

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-406-08-10	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 7/29/08	
1. FROM (Agency or establishment) U.S. Department of Transportation (DOT)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Federal Highway Administration (FHWA)			
3. MINOR SUBDIVISION Office of the Chief Financial Officer (HCF)			
4. NAME OF PERSON WITH WHOM TO CONFER Lou Nicholson	5. TELEPHONE NUMBER (202) 366-2563	DATE 7/21/09	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>11</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE <i>July 25, 2008</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Victor S. Wagner</i>		TITLE Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	This schedule covers the records of the Office of the Chief Financial Officer (HCF) maintained in the Washington Headquarters Office of the Federal Highway Administration (FHWA). This schedule primarily supersedes SF 115 job numbers NC1-406-80-11 and N1-406-90-3, approved by the Archivist of the U.S. on July 2, 1981, and June 15, 1993, respectively. Other administrative records of this Office are covered by the FHWA Records Disposition Schedule for Washington Headquarters Administrative Files and the General Records Schedules (GRS). The records on this schedule may contain sensitive and/or personal identifiable information and require controlled access and handling to safeguard against a breach of information (<i>Privacy Act of 1974 and the Federal Information Security Management Act of 2002</i>).	NC1-406-80-11 and N1-406-90-3	

1.	<p>Administrative Files. Contain correspondence; personnel material; training material; budget material; daily, weekly, monthly and bi-weekly reports; communications with other agencies; meeting materials; and other related documents pertaining to the daily operation of the office.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cut off.</p>	NC1-406-80-11, item 3.	
2.	<p>Advice of Funds Files. 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 U.S.C. 108(C). (Records must be retained for the maximum time the State has before it loses the funds.)</p> <p>DISPOSITION: Cut off at end of fiscal year.</p> <p>a. <u>If paper:</u> Transfer to Federal records center (FRC) 3 years after cutoff. Destroy 10 years after cutoff.</p> <p>b. <u>If electronic:</u> Delete 10 years after cutoff.</p>	NC1-406-80-11, item 5.	
3.	<p>Advice of Funds Availability Files. Contain copies of Form FHWA-370 (Advice of Funds Available for obligation) 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.</p> <p>DISPOSITION: Cut off at end of fiscal year.</p> <p>a. <u>If paper:</u> Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.</p> <p>b. <u>If electronic:</u> Delete 10 years after cutoff.</p>	NC1-406-80-11, item 6.	
4.	<p>Agreement and Report Files. Contain working papers, actual billings, 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 6 years 3 months after period covered by the account. GRS 6, item 1a.</p>	NC1-406-80-11, item 9	

5.	<p>Allotment Files. Consist of Forms FHWA-370, Advice of Funds Available for Obligation, 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: Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7, item 3.</p>	NC1-406-80-11, item 10	
6.	<p>Apportionment and Reapportionment Schedules. Consist of completed SFs 132 Apportionment and Reapportionment Schedules, and supporting documents used specifically to show funds apportioned and reappropriated for FHWA.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 2 years after cut off. GRS 5, item 4.</p>	NC1-406-80-11, item 12;	
7.	<p>Appropriation Files. Contain records of laws on funds that are appropriated by Congress. There are 4 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:</p> <p>a. <u>If paper:</u> Transfer to FRC when 5 years old. Destroy when 10 years old.</p> <p>b. <u>If electronic:</u> Delete when 10 years old.</p>	NC1-406-80-11, item 13.	
8.	<p>Budget Execution Files. Consist of correspondence related to any request for budget action that concerns Washington Headquarters, Resource Centers, or field division offices.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy in agency 5 years after the close of the fiscal year covered by the budget.</p>	NC1-406-80-11, item 19.	<p>Superseded by: DAA-GRS-2015-0006-0002 DATE (MM/DD/YYYY): <u>July 17, 2019</u> J Barnes</p>
9.	<p>Budget Files. Contain actual invoices for communications, machine repairs, equipment rentals, reimbursable services with the Office of the Secretary of Transportation (OST), bills for rent of offices in the field, annual and quarterly reports, working</p>	NC1-406-80-11, item 20.	

	<p>capital funds and all related materials pertaining to the budget.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy in agency 5 years after the close of the fiscal year covered by the budget.</p>		
10.	<p>Budget Request Files. Contain three types of requests. These are Departmental, Congressional and Office of Management and Budget (OMB). Departmental are requests for funds from FHWA for the operation of their programs. Congressional and OMB are requests for special 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>DISPOSITION: Cut off at end of fiscal year. Destroy in agency 5 years after close of the FY covered by the budget.</p>	NC1-406-80-11, item 21.	
11.	<p>Certifying Officer Record Files. Contain SFs 1166, 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 Administration for supplies, motor pool payments, etc.</p> <p>DISPOSITION: Destroy 6 years, 3 months after period covered by account. GRS 6, item 1a.</p>	NC1-406-80-11, item 24	
12.	<p>Combined Statement Files. Contain computer printouts from the Department of Treasury showing how FHWA segments are printed.</p> <p>DISPOSITION: Destroy when 1 year old.</p>	NC1-406-80-11, item 26.	
13.	<p>Financial Obligations Files. Contain statistical data, financial statements on all money obligated for FHWA contracts and the end of the fiscal year documentation of FHWA dollar obligations used for working documents.</p> <p>DISPOSITION: Cut off at end of fiscal year.</p>	NC1-406-80-11, item 29.	
a.	<p>If paper: Transfer to FRC 2 years after cutoff.</p>		

	Destroy 7 years after cutoff.		
	b. <u>If electronic:</u> Delete 7 years after cutoff.		
14.	Credit Card Files. Consist of memorandums, U.S. Government cards (gasoline credit cards, small purchases credit cards and telephone credit cards) and form FHWA-164 Property Receipt and/or receipt for property returned. DISPOSITION: Destroy 3 years after final payment.	NC1-406-80-11, item 35.	
15.	Current Year (Budget Report) Files. Files contain current year forms SF-133, Report on Budget Execution. This report is required by OMB Circular A-11. Also included are working papers and supporting documents. DISPOSITION: Cut off at end of fiscal year. Destroy when 5 years old. GRS 5, item 3a.	NC1-406-80-11, item 36	
16.	Disbursement Files. 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. a. Accounts and supporting documents pertaining to American Indians. DISPOSITION: Retain indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians. b. All other records. DISPOSITION: Destroy 6 years and 3 months after period covered by account. GRS 6, item 1a.	NC1-406-80-11, item 41	
17.	Execution Report Files. Contain documentation of employee levels, working papers, cost estimates, appropriations and related financial statements pertaining to general operating expenses of each organizational element of the Agency. DISPOSITION: Cut off at end of fiscal year. Destroy 5 years after cut off.	NC1-406-80-11, item 46.	
18.	Financial Management Files. Consist of trip report		

	findings on financial management in the States, working papers on special reports, and financial reviews of FHWA division offices on how their financial management programs are working.	NC1-406-80-11, item 48.	
	DISPOSITION: Cut off at end of fiscal year. Destroy 10 years after cut off.		
19.	Fiscal Services Program Files. 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.	NC1-406-80-11, item 50.	
	DISPOSITION: Cut off at end of fiscal year. Destroy in agency 5 years after close of the fiscal year covered by the budget.		
20.	General Ledger Files. Contains general ledgers summarizing the financial status and financial transactions of FHWA, current status of funds available for expenditures and show debit and credit entries of the agency.	NCI-406-80-11, item 58	
	DISPOSITION: Cut off at end of fiscal year.		
	a. If paper: Transfer to FRC when 3 years old. Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7, item 2		
	b. If electronic: Delete 6 years and 3 months after close of the fiscal year involved. GRS 7, item 2		
21.	Highway Status Files. Contain general correspondence, telegraphic messages, tabulated data on the status of highway funds and systems reported from States and Resource Centers of actual funds used each fiscal year.	NC1-406-80-11, item 62.	
	DISPOSITION: Cut off at end of fiscal year. Destroy when 5 years old.		
22.	Monthly Narrative Reports. Contain monthly narrative reports from the Resource Centers and each division 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	NC1-406-80-11, item 72.	

	<p>planning, execution, administration and control of the Administration's programs financed from the Highway Trust Fund and from other funds.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 3 years after cutoff.</p>		
23.	<p>Monthly Report Files.</p> <p>a. SF 132, Apportionment and Reapportionment Schedule.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy in agency 2 years after cut off. GRS 5, Item 4</p> <p>b. SF 133, Report on Budget Execution. This report is required by OMB Circular No. A-11. Also included are working papers and supporting documents.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy in agency 3 years after cut off. GRS 5, Item 3b</p>	NC1-406-80-11, item 74.	
24.	<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: Cut off at end of fiscal year.</p> <p>a. <u>If paper:</u> Transfer to FRC when 2 years old. Destroy 6 years and 3 months after final payment.</p> <p>b. <u>If electronic:</u> Delete 6 years and 3 months after final payment.</p>	NC1-406-80-11, item 75.	
25.	<p>Payment to States Files. Contains an annual report required by the Treasury on all payments by FHWA to the States. Files also contain documentation from other Government agencies on FHWA transfer funds.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy when 10 years old.</p>	NC1-406-80-11, item 84.	
26.	<p>Pre-Closing and Post Closing Financial Files. 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>	NCI-406-80-11, item 98.	

27.	<p>Program Subject Files. 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: Cut off at end of fiscal year.</p> <p>a. <u>If paper:</u> Transfer to FRC 3 years after cutoff. Destroy 7 years after cutoff.</p> <p>b. <u>If electronic:</u> Delete 7 years after cutoff.</p>	NCI-406-80-11, item 105.	
28.	<p>Project Status Files (Completed). These files give the complete history of a project from Headquarters, Resource Centers, and division offices.</p> <p>DISPOSITION: Destroy 2 months after completion of project.</p>	NCI-406-80-11, item 107.	
29.	<p>Reports on Obligations (Budget Reports Files). Periodic reports on the status of appropriation accounts and apportionment.</p> <p>a. Annual report (end of fiscal year).</p> <p>DISPOSITION: Destroy when 5 years old. GRS 5, item 3a</p> <p>b. All other reports.</p> <p>DISPOSITION: Destroy 3 years after the end of the fiscal year. GRS 5, item 3b</p>	NCI-406-80-11, item 120.	
30.	<p>State Information Files. 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: Cut off at end of fiscal year. Destroy 3 years after cut off.</p>	NCI-406-80-11, item 130.	
31.	Statement of Transaction Files. Contains SF 224,		

	<p>Statement of Transaction, which is the financial statement of the transactions of all funds by FHWA.</p> <p>DISPOSITION: Destroy 6 years and 3 months after period covered by account. GRS 6, item 1a.</p>	<p>NC1-406-80-11, item 132</p>	
32.	<p>Treasury Report Files. Contain reports required annually by OMB under Department of the Treasury Circular 965 which is sent to Treasury on the balances of individual appropriation funds using Treasury Form BA-R-2108. 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. Copies maintained in FHWA for reference.</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 10 years after cut off.</p>	<p>NC1-406-80-11, item 145.</p>	
33.	<p>Fiscal Management Information System (FMIS). The system is a nationwide on-line computerized projects tracking system containing more than 2 million records related to all Federally funded highway projects. The data is summarized in a variety of ways and used for planning and executing agency programs, for evaluating program performance, and for depicting financial trends and requirements related to current and future funding. The information is maintained on an Oracle database and updated via direct key or file transfer from State, division, or Washington Headquarters fiscal offices.</p>	<p>N1-406-90-3</p>	
a.	<p>Input.</p> <p>(1) Project Status Report. This report is initially prepared by the reporting office when the State is authorized to proceed with the project. On-line data entry by the Federal-Aid division offices (located in each State, the District of Columbia, and Puerto Rico).</p> <p>DISPOSITION: Cut off at end of fiscal year. Destroy 20 years after cut off, or when no longer needed, whichever is later.</p> <p>(2) Expenditure Data. Consists of purchase orders, procurement requests, contracts, and other expenditures. This information is entered into Markview Document Management and Imaging System and interfaces with the Delphi</p>		

accounting system. The Office of Financial Services automated accounting system Delphi interfaces with the Office of ~~Financial Management~~ ^{Budget} system FMIS. The information in both systems should match.

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DISPOSITION: Cut off at end of fiscal year. Destroy 20 years after cut off, or when no longer needed, whichever is later.

- (3) Apportionment Factor Information. Input information is provided from various FHWA offices, and other government agencies to determine apportionments to the State of Federal-aid highway funds. On-line data entry is done by the Washington Headquarters Office of ~~Financial Management~~ ^{Budget} Services.

DISPOSITION: Cut off at end of fiscal year. Destroy 20 years after cut off, or when no longer needed, whichever is later.

- (4) Allocation. These allocations of Federal-aid highway funds, not subject to formula apportionment, are made by the Washington Headquarters program offices to the States. On-line data entry of these allocations is done by the Washington Headquarters Office of ~~Financial Management~~ ^{Budget} from data provided from memoranda prepared by the FHWA program offices.

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DISPOSITION: Cut off at end of fiscal year. Destroy 20 years after cut off, or when no longer needed, whichever is later.

- b. Master Files. Information contained in the data base, including that described above related to Federal-Aid projects. The Master File contains: (1) Active Records pertaining to open and ongoing projects. (This includes those projects which have been in an inactive stage, i.e. in one phase of the project for 6 months or longer.) (2) Inactive Records pertaining to projects that have either been closed or withdrawn.

DISPOSITION: **PERMANENT.** Information remains in the database system. Cut off at end of fiscal year. Transfer information in accordance with 36 CFR 1228.270 to the National Archives at the close of each fiscal year.

c.

Output.

- (1) Records consisting of extracted information. Over 130 on-line, batch, and ad hoc reports containing financial and statistical information on individual projects, program and fund activity, and summary data on active, as well as closed, highway projects which have been recorded through FMIS.

DISPOSITION: Destroy 3 years from date of origination, or when no longer needed, whichever is later.

- (2) Certificates of Apportionment. Signed and approved by the FHWA Administrator or designee, apportionment of obligated Federal-aid highway funds. The certificates are attached to FHWA Notices in the 4510 series.

DISPOSITION: Cutoff at end of fiscal year. Destroy 20 years after cut off, or when no longer needed, whichever is later.

d.

~~Documentation. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of media) relating to a master file or data base.~~

~~DISPOSITION: PERMANENT. Transfer to National Archives with the permanent electronic records to which the documentation relates. GRS 20, Item 11a(2)~~