

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-406-80-11

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/5/2023

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

The following items are active:

1, 2, 4, 7, 8, 11, 14, 16, 18, 22-25, 27, 28, 30, 31, 34, 36, 37, 39A, 39B1, 39B2, 42, 43, 47, 49, 52, 53, 55, 58, 59, 64-68, 70, 71, 73, 74, 77, 79-82, 85, 87, 90-92, 94-97, 101, 102, 104, 108, 109, 112, 118-123, 125, 126, items 128, 129, 131, 133-142, 144, 146, 147, 150-152

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 3 is superseded by N1-406-08-010 and N1-406-09-03.

Items 9, 10, 12, 32, 33, 41, 61, 63, 74, 76, 86, 89, 93, 100, 106, 113, 114, 116, 117, 127, 132, 143, and 149 were not approved.

N1-406-08-010 supersedes items 5, 6, 13, 19-21, 26, 29, 35, 46, 48, 50, 62, 72, 75, 84, 98, 105, 107, 130, and 145.

N1-406-09-003 supersedes 15, 17, 38, 39D1, 39D2, 39E1, 39E2, 39F, 40, 44, 45, 51, 54A, 54B, 60, 69, 75, 78, 88, 99, 103, 110, 111, 115, 124, and 148.

N1-406-04-001 item 1 supersedes 39C.

N1-406-06-002 supersedes 56 and 57.

N1-406-09-006 item 22 supersedes item 83.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

Red NCL 15 Aug 80 AH

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JOB NO
NCL-406-80-11

DATE RECEIVED
August 15, 1980

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the disposal request including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

7-2-81 *[Signature]*
Date 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 Associate Administrator for Administration

4. NAME OF PERSON WITH WHOM TO CONFER
Frank Rubis

5. TEL EXT
426-0534

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 39 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 <i>2/26/80</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> John H. Schnackenberg	E. TITLE Chief, Organization and Management Programs Division
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
✓ 1.	<u>Accident Report Files.</u> Consist of DOT Forms 3902.1, Accident Reports and DOT Forms 3902.2, Injury Reports which are used to report all job related injuries regardless of severity by the employees supervisor, within 5 working days following the date of the accident. Disposition: Destroy when ⁵ 2 years old.	<i>GRS 1/32 (same)</i>	
✓ 2.	<u>Accounts Receivable Files.</u> Contain correspondence and a collection of documents that pertain to cash transfers to the Treasury Department by FHWA. Disposition: Transfer to the Federal Records Center when 3 years old. Destroy 6 years and 3 months after period covered by account.		
✓ 3.	<u>Administrative Files.</u> Contain correspondence, personnel material, training material, budget material, travel, daily, weekly, monthly and bi-weekly reports, communications with other agencies, meetings, official file copies and other related documents pertaining to the daily operation of the office.		<i>163 items</i>

115-107

to agency, 7/7/81
to NNB, WARC, NMF, NNV - 7/8/81
Closed Out: 7-13-81: K.L.A.

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
4.	Disposition: Destroy when <u>3</u> years old. <u>Administrative Security Files.</u> Contain correspondence, official file copies, notes, burn material, memorandums from OST, budget and accounting reports, case evaluation guides, Civil Service Commission personnel security appraisals, waiver requests and investigations of foreign national employees for security clearance.		-
5.	Disposition: Destroy when 2 years old. <u>USE appropriate items from GRS 18.</u> <u>Advance of Funds File.</u> Consist of correspondence, reports, background material, working documents, requests from States and related documents regarding the advance of right-of-way revolving funds disbursed ^{to states} in accordance with 23 USC 108c. Disposition: Transfer to the records center when 3 years old. Destroy when <u>8</u> years old. 10		Records must be retained for the maximum time the state has before it loses the funds.
✓ 6.	<u>Advance of Funds Availability Files.</u> (Contain copies of Form FHWA 1011 (Advance of Fund Availability) which is used as a record of transfer of funds from other government agencies ^{to FHWA.} and which will become available for apportionment within a current fiscal year. Disposition: Transfer to the records center when 5 years old. Destroy when <u>8</u> years old. 10		
✓ 7.	<u>Adverse Action Files.</u> Contain working papers on adverse action correspondence, background material, official file copies, copies of court decisions and appeals. Disposition: Destroy 4 years after case is closed.	GRS 1/31b (same) - ah	
✓ 8.	<u>Advisory Committee Files.</u> Contain correspondence from Congress, GSA, OMB and OST, annual reviews and reports, notices of all meetings, membership lists, minutes of meetings pertaining to removing the charter and published reports of the meetings to the public. Disposition: Destroy when 2 years old or ^{when} after committee is <u>abolished, whichever is sooner.</u>	GRS 12/a(2) - ah	

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9.	<p><u>Agreement and Report Files.</u> Contain working papers, actual billings for which a standard form SF-1114 is used, and collection of funds, including supporting documents, SF-1080, Voucher For Transfer Between Appropriation and/or Funds and SF-1081, Voucher and Schedules for Withdrawals and Credit Agreements which are used with other government agencies for services to be performed by FHWA.</p> <p>Disposition: Destroy 5 years after completion of agreement. USE GRS 6/1.</p>		
10.	<p><u>Allotment Files.</u> Consist of Forms FHWA-370, Advance of Funds Available for Obligations, used to document all allotments (obligational availability) of funds and correspondence used for supporting documents. The form shows the initial administrative allotments, initial allotment of construction funds by fiscal year quarters, increase of an allotment of construction funds by periods other than quarterly or annually and an increase of an allotment of funds in one amount for the fiscal year.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 8 years old. USE GRS 7/3.</p>		
✓11.	<p><u>Annual Awards Files.</u> Consist of still photographs and official entry forms for the Secretary's Annual Awards conducted by FHWA to recognize programs which contribute effectively to the highway program. State, county, local agencies, civil organization, business and industry which have completed highway projects or highway projects within the categories of rural environment, urban environment, structural features, rest areas or information centers, may be nominated for entry. Also included are color still photographs and entry forms of past winners from 1968 to the present.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 10 years old.</p>	(GRS 21, Item 1a(b))	DISPOSITION NOT APPROVED 3/5/81 RTB
12.	<p><u>Apportionment and Reapportionment Schedule.</u> Consist of completed SF-132's, Apportionment and Reapportionment Schedules, and supporting documents used specifically to show funds</p>		

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	<p>apportioned and reappropriated for the Federal Highway Administration.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 8 years old. USE GRS 5/6.</p> <p>✓ 13. <u>Appropriation Files.</u> Contain records of laws on funds that are appropriated by Congress. There are four types of funds, all of which concern appropriations and fund balances, disbursements and collections with particular attention to the current status of the Highway Trust fund and the effect of withdrawal in relation to interest accruals.</p> <p>Disposition: Transfer to records center when 5 years old. Destroy when 10 years old.</p>		
	<p>✓ 14. <u>Assessment of Potential for Secretarial Positions.</u> Contain incoming correspondence and evaluations used in merit promotion selections for secretaries.</p> <p>Disposition: Destroy when 6 months old.</p>		
	<p>15. <u>Associate Administrator Files.</u> Contain correspondence from OST and all offices within office of Administration with incoming and outgoing mail from each individual office related to a particular subject. Files also contain material on the subject of hiring, limitations, the Spanish Speaking Program, briefing material from OST, bi-weekly highlight reports, congressional inquiries, etc. The Associate Administrator for Administration serves as the principal advisor to the Administrator on all <u>management and administrative matters</u> as they relate to FHWA missions, programs and objectives and in this capacity participate fully in FHWA policy determinations and program formulation, and provide executive direction over the activities of the organization.</p> <p>Disposition: Destroy when 3 years old.</p>		

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16.	<p><u>Code Card Files</u>, Automatic Data Processing Files. Contain code cards for expenditures and obligations covering all payments for FHWA. This source data is used for computer printouts. <i>information</i></p> <p>Disposition: Destroy when 1 year old.</p>		<i>in the production of</i>
17.	<p><u>Biographical Sketches</u>. 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, Regional Administrators and Regional Engineers.</p> <p>Disposition: Destroy 1 year after separation from FHWA. <i>a. Record copy -- PERMANENT. Place in inactive file upon separation from FHWA. Break inactive file every 10 yrs. + offer to NARS upon breaking.</i></p>		<i>Arr. alphabetically by name. ca. 3" / 10 yrs. RTB AT 10/6/8</i>
✓ 18.	<p><u>Bond Files</u>. Consist of reports, payroll vouchers and related papers pertaining to the purchase of U.S. Savings Bonds by FHWA employees.</p> <p>Disposition: Destroy when 3 years old.</p>		<i>(GRS-2, ok)</i>
✓ 19.	<p><u>Budget Executive Files</u>. Consist of correspondence related to any request for budget action that concerns Washington Headquarters or field division offices.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 8 years old. <i>in agency when 5</i></p>		<i>NCI-406-79-0, Item 1 same (GRS 5/2a)</i>
✓ 20.	<p><u>Budget Files</u>. Contain actual invoices for communications, machine repairs, equipment rentals, reimbursable services with OST and Coast Guard, bills for rent of offices in the field, annual and quarterly reports, working capital funds and all related materials pertaining to the budget.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 10 years old. <i>in agency when 5 after close of the FY covered by the budget.</i></p>		<i>NCI-406-79-0, Item 1 same (GRS 5/2a)</i>
✓ 21.	<p><u>Budget Request Files</u>. Contain three types of requests. These are Departmental, Congressional and OMB. Departmental are requests for funds from FHWA for the operation of their programs. Congressional and OMB are requests for special</p>		<i>NCI-406-79-0, Item 1 same (GRS 5/2a)</i>

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	<p>information on budgetary matters pertaining to the budget that FHWA has submitted to Congress. Files also contain requests for budget estimates, budget allowances, and appeals from operating officials within the FHWA pertaining to their budget requests.</p>		
<p>✓ 22.</p>	<p>Disposition: Transfer to the records center when 2 years old. Destroy ^{in agency} when 4 5 years old. <i>after close of the FY covered by the budget.</i></p> <p><u>Bridge Commission Files.</u> Consist of correspondence, annual reports and other documents pertaining to the appointment of Bridge Commissioners recommended by local Congressman and selected with the FHWA Administrator's concurrence to regulate the operation of toll bridges in a State.</p> <p>Disposition: Transfer to the records center when the State highway department accepts bridge for maintenance. Destroy when 10 years old. <i>later.</i></p>		
<p>✓ 23.</p>	<p><u>Building Service Files.</u> Contain general correspondence, records of coordination and approval, official file copies, information on the Federal building fund, construction, maintenance, repairs and renovations, designs, plans, etc.</p> <p>Disposition: Destroy when 2 years old.</p>	<p>GRS 11/1 <i>at</i></p>	
<p>✓ 24.</p>	<p><u>Certifying Officer Record Files.</u> Contain SF-1166's, Voucher and Schedule of Payment, that support payments to lenders, SF-1081, Vouchers and Schedule of Withdrawals and Credits, which also include any supporting documents and the transfer of funds between government agencies without checks and form GSA-789, Statement Voucher and Schedule of Withdrawals and Credits, authorizing payments to General Services for supplies, motor pool payments, etc.</p> <p>Disposition: Destroy 6 years, 3 months after period covered by account.</p>	<p>GRS 6/1 a(2) <i>at</i></p>	

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✓ 25.	<p><u>Classification Appeal Case Files.</u> Contain correspondence, official file copies, backup material, record copies, approvals and appeals of employees.</p> <p>Disposition: Destroy 3 years after case is closed.</p>	GRS 1/ 7d ah	
✓ 26.	<p><u>Combined Statement Files.</u> Contain computer printouts from the Treasury Department showing how FHWA segments are printed.</p> <p>Disposition: Destroy when 1 year old.</p>		
✓ 27.	<p><u>Committee Files.</u> Contain non-advisory committee files, including general correspondence, annual reports, background material, types of committees, elected officers and name of FHWA employees serving on various committees.</p> <p>Disposition: Destroy when 2 years old. <i>After termination of committee.</i></p>	GRS 16/ 12 a(2) ah	
✓ 28.	<p><u>Communications Management Information Services (CMIS) Report Files.</u> Contain GSA forms 2936, and 2936 A, B, C, and D. These forms are sent to OST for final approval if a new terminal is installed. Files also contain approvals for use of FTS lines, receiver computer printouts on telecopier messages, computer printouts from OST used as an inventory to make comparisons with GSA for changes and updating equipment. A quarterly report is received from FHWA on individual terminal usage of FTS Intercity Voice Network data transmission which includes number of originated calls, number of originated minutes, manufacture and model number.</p> <p>Disposition: Destroy quarterly.</p>		
✓ 29.	<p><u>Computer Printout Files.</u> Contain statistical data, financial statements on all money obligated for FHWA contracts and the end of the fiscal year computer runs of FHWA dollar obligations used for working documents.</p>		

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✓ 30.	Disposition: Transfer to the records center when 2 years old. Destroy when 7 years old. Conference Files. Consist of general correspondence, agenda items, notices, briefing material, reports and other record documents pertaining to the accomplishments of Secretarial and Regional Conferences attended by FHWA Executives. Disposition: Destroy when 3 years old.	GRS 16/ 12b(1)(b) ok	
✓ 31.	Confidential Files. Contain confidential statements and financial interest form DOT 3700.1. This information is required by Executive Order 11222 and the regulations of the Civil Service Commission and may not be disclosed except as the Commission or the agency head may determine for good cause shown. The information to be listed does not require a showing of the amount of financial interest, indebtedness, or the value of real property. Disposition: ^{2 yrs.} Destroy after separation of the employee	GRS 1/ 25	
✓ 32.	or 2 yrs. after employee leaves the position for which the statement is required. Contract Commodity Files. Contain construction contracts to purchase large pieces of equipment such as electrical transformers, chip spreaders and supportive equipment for the laboratory at Fairbanks Highway Research Station. Disposition: Transfer to the Records Center 2 years after the case is closed. Destroy when 7 years old. USE GRS 3/4.		
✓ 33.	Contract Files. Contain formal and informal contracts, correspondence, memorandums, notes, agreements, copies of negotiated contracts with modifications and copies of each of the paid contractors invoices and history of payments. Disposition: (a) Open. Transfer to closed file after final payment is made. (b) Closed. Destroy 6 years 3 months after the period covered by the account. USE GRS 3/4		

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✓ 34.	<p><u>Coordination Files.</u> Contain coordination and approval for proposed revisions of the Federal-aid Highway Program Manual, legislation, proposed revisions to the FHWA manuals and directives, draft material, coordination responses, background material, official file copies and other data pertaining to DOT F-1321.1, Record of Coordination and Approval. This form shall be used for all directive clearances. Directives requiring formal coordination with Secretarial offices or operating administrations will be cleared with the heads of such organizations.</p> <p>Disposition: Destroy 1 year after final issuance of documents involved.</p>		
✓ 35.	<p><u>Credit Card Files.</u> Consist of memorandums, U.S. government cards (gasoline credit cards, GSA store cards and telephone credit cards) and forms FHWA-149 non-expendable property inventory and FHWA-164 Property Receipt and/or receipt for property returned.</p> <p>Disposition: Destroy credentials 3 months after return to issuing office.</p>		
✓ 36.	<p><u>Current Year Files.</u> Files contain current year forms SF-133, Report on Budget Execution. This report is required by OMB Circular No. A-34. Also included are working papers and supporting documents.</p> <p>Disposition: Destroy ⁵10 years after the close of the fiscal year.</p>	GRS S/5a	
✓ 37.	<p><u>Data System Program Files.</u> Consist of incoming mail, notes, requests for ADP services (GSA Form 2068), budget material (Spring Review, OMB A-11) requisitions, contract agreements, research material, feasibility studies from the regions, reports, ADP committees and conference material, computer billing information from government agencies, seminars, meetings and conferences with other agencies, general information from companies and corporations and other data pertaining to the development and evaluation of FHWA data processing policy and</p>		

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	<p>programs, integrating field and headquarters for overall requirements with the Departments and Federal Government policies and systems, providing consulting services, conducting special application studies and providing technical direction and assistance.</p> <p>Disposition: Destroy when 3 years old.</p>		-1
✓ 38.	<p><u>Delegation of Authority Files.</u> Contain material pertaining to official approval of delegating authority to sign travel vouchers, contracts, general delegations, direct federal delegations, administrative and program responsibilities, incoming requests for changes in the travel authority and requests for dates when delegations of authority are given.</p> <p>Disposition: Destroy 6 years from date delegation is invalid.</p>		
✓ 39.	<p><u>Directives Files.</u> Consist of official file copies, background material 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. The following are the types of directives issued in FHWA:</p> <p>a. <u>Bulletins.</u> Temporary informational issuances used for one-time announcements such as telephone number and room number changes, appointments of individuals, announcement of bond drives, etc.</p> <p>Disposition: Destroy when 6 months old unless specified for longer retention.</p> <p>b. <u>Federal-aid Highway Program Manual (FHPM).</u> Contain all directives material that establishes or modifies these policies, requirements, procedures or guidelines impacting on State highway departments, Metropolitan Planning Organizations, local government jurisdictions or Governors Highway Safety Representatives.</p>	<p>NCI-406- 79-1, Item 5a</p>	

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<p>RB AT 10/8/80</p>	<p>PERMANENT 1) record copy -- place in inactive file upon supersession. Break inactive file every 10 yrs. + offer to NARS upon break. Disposition: Transfer to the records center when 5 years old. Destroy when 15 years old. 2) all other copies -- Destroy in agency when no longer needed. c. <u>Notices.</u> Temporary issuances transmitting one-time or short-term instructions or information which is expected to remain in effect for less than 90 days or for a predetermined amount of time not to exceed 1 year. Disposition: Transfer to the records center when 2 years old. Destroy when 10 years old. d. <u>Orders.</u> Internal directives limited in volume and containing permanent or long-lasting policy, instructions and procedures. 1) record copy -- PERMANENT. Place in inactive file upon supersession. Break inactive file every 10 yrs. + offer to NARS upon break. Disposition: Permanent. Offer to Archives when 10 years old. 2) All other copies -- Destroy in agency when no longer needed. e. <u>Technical Advisories (TA).</u> Contain permanent or long-lasting detailed techniques or technical material which is advisory in nature and is directed to State highway departments, Governors Highway Safety Representatives or local government jurisdictions, as well as FHWA organizations. 1) record copy -- PERMANENT. Place in inactive file upon supersession. Break inactive file every 10 yrs. + offer to NARS upon break. Disposition: Permanent. Offer to the Archives when 10 years old. 2) All other copies -- Destroy in agency when no longer needed. f. <u>Background + supporting documents</u> -- Destroy 10 yrs. after directive is cancelled, superseded, or obsolete. <u>Directory Files.</u> Contain changes made periodically to Government Manuals, the Congressional Directory, the Federal Register and others. Files also contain requests for the changes by related organizations such as NARUC, ARTBA and other agencies affiliated with FHWA and DOT. Disposition: Destroy when 3 years old.</p>	<p>10 Arr. by #, Ca. 1 1/2 "/yr. Arr. by #, Ca. 1 "/yr. Arr. by #, Ca. 1 "/yr.</p>	<p>transmitted 1 1/2 "/yr. needed needed Item 5b</p>
<p>✓ 40.</p>	<p><u>Disbursement Files.</u> Contain SF-1221, Statement of Transactions According to Appropriations, Funds and Receipt Accounts (Foreign Service Accounts). These forms contain the records of the moneys paid to foreign countries.</p>	<p>NCI-406-79-1, Item 5b</p>	<p></p>
<p>✓ 41.</p>	<p></p>	<p></p>	<p></p>

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✓ 42.	<p>Disposition: Transfer to the records center when 3 years old. Destroy when 10 years old. USE GRS 6/1</p> <p><u>Document Security.</u> Contain classified material semi-annual and annual reports prepared for OST, log sheets for safe check records, official file copies, correspondence and other material pertaining to the plans, development and administering the documents and information security programs in the Federal Highway Administration including receipt, control, accountability, distribution, filing, reproduction, and disposal of classified documents, information and material.</p> <p>Disposition: Destroy when 2 years old.</p>	GRS 18/ 22 ch	-
✓ 43.	<p><u>Dollar Deposit Liability Files.</u> Contain Department of Commerce Forms BE-138 and 139, Dollars Deposit Liabilities to "Foreigners." This is an annual report to the Department of Commerce concerning money on hand from foreign countries.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		
✓ 44.	<p><u>Employee Master Record Files.</u> Consist of computer printout Forms FHWA 1048, Master Employee Record, which are used by the Payroll Section for posting changes on a biweekly basis, Form FHWA-21, Authorization for Paid Overtime and Holiday Work and for Compensatory Overtime, used for the appropriate officials to approve overtime and Form FHWA-337, Payroll Master Card Control, used at the close of each pay period by the Payroll Section to develop predetermined control totals to assure accuracy of salary payments and deductions.</p> <p>Disposition: Destroy when 3 years old.</p>		
45.	<p><u>Employment Correspondence Files.</u> Contain official file copies, copies of letters inquiring about employment, requesting literature of special interest on training and career opportunities in the Federal Highway Administration and other information</p>		

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	<p>pertaining to FHWA personnel training and employee development programs.</p> <p>Disposition: Destroy when 2 years old.</p>		
✓46.	<p><u>Execution Report Files.</u> Contain computer printouts of employee levels, working papers, cost estimates, appropriations, official file copies and related financial statements pertaining to general operating expenses of each organizational element of the Agency.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 8⁵ years old.</p>		
✓47.	<p><u>Federal Outlays by Geographic Location Files.</u> Contain Office of Economic Opportunity Form OEO-177, Federal Outlay Data Transmittal Sheet. This report is prepared by Regions 8, 9, 10, and 15 from special computer printouts on an annual basis.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		
✓48.	<p><u>Financial Management Files.</u> Consist of trip report findings on anything dealing with financial management in the States, working papers on special reports and financial reviews of FHWA region and division offices on how their financial management programs are working.</p> <p>Disposition: Destroy when 10 years old.</p>		
✓49.	<p><u>Financial Statements.</u> Contain correspondence, program changes for FHWA payroll and withholding instructions from state and local governments for FHWA employee earnings.</p> <p>Disposition: Destroy when records are updated.</p>		

Request for Records Disposition Authority - Continuation

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
✓ 50.	<p><u>Fiscal Services Program Files.</u> Consist of correspondence, associated accounting and budget work papers, allotment control sheets, budget information, fiscal plans, obligations and outlays and other materials pertaining to the office efforts to develop and coordinate the budget execution plan for the FHWA to assure the most effective and economical expenditure of appropriated funds.</p> <p>Disposition: Destroy ^{in agency} when 3 ⁵ years ^{after close of the FY} old. ^{Covered by the budget.}</p>	NCI-406-79-6, Item 1	-
✓ 51.	<p><u>Foreign Country Files.</u> Consist of correspondence, financial data, reimbursable agreements and other papers related to FHWA involvement in work done with foreign countries.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 10 years old.</p>		
✓ 52.	<p><u>Forest Highway Funds Expended File.</u> Contains correspondence and a computer printout printout summary of forest highway funds expended on an annual basis. <i>Machine-readable data is in OST. This is a reference file.</i></p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		
✓ 53.	<p><u>Form Files.</u> Consist of working papers, background material, requisitions, a record copy of the form created and a copy of FHWA Form 1124, Requirement for Form or Report, which is submitted by the originating office when a new form is proposed or an existing form requires revision.</p> <p>Disposition: Transfer to closed file ^{when} after form is cancelled or superseded or discontinued. Destroy when 2 year old. ^{5 yrs. later.}</p>	GRS 161 4a ok copy ok	
54.	<p><u>FHWA Organization ^{Manual Files.} Files.</u> Contains memorandums of official approvals of organizational structure changes. A record must be kept of how an office is organized or of a reorganization. Also included are official working files of headquarters, regions, divisions, foreign programs or missions, official file copies, correspondence, background material,</p>		

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✓ 55.	<p>organizational charts and other related papers, a. Order containing organizational chart + changes (record copy) Disposition: Offer to Archives when 15 years old. b. All other material -- Destroy in agency when no longer needed</p> <p><u>Freedom of Information Act Files.</u> Contain Federal Register submissions, Department of Justice studies, comments, fee exemptions except for services performed without charge or at a reduced charge. The files also contain general correspondence, problem cases, appeals, background material, official file copies, original requests, routine requests and initial denials. Disposition: Destroy 5 years after date of last entry. USE appropriate items from GRS 14,</p>		<p>-1 PERMANENT Offer to NARS when 20 yrs old; Arr. - chronological ca. 1/4"</p>
✓ 56.	<p><u>GAO General Files.</u> Consist of correspondence, memorandums and other file material regarding all General Accounting office activities except reports. Disposition: Destroy when 3 years old.</p>	NC 406-75-5, Item 4 (same)	
✓ 57.	<p><u>GAO Reports.</u> Consist of 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. Disposition: Destroy 5 years after case has been closed.</p>	NC 406-75-5, Item 5 (same)	
✓ 58.	<p><u>General Ledger Files.</u> Contains general ledgers which are official records. These ledgers summarize the financial status and financial transactions of FHWA, current status of funds available for expenditures and show debit and credit entries of the agency. The financial data posted on the ledger is a standard form SF-1014 and SF-1014A. Disposition: Destroy 10 years after the close of the fiscal year involved.</p>	GRS 7/2 ch	

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✓ 59.	<p><u>General Services Administration Self-Service Stores.</u> Contain GSA form 3146, Self-Service Store Shopping List/Sales Slip and GSA 3146-A, Continuation Sheet which consists of quantity, unit price, description and total price. All FHWA offices purchasing supply items must fill out these forms.</p> <p>Disposition: Destroy when 2 years old.</p>		
✓ 60.	<p><u>Grant Files.</u> Contain fellowship grants, scholarship grants, grant agreements, modifications and supporting correspondence.</p> <p>Disposition: Destroy when 5 years old.</p>	GRS 3/15 (submit 115) - ah	
✓ 61.	<p><u>Health Benefits Reports Files.</u> Files contain SF-2809, Health Benefits Registration Form, used by each employee to enroll in the Federal Employees Health Benefit Program and SF-2810, Notice of Change in Health Benefits Enrollment used by the employee to cancel, change, or take any action required that may effect their health plan that is reported to the health benefits carrier.</p> <p>Disposition: Transfer to inactive file upon termination of employee. Destroy when 3 years old. USE GRS 1/1</p>		
✓ 62.	<p><u>Highway Status Files.</u> Contain general correspondence, telegraphic messages, tabulated data on the status of highway funds and systems reported from states and regions of actual funds used each fiscal year.</p> <p>Disposition: Destroy when 5 years old.</p>		
✓ 63.	<p><u>Identification Card/Credential Application Files.</u> Consist of application requests for identification cards for all FHWA employees, temporary overseas employees, regional administrators and contractors. The card is issued for official purposes and for identification only. Files also contain correspondence received for requests for the replacement of identification cards.</p> <p>Disposition: Destroy credentials 3 months after returning to the issuing office.</p>	GRS 11/1 4a - ah	

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✓64.	<p>Incentive Awards Files. Contain Secretary's, Administrator's Special Honor Awards, Quality Increases, and Special Achievement Cash Awards for entire agency. Files also contain suggestions adopted and rejected by Headquarters.</p> <p>Disposition: Destroy when 2 years old.</p>		
✓65.	<p>Individual Earning Record Files. Contain computer printout FHWA Form 305 which provides individual records of gross to net wages listed by pay periods for the entire calendar year.</p> <p>Disposition: Destroy 56 years after the date of the last entry on the card.</p>	(GRS-2, Item 1)	
✓66.	<p>USE GRS 2/1</p> <p>Individual Retirement Record Files. Consist of SF-2806's, Individual Retirement Record, maintained for each employee subject to the Civil Service Retirement Act. The forms show the amount of current year and cumulative totals from salaries of employees as shown on the cumulative payroll disbursement registers and the amount of retirement deductions in prior years from salaries of employees currently on the rolls.</p> <p>Disposition: Transfer to the Office of Personnel and Management no later than 5 days after the date of the final paycheck or upon transfer to another government agency. (FPM 831-1, Supp. 22-3)</p>	GRS 2/21C' oh	
✓67.	<p>International Transactions Files. Contain SF-13, International Transactions of the Federal Government. The quarterly report which is prepared on an SF-13 and sent to the Commerce Department reflects FHWA's financial transactions with foreign countries.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

GSA GEN. REG. NO. 27

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
68.	<p><u>Mail Management.</u> Consist of semi-annual mail counts which are a compilation of all mailings made both in Headquarters and the field annually and used as the basis for computing the annual payment to the U.S. Post Office Department.</p> <p style="text-align: center;"><i>months</i></p> <p>Disposition: Destroy when 6 years old.</p>	GRS 12/ 6b	-
✓ 69.	<p><u>Management Project Study Files.</u> Consist of correspondence, official file copies, notes, draft background material, questionnaires, statistical data, summaries and other papers related to the office efforts to plan and conduct management studies and surveys of FHWA staffing requirements, procedures and systems to improve the economy, efficiency and effectiveness of the management and operation of the Administration.</p> <p>Disposition: Transfer to the records center when 10 years old. Destroy when 15 years old.</p>		-
✓ 70.	<p><u>Merit Promotion Activity Files.</u> Contain active and inactive applications of persons applying in the FHWA programs. Included in the files are rate and ranking sheets, copies of inactive applications of those who have declined, have not been selected or have not been considered. Also is information on the highway engineer training program in the field offices and other material pertaining to the programs and data accumulated by special examining units.</p> <p>Disposition: Destroy when 2 years old or earlier if an Office of Personnel Management evaluation of the records is made, <i>providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.</i></p>	GRS 1/15 oh	-
✓ 71.	<p><u>Merit Promotion Files (Senior Executive Service)</u> Contain reference material, official file copies, correspondence to Office of Personnel Management, SF-171's, Personnel Qualification Ranking Schedule (Merit Promotion Plan); also, information on the approval or disapproval of promotions.</p> <p>Disposition: Destroy when 2 years old or earlier if an Office of Personnel Management evaluation of the records is made, <i>providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.</i></p>	GRS 1/15 oh	-

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✓72.	<p>Monthly Narrative Reports. Contain monthly narrative reports from each division and regional office concerning the progressive stages of individual highway projects including information on obligations, program requirements and funding problems and other pertinent data needed in the planning, execution, administration and control of the Administration's programs financed from the Highway Trust Fund and from other funds.</p>	<p>(Schedule 6, Item 5b) GRS 6/ 5a ok</p>	<p>-1 -1</p>
✓73.	<p>Monthly Report of Federal Civilian Employment Files. Consist of SF-113A's, Monthly Report of Federal Civilian Employment, which are used to submit the report related to employment at the end of each month to the Office of Personnel Management.</p>	<p>GRS 1/ 16 ok</p>	
✓74.	<p>Monthly Report Files. Contain SF-132, Apportionment and Reapportionment Schedules, SF-133, Report on Budget Execution. These reports are required by OMB Circular No. A-34. Also included in these files are working papers and supporting documents.</p>		
	<p>Disposition: Review and update files annually. <i>Destroy when 2 yrs. old.</i></p>		
✓75.	<p>Monthly Transaction Reports. Files contain purchase orders, invoices, backup material, disposition reports and related data listed on non-expendable property accounts and transactions.</p>		
	<p>Disposition: Transfer to the Federal Records Center when 2 years old. Destroy 6 years ^{and 3 months} after final payment.</p>		
76.	<p>Motion Picture Files. Consist of original motion picture film, workprints, trims and outs, and miscellaneous footage pertaining to FHWA motion pictures that are circulated throughout the agency to serve as training aids, provide information concerning agency activities, procedures, policy and related areas in transportation.</p>	<p>(GRS 21, Item 2A)</p>	

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Service
Administration
FPMR (41 CFR) 101-11.4

51-287

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	Disposition: Permanent. Transfer to the records center when 5 years old. Offer to the Archives when 10 years old.		DISPOSITION NOT APPROVED, 3/5/81 RTB
✓ 77.	Motor Vehicle Operation Files. Contain FHWA Form 155, Application for Operators Identification Cards, which are used to provide essential information as a prerequisite to issuance of a drivers permit authorizing employees to operate Government owned vehicles.	(GRS-10, Item 7) oh	
	Disposition: Destroy 3 years after separation or 3 years after revocation of authorization to operate Government-owned vehicles, whichever is sooner.		
✓ 78.	National Cooperative Highway Research Program Files (NCHRP). Consist 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&D studies authorized for funding under section 307(c) of 23 U.S.C.		
	Disposition: Transfer to records center 3 years after completion of program. Destroy when 5 years old. after completion of program.		
✓ 79.	Notification of Personnel Action Files. Consist of SF-50, Notification of Personnel Actions, and other related forms used to document and report all personnel actions which affect an employees status, tenure, position or compensation exclusive of those in the personnel folder.	(GRS 1, Item 14)	
	Disposition: Destroy after completion of Office of Personnel Management evaluation. USE GRS 1/14a or b as appropriate.		
✓ 80.	Official Personnel Files. Contain official personnel folders of FHWA employees which are the only official repository for personnel records of individual employees of the Federal Highway Administration.	(GRS-1, Item 1) b(a) oh	
	Disposition: Transfer folder to the National Personnel Records Center, St. Louis, Missouri 30 days after separation of the employee, unless further actions are eminent. imminent		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
✓ 81.	<p><u>Office of the Secretary of Transportation (OST) Files.</u> Consist of internal audit reviews done by OST. The files contain correspondence, reports, memorandums and related papers.</p> <p>Disposition: Destroy when 5 years old.</p>	<p>NC 406- 75-5, Item 7 (same)</p>	
✓ 82.	<p><u>Office of Workers Compensation Program.</u> Contain official file copies and forms which contain information on on-the-job injuries and occupational disease. The original of these forms are sent to the Department of Labor.</p> <p>Disposition: Destroy when 2 years old.</p>		
✓ 85.	<p><u>Outdoor Advertising Files.</u> Consist of correspondence, reports, financial data, ^{copies of} vouchers including bonus claims and other related papers pertaining to cost of outdoor advertising control authorized under 23 U.S.C. 131.</p> <p>Disposition: Transfer to the records center when 3 years old. Destroy when 10 years old.</p>		
✓ 84.	<p><u>Payment to States Files.</u> Contains an annual report required by the Treasury on all payments by FHWA to the States. Files also contain computer printouts printouts and feeder information from other government agencies on FHWA transfer funds. <i>Reference file.</i></p> <p>Disposition: Destroy when 10 years old.</p>		
✓ 85.	<p><u>Payroll.</u> Contains procedures and requirements for the maintenance of the FHWA payroll system that governs the documentation of payroll transactions.</p> <p>Disposition: Destroy when 6 years old.</p>		
✓ 86.	<p><u>Payroll Tabulation Files.</u> Contain computer printouts which are a summary of payroll debits and credit accounts. The payroll tabulations consist of all FHWA administrative personnel. The tabulations reflect earnings, leave, retirement, bonds, insurance and taxes for all employees in FHWA Headquarters.</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKE
✓ 87.	Disposition: Destroy when 2 years old. USE appropriate items of GRS 2. Personnel Correspondence Files. Contain correspondence related to employee relations, official file copies, denials of grades, increases, comments made on new regulations and programs, awards, adverse actions, health benefits and occupational health.	GRS 1/ 3a oh	-
✓ 88.	Disposition: Destroy when 3 years old. Personnel Management Evaluation Files. Contain general correspondence, official file copies, 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 Headquarters, Regions and Divisions.		
✓ 89.	Disposition: Destroy when 5 years old. Personnel Payroll Files. Contain official personnel folders, check mailing cards, tax forms, life insurance forms and documents related to employees pay including SF-1150, Record of Leave Data, maintained for agency use by the payroll section.		
✓ 90.	Disposition: Destroy 3 years after separation of the employee. USE GRS 2/10b Personnel Security Files (Active). Contain correspondence, memorandums, letters, investigative reports from the Office of Personnel Management, Federal Bureau of Investigation, or Police Reports and the Credit Bureau related to individual security. All employees except certain exempted nonsensitive are required to have an investigation under Executive Order 10450. Standard Form, SF-85 Data for Nonsensitive or Noncritical Sensitive Positions and SF-86, Security Investigation Data for Sensitive Positions are also required and are included in the security files.		
	Disposition: Transfer to inactive files when		

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91.	<p>employee separates from FHWA. Transfer to records center 2 years later unless further action is eminent. Transfer to inactive file when employee separates - death or not later than 5 yrs. after separation or transfer of employee or no later than 5 yrs. after contract relationship expires, whichever is applicable.</p> <p>Personnel Security Files (Inactive). Contain correspondence, memorandums, letters, investigative reports related to individual security. Files also contain standard form SF-85, Data for Nonsensitive or Noncritical Sensitive Positions and SF-86, Security Investigation Data for Sensitive Positions.</p> <p>Disposition: Destroy 2 years after date of last transaction.</p>	GRS 18/ 23a	-1
92.	<p>Personnel Transfer Files. Contain correspondence, notes, memorandums, purchase orders, U.S. Government SF 1103A, U.S. Government Bills of Lading, SF-147, Order for Supplies or Services, PR-71, Application for Leave, ledgers from storage companies, listings of items being moved and other related documents pertaining to the international and domestic transfer of personnel to their duty stations.</p> <p>Disposition: Destroy 2 years after case is closed. USE GRS 9/1.</p>		
93.	<p>Picture Files. Contains black and white photographs, color photographs, negatives, the original color transparencies and background material related to early roads and the beginning of highway systems around 1880 and material related to the history of highways west of the Mississippi. Also included is correspondence, requisitions, cost estimates, background material, clearance with other government agencies, publishing houses and other material related to inventories conducted by FHWA to find permanent homes for the Rakeman paintings, movies, and history books of early highways.</p> <p>Disposition: Permanent. Transfer to the records center when 5 years old. Offer to the Archives when 10 years old.</p>	(GRS 21, Item 1a(b))	DISPOSITION NOT APPROVED, 3/5/81 RTB

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
94.	<p><u>Policy and Procedures for Handling GAO Reports and Inquiries.</u> Consist of correspondence, directives and memorandums documenting policy and procedures for handling General Accounting Office reports and inquiries. 1 1/4 yr. Arr. by subject.</p> <p>Disposition: <u>Permanent.</u> Transfer to the records center when 15 years old. Offer to NARS when 25 years old.</p>	NC 406-75-5, <u>Item 8</u> (same)	-
95.	<p><u>Position Classification Files.</u> Contain drafts, notes, official file copies, reports, comments and background material on the development of classification standards for all FHWA offices. Files also contain analysis and interpretation of classification standards.</p> <p>Disposition: Destroy when 3 years old or sooner depending upon need. 5 yrs. after position is abolished or description superseded.</p>	GRS 1/7a(2)(a) <i>ah</i>	
96.	<p><u>Position Description.</u> Contain files describing established positions including information on titles, series, grade, duties and responsibilities for FHWA Headquarters, Divisions and Regional Offices. Every position is subject to the General Schedule or the Wage Grade System and must be officially assigned to a series and grade before the person assigned can be paid. The description serves as the official record.</p> <p>Disposition: ^{a.} Destroy official copy when 5 years after position is abolished or description superseded. ^{b.} Destroy all other copies immediately upon abolishment or supersision of a position.</p>	GRS 1/7b(1)(2)	
97.	<p><u>Post Year Files.</u> Consist of computer printouts received monthly which are used as source documents to prepare a series of budgetary reports used by management. These printouts include the personnel rosters, budget and accounting reports by month, and year end reports. <i>Machine readable data is in OST.</i></p> <p>Disposition: Destroy when 3 years old.</p>		

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✓ 98.	<p><u>Pre-Closing and Post Closing Files.</u> Contain monthly and annual summary reports used as reference material for financial statements at the end of the fiscal year.</p> <p>Disposition: Destroy when 3 years old.</p>		
✓ 99.	<p><u>Printing Requisition Files.</u> Contain DOT Form 1700.8, Duplication Request, and DOT Form 1700.3. Printing, Binding, Distribution and Editorial Service Requests, 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 Aids Branch.</p> <p>Disposition: Destroy when 2 years old. <i>Destroy 1 yr. after completion of job.</i></p>	GRS 13/3 a al	
✓ 100.	<p><u>Privacy Act Control Files.</u> Contain general correspondence, official file copies, reports, background material, original copies of requests for records and answers to requests from citizens of the U.S. Personal data contained in each system of records is to be afforded adequate protection against unauthorized access according to the Privacy Act, U.S.C. Section 552a. A system of records is exempted only if it is determined that to do so is in the best interest of the Government with due concern for individual rights. Files should also include registers and similar records, listing dates, nature of requests and names and addresses of requestors.</p> <p>Disposition: Destroy 5 years after date of entry. <i>USE appropriate items of GRS 14,</i></p>		

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✓ 101.	<p>Privacy Act Report Files. Contain annual reports to OST required by OMB Circular A-108, including a brief summary, accomplishments, plans, a list of systems which are exempted during the year, a summary of changes to the total inventory of personnel data and a description of operational experience with estimates of the number of individuals requesting information on the existence of records pertaining to them, refusals to provide information, requests for access to records, and appeals from initial refusals to amend records.</p> <p>Disposition: <u>Permanent</u>. Offer to Archives ^{Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.}</p>	GRS 14/ 29a (same)	
✓ 102.	<p>Program Documentation Files. Files consist of requests made from users in the form of memorandums, specifications for systems or programs, program listings, test data, sample output, technical communication between Data Systems and offices during a project and other technical materials used in documenting a system or program.</p> <p>Disposition: Destroy when system is no longer active.</p>		
✓ 103.	<p>^{Improvement} Program Files. Consist of general correspondence, official file copies, drafts, background material, annual work plans, budget estimates and documents pertaining to various subject areas to aid the office in its efforts to plan, develop, recommend and administer FHWA general management systems and related policies, procedures and programs to improve program performance and productivity.</p> <p>Disposition: Destroy when 3 years old.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKE
✓ 104.	<p><u>Program Listing Files.</u> Consist of print-outs of program coded listings of administrative programs, including job control language decks.</p> <p>Disposition: Destroy upon completion or modification of programs.</p>		
✓ 105.	<p><u>Program Subject Files.</u> Consist of subject files pertaining to administrative cost, audit finding summaries, including correspondence related to congressional inquiries involving budget matters, contract agreements with other government agencies on the transfer of funds and other material related to the office effort to plan and administer the FHWA program as related to the budget process in conformity with the DOT and the OMB requirements.</p> <p>Disposition: Transfer to the records center when 3 years old. Destroy when 7 years old.</p>		
✓ 106.	<p>Project Agreement Files. Contain ^{records relating to} service purchases (other than personnel) such as the appropriation of funds which provide the service of the 1½ percent "Annual HP&R Work Program" (which refers to the total highway planning and research and development effort described in an annual statement of proposed work and estimated cost.)</p> <p>Disposition: Transfer to the records center 5 years after completion of the project. Destroy when 10 years old.</p>		<p>Withdrawn 5/11/81 RDB AT (no longer exists)</p>
✓ 107.	<p>Project Files (Completed). Consist of the official project obligation records and statistical data for various highway programs. These records give a complete history of a project from headquarters, regions and division offices, which are compiled on Form PR-37 entitled, Project Status Records, ^{they are used to} and include ^{completion} PR-37.</p> <p>Disposition: Destroy 2 months after submission by division office of step 9, PR 37. ^{of project.}</p>		<p>PR-37</p>

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
✓ 108.	<p><u>Project Requisition Files.</u> Consist of correspondence, memoranda, film scripts, transcript vouchers, shipment notices, contracts and background material, related clearance of all publications, films, audiovisual and exhibits intended for public presentation from the Office of Public Affairs on FHWA Form 1113, Clearance Request for Publications, film exhibits or visual presentations as required by FHWA Order 2-4. Also included in the files are FHWA Form 850, Order for Visual Services and Special Reproduction, used to order design and graphics for all FHWA printed matter, photocopies, photostats, and diazo prints which are related to projects that involve clearance for public presentation.</p> <p>Disposition: Dispose of in accordance with approved disposition instructions applicable to the records of which they are a part.</p>	(GRS 21, Item 5b)	
✓ 109.	<p><u>Promotion Candidate Files.</u> Consist of FHWA Form 1440, Availability Statement, FHWA 177, Personal History Statement, and background material related to individual candidates who have interest in being ranked for consideration or promotion as prescribed by the requirements established by the National Right of Way Promotion Boards, National Engineer Promotion Boards, National Motor Carrier Safety Boards, and the National Community Planner Promotion Boards in conformity with FHWA's Merit Promotion Guidelines. Files also include Assessments of Potential.</p> <p>Disposition: Destroy when 2 years old or earlier if Office of Personnel Management evaluation of the records is made.</p>		
✓ 110.	<p><u>Property and Services Program Files.</u> Consist of general correspondence, official file copies, 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 which include motor vehicles, facilities, property, equipment and records against theft, damage and</p>	GRS 4/4 and 11/1	

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	<p>civil disturbance, accountability for official identification cards and credentials and the establishment of orderly evacuation in the event of disaster or attach.</p> <p>Disposition: Destroy when ²/8 years old.</p>		
✓ 111.	<p><i>copy of</i> <u>Property and Supplies.</u> Consist of 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 Contracts and Procurement.</p> <p>Disposition: Destroy when 2 years old.</p>		
✓ 112.	<p><u>Proposal Files.</u> Contain written requests for proposals from contractors. There are three types of proposals from potential contractors. They are technical proposals, cost proposals and staff proposals. Files also contain ^{reference} copies of contracts awarded for supportive services for research studies in FHWA, slides sent in as examples of negotiations and analysis for proposals.</p> <p>Disposition: Transfer to the records center when awarded contracts are 3 years old. Destroy when 7 years old.</p>		
✓ 113.	<p><u>Purchase Order Files.</u> Contain requisitions, summaries of negotiations, statements of work, progress reports and payment reports pertaining to the procurement of services often with other government agencies or commercial firms if cost is under \$10,000.</p> <p>Disposition: ^{use GRS 3/4a(2)} Transfer to the records center 1 year after completion of project. Destroy when 8 years old.</p>		

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKE
✓ 114.	<p><u>Real Property Files.</u> Contain correspondence, drawings, plats, real property records and annual reports of land owned by the United States, for example, Fairbank Highway Research Station Files also contain form GSA 1209 which contain summaries of installations owned by the USA and forms 1160 when changes occur.</p> <p>Disposition: Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.</p>		
✓ 115.	<p><i>USE GRS 3/2 b or c, whichever is appropriate.</i></p> <p><u>Reference Files.</u> 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: Destroy ^{in agency} when no longer needed.</p>		
✓ 116.	<p><u>Reimbursable Agreement Files.</u> Contain a completed copy of DOT F-2300.1., Reimbursable Agreements, which are used by the operating elements of DOT, if funds are available, to place orders with other agencies for materials, supplies, equipments, work on services when both agencies have an interest in the goods or services to be provided.</p> <p>Disposition: Transfer to the records center 3 years after completion of contract. Destroy when 10 years old. <i>after completion of contract.</i></p>		
✓ 117.	<p><u>Relocation Files.</u> Contain paid travel vouchers, SF-1012 for FHWA employee's transfer to duty stations. Also included in these files are notes and supporting documents.</p> <p>Disposition: Destroy 2 years after account is closed.</p> <p><i>USE GRS 6/1a(2)</i></p>		

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7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
✓ 118.	<p><u>Report and Register Record Files.</u> Consist of SF-2807, Register of Separations and Transfers, SF-2807-1, Register of Adjustments, and SF-2807-2, Annual Summary of Retirement Fund Transactions, used in documenting for retirement purposes employee interagency and intra-agency transfers.</p> <p>Disposition: Destroy when 3 years old.</p>	GRS 2/21a	al
✓ 119.	<p><u>Report Files.</u> Consist of general correspondence related to DOT Headquarters requirements for Coast Guard duty officer support, monthly transaction reports, GAO draft reports to the staff relating to communication services, energy conservation, locating Federal Facilities and real property maintenance. Files also contain communication reports such as annual communication reports, reports of exchange/sale of personal property, annual reports on location of new offices and other facilities in rural areas, agency reports on motor vehicle data and monthly motor vehicle data reports to GSA.</p> <p>Disposition: Destroy when ³2 years old.</p>		
120.	<p><u>Reports on Obligations.</u> Files contain reports on a monthly basis and Forms SF-225, Reports on Obligations, which are required by all agencies on unobligated and obligated funds, advances, reimbursements and other income by the Treasury Department under Circular No. 1073.</p> <p>Disposition: Destroy ⁵10 years after the close of the fiscal year.</p>	GRS 5/5a	
121.	<p><u>Request and Authorization for Voluntary Allotment of Compensation Files.</u> Consist of requests by employees to have union dues, charity and savings allotments deducted from their wages.</p> <p>Disposition: Destroy ^{upon}1 year after transfer or separation of employee or cancellation of request.</p>	(GRS 2, Item 4b(1))	
✓ 122.	<p><u>Requisition Files.</u> Contain forms FHWA-56, Requisition For Supplies, Services and Shipment. A requisition is required from all FHWA offices when requesting any type of supplies, equipment</p>		

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKE
	<p>or services, furniture, office machines and request services in repairing office equipment.</p> <p>Disposition: Destroy when 2 years old after completion or cancellation of requisition,</p>	GRS 3/ 9a oh	-1
✓ 123.	<p>Retirement Computation Files. Contain correspondence, memorandums, and annuity computations regarding the retirement of FHWA employees and questions employees may have regarding their annuity.</p> <p>Disposition: Destroy ^{when 1 year old.} 1 year after retirement of employee.</p>	GRS 2/ 21b	-
✓ 124.	<p>Safety Program Files. Consist of correspondence, official file copies, reference material, working papers, and other related documents pertaining to the accident prevention program and FHWA Occupational Health and Safety Program.</p> <p>Disposition: Destroy when 3 years old.</p>		
✓ 125.	<p>Security Working Files. Contain computer print-outs on employees that have a security clearance, including a card file which is a record of personnel data on employees in nonsensitive positions such as social security number, date, and place of birth.</p> <p>Disposition: Destroy when 3 years old. ^{Destroy when superseded or obsolete.}</p>	GRS 18/24	
✓ 126.	<p>Service Contract Files. Consist of correspondence, purchase orders, reimbursable agreements, interagency agreements, notes, official file copies and other material related to office efforts to plan and direct the procurement program for technical support to research studies in the areas of research and development, highway safety, traffic safety, engineering and other areas related to the FHWA highway transportation program.</p> <p>Disposition: Transfer to the records center 1 year after completion of contract. Destroy when 8 years old. use GRS 3/4</p>		
127.	<p>Sound Recording Files. Contain audio tapes, slides and cassettes providing the FHWA field offices and State Highway agencies material for presentations when new techniques are developed on highway related subjects such as</p>	(GRS 21, Item 3A)	

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TA
	<p>Traffic Engineering Technology, Highway Travel Forecasting, Aerial Drainage Surveys and Nuclear Testing for Density Control on Concrete Pavement.</p> <p>Disposition: Permanent. Transfer to the records center when 5 years old. Offer to the Archives: when 10 years old or when no longer needed.</p>		<p>DISPOSITION NOT APPROVED 3/5/81 RTB</p>
✓ 128.	<p><u>Space Files.</u> Contain general correspondence on field office space, space assignments and utilization, allowances and standards, space classification and all other information related to office space and its manipulations.</p> <p>Disposition: Review files annually and destroy material no longer pertinent. Destroy when 2 yrs. old.</p>		GRS 11/1 oh
✓ 129.	<p><u>Special Exhibit Files.</u> Contain summary data on rental property by GSA, inventory of ADP systems, current services, summary of research and development expenditures as well as in other program areas, statements of receipts for the building of parks and various other programs whose contributions are provided by private citizens. This summary data is required by OMB for the Presidents budget. Special information is also provided to congressional committee staff members.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 15 years old.</p>		
✓ 130.	<p><u>State Information Files.</u> Consist of correspondence or memoranda related to the request by the Secretary of Transportation seeking information concerning the expenditure for highway construction in a particular congressional district.</p> <p>Disposition: Destroy when 3 years old.</p>		
✓ 131.	<p><u>Statement of Financial Condition Files.</u> Contain Forms SF-220, Statement of Financial Condition, a report required by the Treasury Department on a semi-annual basis from all government agencies.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year. Destroy 3 yrs. after the end of the FY.</p>		GRS 5/56

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKE
✓ 132.	<p><u>Statement of Transaction Files.</u> Contains standard Form SF-224, Statement of Transaction, which is the financial statement of the transactions of all funds by FHWA.</p> <p>Disposition: Transfer to the Federal Records Center when 3 years old. Destroy when 10 years old. USE GRS 6/1</p>		
✓ 133.	<p><u>Statistical Personnel Files.</u> Consist of correspondence, working papers, notes and other materials used to compile data for printouts to provide the FHWA Office of Public Affairs (under FOIA), Congress and other government agencies information concerning retirement, employment breakdown by grade, organization, registers, education, training and awards.</p> <p>Disposition: Destroy when 3 years old if documents can be recreated.</p>		
✓ 134.	<p><u>Status of Contract Authority Files.</u> Contain Treasury Form BA-7304, Status of Contract Authority, which is prepared annually by FHWA for the Treasury Department reflecting the balance of unfunded contract authority at the beginning of the fiscal year and the unfunded contract authority at the end of the period. The source data used is from the general ledger trial balances and public laws from Congress.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		
✓ 135.	<p><u>Status of Funds.</u> Contain financial statements of the military and the Department of Agriculture on the transfer of funds to FHWA. The report is done on an annual basis. Files also contain reports on obligated and unobligated funds of the military and Agriculture.</p> <p>Disposition: Destroy 10 years after the close of the fiscal year.</p>		
✓ 136.	<p><u>Supplemental Payroll Files.</u> Consist of pay vouchers and printouts of comprehensive payroll records maintained by the payroll section used for workload and personnel management purposes.</p> <p>Disposition: Destroy after receipt of individual earnings record.</p>		

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✓137.	<p><u>Survey Files.</u> Contain official file copies, reports, notes, manpower needs, studies, EEO Goals and timetables, minority reports, project personnel needs, trainee recruitment requirements, and promotion analyses -needed in evaluating and improving recruitment and placement aspects of career development programs.</p> <p>Disposition: Destroy when 5 years old.</p>		-
✓138.	<p><u>Tabulation Files.</u> Consist of tabulation data of Federal fund obligations, disbursements, interrelationships to income and disbursements and other funds concerning the FHWA programs which include Federal-aid and forest highway funds, Federal-aid and emergency relief projects and Highway Trust Funds.</p> <p>Disposition: Destroy all material when 1 year old, except the quarterly reports which are to be offered to the Archives.</p>		
✓139.	<p><u>Time and Attendance Files.</u> Consist of Form FHWA 320 which are used to maintain leave records as well as pay hours of FHWA employees.</p> <p>Disposition: Destroy ^{after GAO audit or} when 3 years old, whichever is sooner.</p>	(GRS-2, Item 3A) oh	
✓140.	<p><u>Trainee Files.</u></p> <ol style="list-style-type: none"> Motor Carrier Safety Engineers Community Planners <p>Contain past and present training documents, background material, notes, fiscal plans, field review reports, general correspondence, special assignment preparation and progress reports, memorandums, travel information, statistics on trainees course evaluation, organization training, training plans from each trainee and flow charts.</p> <p>Disposition: Destroy when 5 years old.</p>		
141.	<p><u>Training Program Files.</u> Contain training plan objectives and requirements, annual reports of training activities, cumulative summary</p>	GRS 1/30 c oh	

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKE
	<p>of recruiting, number of employees and training roles, travel claims, correspondence, official file copies, budget estimates, control of grade escalation, hiring limitations, funds available for obligation appropriation, assessment of FHWA Training Systems, delegations of authority, seminars, reports, conferences, special programs and reimbursement agreements.</p> <p>Disposition: Destroy when 5 years old <i>or when superseded or obsolete, whichever is sooner.</i></p>		
✓142.	<p><u>Treasury Forms Files.</u> Consist of Treasury Form No. BA-6727 which is a Statement of Appropriation Account containing Section I balances as of quarter end and Section II, Accrued Expenditures. Files also contain Treasury Form 6728, Report of Selected Balances for Stating Budget Results on the Accrual Basis for Special Trust Funds Receipt Accounts. These two reports are required by the Treasury Department quarterly. Summary trial balances are used as source data. <i>Copies Maintained in FHWA for reference.</i></p> <p>Disposition: Destroy when 10 years old.</p>		
✓143.	<p><u>Transportation Files.</u> Contain public vouchers for transportation charges from airlines for transportation of FHWA employees and SF-113 and 1169, transportation requests by FHWA employees for transportation to and from their destination.</p> <p>Disposition: Transfer to General Accounting Office quarterly for auditing. Destroy when 3 years old. USE GRS 9/3</p>		
✓144.	<p><u>Travel Order Files.</u> Contain DOT Forms DOT 1500.2, Official Travel for OST and DOT Elements, DOT 1500.3, Limitations in Overseas Travel, and DOT 1500.4, Temporary Travel Duty.</p> <p>Disposition: Transfer to the Federal Records Center 2 years after final payment. Destroy when 3 years old. <i>after final payment, Destroy in agency</i></p>		

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
✓145.	<p><u>Treasury Report Files.</u> Contain reports required annually by <u>OMB</u> under Treasury Department Circular 965 which is sent to the Treasury Department on the balances of individual appropriation funds using Treasury Department Form BA-R-2108, Statement of Unexpended Balances of Appropriation of Funds and Restorations, Treasury Form TSF-6654, Cash Balance Review from Treasury, showing FHWA cash balance for the end of the fiscal year for FHWA to reconcile their balances, and from the regional offices, FHWA form 1336 certifying their balances at the end of the fiscal year on each appropriation. Files also contain information on funds transferred from other agencies to FHWA and the transferring of funds by FHWA to other agencies. Included in this are working papers and other supporting documents. <i>Copies maintained in FHWA for reference.</i></p> <p>Disposition: Destroy when 10 years old.</p>		
✓146.	<p><u>Vacancy Announcement Files.</u> Contain actual applications, ranking material from panels, copies of announcements and general correspondence. The files also include applications for merit promotion and career training programs and other related material on monitoring, evaluating and improvement of the recruitment and placement aspects of career development programs.</p> <p>Disposition: Destroy when 2 years old ^{or} upon earlier if an Office of Personnel Management evaluation of the records, is made. <i>whichever is earlier.</i></p>		
147.	<p><u>Vehicle Files.</u> Contain accident reports, general correspondence, official file copies and related data pertaining to the management of the motor vehicle fleets for FHWA and the maintenance of required records for all FHWA Headquarters motor vehicles.</p> <p>Disposition: Destroy file when report is 3 ⁶ years old.</p>	GRS 10/5 ch	

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✓ 148.	<p><u>Verification in Hours Status Files.</u> Files contain computer printouts received from management on verifying hours of FHWA employees. These printouts are also used for audit purposes.</p> <p>Disposition: Destroy when 6 months old.</p>		
149.	<p><u>Video Recording Files.</u> Contain master tapes to include separately the audio tapes which relate to all video tapes produced by FHWA in the past 4 years of training, speeches, work shops, new techniques, actual events, policy and procedures.</p> <p>Disposition: Transfer to the records center when 5 years old. Offer to the archives when 10 years old.</p>	(GRS 21, Item 4A)	DISPOSITION NOT APPROVED 3/5/81 RTB
✓ 150.	<p><u>Vital Records.</u> Contain correspondence, official file copies, record schedules, reports, an emergency preparedness status, essential records and other related data pertaining to emergency operating records and rights and interest records and other records vital to the operation of the Federal Highway Administration.</p> <p>Disposition: Non record. Official files maintained by Defense planning. Destroy files when no longer needed.</p>		
✓ 151.	<p><u>W-2 Forms.</u> Files contain W-2 forms of all the employees in FHWA. The W-2 is a yearly wage and tax statement record.</p> <p>Disposition: Destroy when 3⁴ years old.</p>	GRS 2/18/81 <i>ph</i>	
✓ 152.	<p><u>Work Order Files.</u> Contain pending work orders for moving walls, telephone outlets, and electrical outlets. These requests are made to OST for proposed work on GSA form 2957 and telephone orders DOT 1730.1 and Form FHWA 56, Requisition for Supplies, Services and Shipments. The files also contain requests for cancellation of work orders.</p> <p>Disposition: (a) <u>Pending Files.</u> Transfer to completed work order file after completion</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKE
	of work. (b) <u>Completed Files.</u> Destroy 2 years after completion of work.		-