REQUEST FOR RECORDS DISPOSITION AUTHORITY
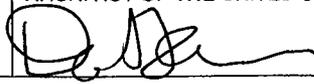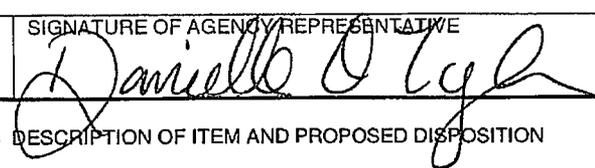
REQUEST FOR RECORDS DISPOSITION AUTHORITY	**JOB NUMBER** NI-408-12-1
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	**Date received** 11/14/11

1 FROM (Agency or establishment) U S Department of Transportation (DOT)	**NOTIFICATION TO AGENCY**
2 MAJOR SUBDIVISION Federal Transit Administration (FTA)	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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3 MINOR SUBDIVISION	

4 NAME OF PERSON WITH WHOM TO CONFER Danielle Tyler	5 TELEPHONE NUMBER (202) 366-5160	DATE 11 Jan 13	ARCHIVIST OF THE UNITED STATES

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ 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,

☒ is not required   ☐ is attached, or   ☐ has been requested

DATE 11-9-11	SIGNATURE OF AGENCY REPRESENTATIVE Danielle O Tyler	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	**Financial Management System (FMS)** The Financial Management System (FMS) is a major, mission critical system that directly supports FTA and its financial requirements for processing obligations and disbursements of Federal funds to grantees It is the primary system for the gathering and dissemination of information received from Delphi (the Department of Transportation's financial system of record) It serves as a Delphi interface platform for the TEAM (Transportation Electronic Award Management) obligation/deobligation and ECHO-Web payment/credit transactions. FMS is also a data repository for FTA financial information and is used for financial data reporting FMS does not process data into a new form but accepts data that has already been processed by Delphi and stores it in a relational database (Oracle) for account code validation, maintaining account fund balances, queries and reports All transactions in FTA's financial system must go through FMS to get from one system to the other		

| | This record series includes financial information, records, and reports | | |
| | | Deleted text superseded by items on the next page Concurred by agency 10/10/2012 | |

This record series includes financial information, records, and reports

System documentation, input and output data are included in the General Records Schedule (GRS) and will include financial information, records, and reports

NOTE These disposition instructions apply to all the described records regardless of physical media

a- ~~Input files Consist of interfaced flat files with grantee disbursements, payments/credits, obligations/deobligations, payroll reports, interface reports, invoices, statistical data, appropriations, and all related financial information as it relates to FTA's grant making activities~~

~~Disposition Permanent Cut-off at the end of the fiscal year Transfer to NARA 4 years after cut-off~~

b₂⁄₁ ~~Master files Information contained in the database, including that described above related to FTA's grant making activities The Master File contains (1) Active and inactive records pertaining to open, closed, and ongoing grants, contracts, cooperative agreements, and interagency agreements (2) System code, scripts, and reports~~

~~Disposition Permanent Cut-off at the end of the fiscal year Transfer to NARA 4 years after cut-off.~~

c- ~~Output files Consist of reports with extracted information from the interfaced files, batch, and ad hoc reports containing financial and statistical information on individual grants, program, and fund activity, and summary data on active, as well as closed, FTA grants which have been recorded through Delphi and TEAM~~

~~Disposition Permanent. Cut-off at the end of the fiscal year Transfer to NARA 4 years after cut-off~~

PREVIOUS EDITION NOT USABLE   **STANDARD FORM 115 (REV 3-91)**
Prescribed by NARA 36 CFR 1228

~~1 Input/source records~~

~~Interfaced flat files with grantee disbursements, payments/credits, obligations/deobligations, payroll reports, interface reports, invoices, statistical data, appropriations, and all related financial information as it relates to FTA's grant making activities~~

~~Disposition Temporary Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of or serve as a backup to the electronic records, whichever is later (GRS 20, item 2a4)~~

2 Master files

Information contained in the database related to FTA's grant making activities, including (1) records pertaining to open, closed, and ongoing grants, contracts, cooperative agreements, and interagency agreements, and (2) system code, scripts, and reports

Disposition **Temporary.** Cut off at end of FY in which grant is closed Delete or destroy 6 years and 3 months after cutoff or when no longer needed for reference, whichever is later

~~3 Output files~~

~~Reports with extracted information from the interfaced files, batch, and ad hoc reports containing financial and statistical information on individual grants, program, and fund activity, and summary data on active, as well as closed, FTA grants which have been recorded through Delphi and TEAM~~

~~Disposition Temporary Destroy when no longer needed for administrative, legal, audit, or other operational purposes (GRS 20, items 5, 12, and 16)~~

[Items 1 and 3 crossed out only in the sense that they are not appraised as they are covered by the GRS.]