p>These are internal audit reviews done by the Office of the Secretary of Transportation. They consist of correspondence, reports, memorandums, and other related papers.</p> <p style="text-align: center;">Destroy when 5 years old</p>		
8.	<p><u>Policy and Procedures for Handling GAO Reports and Inquiries</u></p> <p>Correspondence, directives, and memorandums documenting policy and procedures for handling General Accounting Office reports and inquiries.</p> <p style="text-align: center;">Permanent: Transfer to Federal Records Center when no longer needed for reference in action office or in 15 years, whichever occurs first. Offer to NARS when 25 years old.</p>		
9.	<p><u>PR&I General Files</u></p> <p>Records accumulated by the Office of Director consisting of correspondence and memorandums on specific subjects relating to the Program Review and Investigations functions but not to specific cases.</p> <p style="text-align: center;">Destroy when 5 years old</p>		

Request for Records Disposition Authority - Continuation

JOB NO

NC 406 75 5

PAGE OF

4/4

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10.	<p><u>PR&I Reference Files</u></p> <p>Records having long term reference value accumulated by the Office director consisting of correspondence and memorandums on specific subjects relating to the Program Review and Investigations functions.</p> <p style="text-align: right;">Destroy when no longer needed in action office</p>		
11.	<p><u>Program Review Files</u></p> <p>Correspondence documenting reviews of the different program areas in FHWA to ascertain if policies and practices are achieving the desired goals and/or objectives.</p> <p style="text-align: right;">Transfer to Federal Records Center when 5 years old. Destroy when 10 years old.</p>		
12.	<p><u>Program Review Policy and Procedures</u></p> <p>These are documents which establish policy and procedures for ascertaining if goals and objectives of the different program areas in FHWA are being achieved.</p> <p style="text-align: right;">Permanent: Transfer to the Federal Records Center when no longer needed in action office or in 15 years whichever occurs first. Offer to NARS when 25 years old.</p>		