

**REQUEST FOR RECORDS DISPOSAL AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NCL-406-85-6
DATE RECEIVED	12-20-84
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
11-13-86 Date	Frank J. Burse 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  
Engineering and Operations - Field offices
4. NAME OF PERSON WITH WHOM TO CONFER  
John H. Schnackenberg
5. TEL EXT

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 \_\_\_\_\_ 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	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
12-2-83	<i>J. Schnackenberg</i>	Chief, Organization and Management Programs Division		
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)		9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p><u>Access Interchange Files</u>: Requests from State 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: Destroy 5 years after completion of interchange.</p>			
2.	<p><u>Access Roads</u>: General correspondence on the review and approval of defense access proposals which are maintained on a per State basis.</p> <p>Disposition: Destroy 3 years after completion of project.</p>			
3.	<p><u>Annual Inspection Reports</u>: Annual reports prepared by the States and reviewed by headquarters concerning the State highway agency's construction program.</p> <p>Disposition: Transfer to Federal Records Center when 2 years old. Destroy when 5 years old.</p>			

*FDR  
from  
6/19/86  
6/19/86*

*61 items*

115-107 *Copy to Agency 11-14-86, emh.*

*12/12/86 NNF, NNA 1/16/87 NC*

## 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
4.	<p><u>Annual Program of Projects:</u> Correspondence, working papers, lists of projects and other related material pertaining to the yearly programming of individual projects.</p> <p>Disposition: Dispose of when no longer applicable to the operation.</p>		
5.	<p><u>Bid - Price Reports:</u> Reports on the average bids for all highway contracts, average estimates and the disparity between bid estimates and engineering estimates.</p> <p>Disposition: Transfer to the records center 2 years after completion of project. Destroy when 12 years old after completion of project.</p> <p><u>Certification Acceptance:</u> 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>Disposition: Destroy when 10 years old or no longer needed, except certificates of agreement. Destroy certificates of agreement 2 years after superseded.</p>		
7.	<p><u>Consolidated Compliance Reviews:</u> Reviews and evaluations of all significant construction employment in a specific geographical area.</p> <p>Disposition: Destroy when 7 years old.</p>	GRS 1/26d(1)	
8.	<p><u>Contract Administration:</u> Information on contract administration, construction inspection procedures, certification acceptance, fuel conservation, anti-inflation materials certification, value engineering, etc.</p> <p>Disposition: Destroy when superseded or obsolete.</p>		
9.	<p><u>Contractors Reports:</u> Contractor's qualifications, cost data, contractor's liability, payroll and labor compliance, contract termination, etc. All reports reflecting program accomplishments.</p> <p>Disposition: Destroy when 4 years old or when superseded or obsolete.</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
10.	<p><u>Construction (Road) Equipment</u>: Information on new developments on use and care of construction equipment.</p> <p>Disposition: Destroy when no longer needed.</p>		
11.	<p><u>Construction Safety and Health</u>: Information and policy on the OSHA program and Traffic Control and Safety through Construction and Maintenance Zones.</p> <p>Disposition: Destroy when no longer needed.</p>		
12.	<p><u>Cooperation (Construction &amp; Maintenance)</u>: Information and correspondence on coordination with other government agencies, (such as Environmental Impact Statements), erosion control, air quality, noise, action plan, etc.</p> <p>Disposition: Destroy 5 years after project is completed.</p>		
13.	<p><u>Cost of Construction Files</u>: Cost figures on construction of various projects.</p> <p>Disposition: Destroy when no longer needed.</p>		
14.	<p><del><u>Design Policy and Procedures</u>: Correspondence, background material and related material specific to policy guidance on design matters furnished by the Regional Office. Design matters include roadside development, roadway design, hydraulics, preliminary engineering, and consultants.</del></p> <p>Disposition: Destroy 1 year after superseded.</p>	See ON	item 14 page 3A
15.	<p><u>Design Standards</u>: Approved state design standards and drawings and correspondence related to their review and approval.</p> <p>Disposition: Transfer to records center 2 years after payment of final voucher. Destroy 7 years after payment of final voucher.</p>		

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OF

7.  
ITEM  
NO.

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

9. GRS OR  
SUPERSEDED  
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CITATION

10. ACTION  
TAKEN  
(NARS USE  
ONLY)

14.

Design Policy and Procedures: Correspondence, background material and related material specific to policy guidance on design matters include roadside development, roadway design, hydraulics, preliminary engineering, and consultants.

Disposition: Permanent, Transfer to FARC one year after superseded. Offer to NA Field Branch 5 years after superseded.

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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
16.	<p><u>Discretionary Primary File:</u> General correspondence, congressional inquiries, approvals, and correspondence pertaining to the Discretionary Primary funds.</p> <p>Disposition: Destroy when no longer needed.</p>		
17.	<p><del><u>Emergency Operating Facilities (EOF):</u> Leases, letters of agreement, floor plans, and correspondence related to the FHWA Regional EOF; the DOT Regional EOF; and the Federal Regional Center.</del></p> <p>Disposition: Destroy when superseded.</p>	GRS 18/	28-31
18.	<p><u>Emergency Plans and Planning Activities:</u> Files consist of correspondence, reports, bulletins, and other information relating to the wartime emergency plans and disaster assistance plans of FHWA and DOT in the Region. Includes correspondence with and plans and materials issued by other DOT modal administrations, other Federal agencies (FEMA, MTMC, NRC, etc.), State and local governments, and FHWA Regional and Division offices. Includes information on specific disasters, strikes, and other crises.</p> <p>Disposition: Transfer to records center when 2 years old. Destroy when 5 years old.</p>		
19.	<p><u>Emergency Relief Files:</u> Determinations as to whether a particular State is eligible for emergency 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: Transfer to the records center when 5 years old. Destroy when 10 years old.</p>		
20.	<p><del><u>Emergency Relief Project Files:</u> Preliminary engineering material, contract, construction, right-of-way, and utility records.</del></p> <p>Disposition: Transfer to records center after final voucher is paid. Destroy when 7 years old.</p>	Withdrawn	

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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
21.	<p><u>Environmental Controls:</u> Information on rules, regulations and policy on environmental controls during construction, air quality, erosion control and water pollution, EIS Review Committee, noise abatement, public complaints and Congressional inquiries.</p> <p>Disposition: Destroy 1 year after superseded or obsolete.</p>		
22.	<p><u>Federal-Aid Annual Program:</u> Records, including progress reports and interstate status reports needed for review of projects submitted to the Division by the State and approved by the Division for funds spent on urban and rural highways and the utilization of all classes of highway construction funds provided under the provisions of United States Code, Title 23.</p> <p>Disposition: Destroy when 5 years old.</p>		
23.	<p><u>Federal-Aid Project File:</u></p> <p><del>a. Basic Federal-Aid project documentation: Letter of Authorization, Project Agreement, Project Agreement Modifications, Inspection Report, Final Voucher. The files are arranged by project numbers. The estimated volume annually is 8 cubic feet. The current total volume is 620 cubic feet.</del></p> <p><del>Disposition: Permanent - Offer to National Archives when 20 years old.</del></p> <p>b. Supporting Federal-aid project documentation, railroad and utility bills and agreement, when applicable. PR-45s and PR-47s. Copy of construction contract and extra work or change order. Pertinent correspondence and documents not otherwise provided for in this schedule, including auditors work papers, final test report, right-of-way certificates of maps.</p> <p>Disposition: Transfer to records center 2 years after payment of final voucher. Destroy <del>when</del> 9 years old. after payment of final voucher.</p> <p>c. Projects involving preliminary engineering or advance acquisition of right-of-way.</p> <p>Disposition: Transfer to Federal records center as soon as practical 2 years after payment of final voucher. Destroy <del>when</del> 9 years old. after payment of final voucher</p>		<p>WITHDRAWN</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
24.	<p><u>Federal-aid Project Plan Files:</u> <u>Division Offices</u></p> <p>(1) For Interstate System Projects</p> <p>(a) Title Sheet Typical cross-section sheets. Plan and profile sheets. Special layout sheets showing geometric features.</p> <p>Disposition: Transfer to Federal Records Center at end of year in which final voucher is paid. Destroy <del>when</del> 10 years old.</p> <p>(b) Right-of-way maps</p> <p>The files are arranged by project number. The estimated volume annually is ½ cubic foot. The current total volume is 3 cubic feet.</p> <p>Disposition: Permanent - Transfer to Federal Records Center at end of year in which final voucher is paid. Offer to the National Archives 10 years <del>after transferring to records center.</del></p> <p>(2) For other Federal-aid projects</p> <p>Title sheet. Typical cross-section sheets. Special layout sheet showing geometric features.</p> <p>Disposition: Transfer to Federal Records Center at end of year in which payment of final voucher is paid. Destroy <del>when 20 years old.</del></p>		<p>after final voucher is paid</p> <p>after final voucher is paid</p> <p>20 years after final voucher is paid</p>
25.	<p><u>Federal-Aid System Files:</u> Inventories, approvals, logs, statistical data, route descriptions and related material pertaining to Federal-aid systems, including functional classification.</p> <p>Disposition: Destroy when 5 years old or when systems are revised, whichever comes first.</p>		
26.	<p><u>Federal Outlays by Geographic Report - OEO Report:</u> Listing of expenditure/obligations incurred by location to be used by the Washington Headquarters Finance Division in reporting to the Office of Economic Opportunity on Form OEO-177, Federal Outlay Data Transmittal Sheet.</p>		

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	Disposition: Transfer to records center when 3 years old. Destroy when 10 years old.		
27.	<u>Field Trip Reports</u> : Reports made by FHWA engineers on reviews that they have made on State highway construction projects.  Disposition: Destroy 1 year after completion of project.		
28.	<u>Force Account</u> : FHWA rules, regulation and policy on force account work relative to construction.  Disposition: Destroy when superseded or obsolete.		
29.	<u>Geometric Design File</u> : Correspondence on specific proposals as well as general guidance on geometric design criteria on tunnels, sight distance, lighting, joints, medians, pavements, freeways, interchanges, etc.  Disposition: <del>Transfer to records center 2 years after contract is awarded.</del> Destroy when 5 years old.		
30.	<u>Highway Lighting</u> : Technical reference material related to highway lighting such as AASHTO lighting guides, handbooks, and publications.  Disposition: Destroy when reference material is obsolete.		
31.	<u>Hydraulics</u> : Correspondence concerning hydraulic design procedures, field hydraulic problems other than project construction related, and hydraulic structures and channels.  Disposition: <del>Transfer to records center when 5 years old. Destroy 5 years after transferring to records center.</del> Destroy when 10 years old.		
32.	<u>Inspections, Construction</u> : Information and correspondence relative to the State's project staffing, construction deficiencies, inspections in depth, quality assurance workshop.  Disposition: Destroy when superseded or obsolete.		

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33.	<p><u>I - 476 Task Force-Design File:</u> Working papers, drawings, and reports used and prepared by regional office staff in downscaling the proposed facility.</p> <p>Disposition: Destroy 3 years after completion of project.</p>		
34.	<p><u>Interstate Substitution Funds:</u> Correspondence between Regional Office, Washington Office, Division Office and States documenting requests and approval actions relative to this fund.</p> <p>Disposition: Destroy when no longer applicable to operation.</p>		
35.	<p><i>ZDK 6/19/86 JFM 5/19/86</i></p> <p><u>Interstate System (PR-511) <sup>Status Reports Diagrammatic Reports</sup> Maps:</u> <del>Route maps</del> prepared by the <del>State</del> <sup>Division offices</sup> showing changes in the Interstate System.</p> <p>Disposition: Destroy when segment information is updated.</p>		
36.	<p><u>Maintenance Inspection Reports Files:</u> File copies of Inspection Reports and all background material, along with general correspondence and data as it relates to maintenance of Federal-aid highways.</p> <p>Disposition: Break file every 2 years. Destroy file when 2 years old.</p>		
37.	<p><u>Maintenance Management:</u> Information and correspondence relative to maintenance management implementation and training (curriculum)</p> <p>Disposition: Destroy when superseded, obsolete, or after 5 years, whichever comes first.</p>		
38.	<p><u>Map Files:</u> Approved federal-aid system maps, county, general highway maps, urban area boundary maps, city maps and tourist maps. File also contains right-of-way maps documenting areas affected by action.</p> <p>Disposition: Destroy as maps are revised.</p>		

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39.	<p><u>Materials (Construction &amp; Maintenance)</u>: Contains information and correspondence relative to price adjustments, material and fuel shortages, 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>		
40.	<p><u>Metric System Files</u>: Records tracing the entire development and conversion to the metric system in the highway program and related areas. The files are arranged by subject. The files are inactive at present and the estimated current volume is 1/4 cubic foot.</p> <p>Disposition: Permanent - Transfer to the records center when 5 years old. Offer to the Archives when 5 years old.</p>	Withdrawn	
41.	<p><u>Occupational Health and Safety Files</u>: Correspondence, working papers, and background material related to implementation by FHWA of regulations on construction and maintenance safety issued by the Occupational Health and Safety Administration and other regulatory agencies.</p> <p>Disposition: (a) Destroy regulations, when superseded or cancelled (b) Destroy all other material when 5 years old.</p>		
42.	<p><u>Pavement Management</u>: Correspondence, directives and technical information, training material, and other related material.</p> <p>Disposition: Destroy when superseded, obsolete or after 5 years, whichever comes first.</p>		
43.	<p><u>Pedestrian Needs File</u>: Policy guidance on the incorporation of pedestrian needs into project facilities; codes &amp; laws; educational materials for pedestrians; information on pedestrians &amp; accidents.</p> <p>Disposition: Destroy when 3 years old or when superseded, whichever comes first.</p>		

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44.	<p><u>Process Review Files</u>: Reports, workpapers and other supporting documentation pertaining to maintenance reviews and reviews of the various construction phases at SHA. (State Highway Agencies)</p> <p>Disposition: Maintain only most current review. Destroy Reviews when superseded.</p> <p><u>Process Review Seminar File</u>: Information concerning a seminar held on process review, new techniques, ideas, suggestions, memos and letters dealing with improved methods of process review, handouts, workshop materials and information, sample review plans and guidelines for further process review studies.</p> <p>Disposition: Transfer to records center when 10 years old. Destroy when 15 years old.</p>		
46.	<p><u>Quality Assurance</u>: 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: Destroy when no longer needed.</p>		
47.	<p><u>Radiological Emergency Response Plans (RERP)</u>: Files consist of RERP plans for States in the Region, as well as correspondence and forms relating to DOT review and approval of these plans.</p> <p>Disposition: Destroy when no longer in effect.</p>		
48.	<p><u>Railroad Grade Crossings</u>: Policy and correspondence in regard to specific proposals for the protection of and elimination of railroad grade crossings within each State.</p> <p>Disposition: Destroy 3 years after completion of the project or when the policy is superseded, whichever comes first.</p>		
49.	<p><u>Resurfacing, Restoration and Rehabilitation (RRR)</u>: Information, draft regulations, and review comments on proposed geometric standards and policies for RRR type projects.</p> <p>Disposition: Destroy 2 years after adoption of regulations.</p>		

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50.	<p><u>Route Files</u>: Reports and maps on extended sections of a route, usually including the area of more than one project.</p> <p>Disposition: Destroy when superseded.</p>		
51.	<p><u>Secondary Road Plan</u>: Directives and information relative to Secondary Road Plan, and copies of each State's plan with revisions.</p> <p>Disposition: Destroy when superseded or obsolete.</p>		
52.	<p><u>Section 18 Program</u>: Material pertaining to projects to be authorized using funds pursuant to Section 18 of the UMT Act, as amended.</p> <p>Disposition: Destroy 2 years after superseded.</p>		
53.	<p><u>Specifications Correspondence</u>: Construction project specifications and related correspondence.</p> <p>Disposition: Destroy when no longer needed.</p>		
54.	<p><u>Specifications</u>: Federal (FP 74) and State 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: Destroy specifications when superseded or obsolete.</p>		
55.	<p><del>Summary and Evaluation Reports</del>: Summaries of division reports of Federal-aid projects in the State, and reviews and comments on anticipated areas for future reviews.</p> <p>Disposition: Destroy when 2 years old.</p>	Withdrawn	
56.	<p><u>Surveys and Markers</u>: General correspondence on the coordination performed on the potential impact or adjustment of geodetic markers.</p> <p>Disposition: Destroy when 5 years old.</p>		

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57.	<p><u>Systems Correspondence:</u> Correspondence documenting all systems action taken within the States and system substitution, transfers and supplements.</p> <p>Disposition: Destroy when 3 years old.</p>		
58.	<p><u>Traffic Control Subject Files:</u> Traffic control standards and specifications, including background information, correspondence, and standards for traffic control such as road markers, traffic signs, etc.</p> <p>Disposition: Transfer to the records center when 5 years old. Destroy when 15 years old.</p>		
59.	<p><u>Traffic Operation References:</u> Technical manuals, guidelines, research publications, handbooks, bulletins and other material related to traffic control measures.</p> <p>Disposition: Destroy when superseded.</p>		
60.	<p><u>Utilities:</u> General policy and correspondence and documentation pertaining to utility projects in the State.</p> <p>Disposition: Destroy policy material when superseded and project material 3 years after project completion.</p> <p><del>A. Destroy policy when superseded.</del> <del>B. Destroy project material 3 years after completion of project.</del></p>		

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