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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER NI-557-04 - 1 | |
| TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001 | | Date received <i>4-20-2004</i> | |
| 1. FROM (Agency or establishment) U.S. Department of Transportation | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Motor Carrier Safety Administration (FMCSA) | | | |
| 3. MINOR SUBDIVISION Field Operations | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett | 5. TELEPHONE NUMBER (202) 385-2316 | DATE <i>11-10-04</i> | ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 _____ 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, <input checked="" type="checkbox"/> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE 04/15/04 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Herman Hogan</i> | | TITLE FMCSA Records Management Officer |
| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| | SEE ATTACHED PAGES. | | |
| <i>cc Agency NR, NW MD, NW ME, NW MW, NW ETC.</i> | | | |

**SF 115, Request for Records Disposition Authority
for
FMCSA Field Operations**

| <u>Item</u> <u>No.</u> | <u>Description of Item.</u> | <u>Disposition Authority</u> |
|---------------------------|-----------------------------|------------------------------|
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| 1 | <u>Administrative Subject Files.</u> | GRS 23/1 |
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~~Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the program functions for which the office exists. In general, these records relate to office organization, staffing, and procedures, including communications; the expenditure of funds, including budget records; day to day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.~~

~~**Disposition: Temporary.** Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.~~

~~**If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.~~

~~**If paper:** Destroy paper documents 2 years after cutoff.~~

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| 2 | <u>Budget Background Records.</u> | N1-557-04-1/1 |
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Working papers, cost statements, and data accumulated in the preparation of annual budget estimates, and originating offices' copies of reports submitted to budget offices.

Disposition: Temporary. Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.

If paper: Destroy paper documents 2 years after cutoff.

- 3 Chronological File. **N1-557-04-1/2**
- Contains extra, non-record copies of outgoing correspondence. These files contain no record copies of incoming correspondence or yellow copies of outgoing correspondence.
- Disposition: **Temporary.** Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.
- If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.
- If paper:** Destroy paper documents 2 years after cutoff.
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- 4 Complaints, Miscellaneous Files. **N1-557-04-1/3**
- Miscellaneous complaints from drivers, carriers, and individuals concerning interstate motor carriers; State contact point for trucker's complaints about State safety enforcement.
- Disposition: **Temporary.** Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.
- If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 6 years after cutoff.
- If paper:** Destroy paper documents 6 years after cutoff.
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- 5 Conference Files. **N1-557-04-1/4**
- Agendas, minutes, and related records pertaining to FMCSA Conferences.
- Disposition: **Temporary.** Cutoff at end of fiscal year. Determine medium of recordkeeping copy.
- If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.
- If paper:** Destroy paper documents 3 years after cutoff.
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- 6 Driver Disqualification Files. **N1-557-04-1/5**
- Documents pertaining to the minimum qualification requirements identified in 49 CFR Part 391.
- Disposition: **Temporary.** Cutoff at end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 15 years after cutoff.

If paper: Transfer paper documents to FRC 5 years after cutoff. Destroy paper documents 15 years after cutoff.

~~7 Leave Application Files. GRS 2/6b~~

~~Form OPM 71 or equivalent plus any supporting documentation of requests and approvals of leave.~~

~~Disposition: **Temporary.** Determine medium of recordkeeping copy.~~

~~**If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified, if necessary. Delete electronic files after GAO audit or when 3 years old, which ever is sooner.~~

~~**If paper:** Destroy paper documents 3 years after GAO audit, or when 3 years old, which ever is sooner.~~

8 Motor Carrier Files. N1-557-04-1/6

Correspondence, accident reports, applications, inspection reports, hazardous materials incident reports, safety review (survey) reports, and other documents pertinent to a company's safety report.

A. Original Paper Case Files Not Imaged by FMCSA EDMS.

Disposition: **Temporary.** Place in inactive file when case is closed. Cut off closed case file at end of fiscal year. Destroy years 6 after cutoff.

B. Original Paper Case Files Imaged by FMCSA EDMS.

Disposition: **Temporary.** Retain paper records until scanning, indexing, and verification of imaging. Destroy after verification of imaging work process.

C. Paper Case Files Imaged by FMCSA EDMS, but Originals Must Be Retained.

[Includes records such as color photographs, charts, etc. that have been scanned but originals must be retained to meet agency needs because the scanned image is not an exact copy of the original.]

Disposition: **Temporary.** Cut off closed case files of records at the end of the fiscal year. Destroy 6 years after cutoff.

D. Motor Carrier Case Files Imaged by FMCSA EDMS.

Disposition: **Temporary.** Delete/Erase 6 years after Motor Carrier Case File is closed.

9 Motor Carrier Grant Files.

N1-557-04-1/7

State files containing documentation on grants from the initial application through approval by DOT. Documents include grant application, State program plan, negotiation materials, executed grant agreement and supporting documentation, monitoring plan, quarterly reports, financial data.

Disposition: **Temporary.** Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Cutoff closed case files at the end of each fiscal year. Destroy paper documents 3 years after cutoff.

10 Motor Carrier Safety Management Studies.

N1-557-04-1/8

Files on various management studies, including management reviews of the FMCSA organization.

Disposition: **Temporary.** Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 10 years after cutoff.

If paper: Destroy paper documents 10 years after cutoff.

~~11 Noncommercial, Reimbursable Travel Files.~~

~~GRS 9/3a.~~

~~Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~

~~A. — Travel administrative office files.~~

~~Disposition: **Temporary.** Cut off at the end of each fiscal year. Determine medium of recordkeeping copy.~~

~~**If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 6 years after cutoff.~~

~~**If paper:** Destroy paper documents 6 years after cutoff.~~

~~B. — Obligation copies.~~

~~Disposition: **Temporary:** Destroy when funds are obligated.~~

12 Occupational Health and Safety Research Files.

N1-557-04-1/9

Background research and copies of final reports and regulations pertaining to both in-house and contract medical research done in the development of regulations dealing with the physical qualifications required of truck drivers.

Disposition: **Temporary.** Cut off at end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

13 Policy and Planning Subject Files.

N1-557-04-1/10

Consists of correspondence, briefing materials, reports, and research materials relating to agency programs such as MCSAP and CDL, as well as contacts with other outside organizations, including Congress and other Federal agencies.

Disposition: **Temporary.** Cutoff at end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

14 Safety Program Files.

N1-557-04-1/11

Correspondence, official file copies, reference materials, working papers and other related documents pertaining to the accident prevention program and FMCSA Occupational Health and Safety Program.

Disposition: **Temporary.** Cut off at the end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

- 15 Skill Performance Evaluation (SPE) Certification Program N1-557-04-1/12
(formerly know as the driver waiver program) Files.

Commercial Motor Vehicle (CMV) Drivers who are seeking or have obtained a SPE certificate qualification files, containing the application, medical evaluations, medical examinations, and documentation for the approval and/or deferral of the SPE certificate.

Disposition: **Temporary.** Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

- ~~16 Supervisor's Personnel Files. GRS 1/18a~~

~~Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.~~

~~Disposition: **Temporary.** Determine medium of recordkeeping copy.~~

~~**If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Review annually and delete superseded or obsolete electronic files, or files relating to an employee within 1 year after separation or transfer.~~

~~**If paper:** Review annually and delete superseded or obsolete electronic files, or files relating to an employee within 1 year after separation or transfer.~~

- 17 Technical Reference Files. N1-557-04-1/13

Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Contains copies of reports, studies, special compilations of data, drawings, extra (non record) copies of "policy and precedent" files, catalogs, pamphlets, flyers, and other printed materials from vendors. These files are used as ready reference materials on Motor Carrier related subjects of current or ongoing interest. Official file copies are not kept in these files.

Disposition: **Temporary.** Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files when no longer needed for administrative purposes.

If paper: Destroy paper documents when no longer needed for administrative purposes.

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flex time records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine readable or paper form.

Disposition: ~~Temporary.~~ Cut off at end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files after GAO audit or when six years old, whichever is sooner.

If paper: Destroy paper documents after GAO audit or when six years old, whichever is sooner.

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Disposition: ~~Temporary.~~ Cutoff at the end of fiscal year. Determine medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- A. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

Disposition: Destroy/delete within 180 days after the record keeping copy has been produced.

- B. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Disposition: Destroy/delete when dissemination, revision, or updating is completed.