

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-557-05-6	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-25-2004	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Enforcement and Program Delivery			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 7/1/06	ARCHIVIST OF THE UNITED STATES <i>Allen W. ...</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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/19/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Theresa Rowlett</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 GRS OR SUPERSEDED JOB CITATION	10.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, DWM, DWM E, DWM W</i>			

**SF-115, Request for Records Disposition Authority
For
Enforcement and Program Delivery**

Item		
No.	<u>Description of Item.</u>	Disposition Authority

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.~~

2	<u>Budget Background Records.</u>	GRS 5/2
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~~Cost estimates, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; 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 1 year after cutoff.~~

~~If paper: Destroy paper documents 1 year after cutoff.~~

3 (N1-557-05-6/1). Cargo Tank Reports. Formerly scheduled by NC1-406-80-10/6.

Contain reports on inspection and test of cargo tanks and inventory of tanks. These reports are used in the development and amendment to regulations of cargo security which is the protection of cargo from theft.

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 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

4 (N1-557-05-6/2). Chronological File.

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.

5 (N1-557-05-6/3). Compliance Case File. Formerly scheduled by NC1-406-80-10/7.

Consist of completed forms related to noise compliance level checks, oral interviews, driver equipment compliance and other compliance reports, case reports relating to temporary authority checks and initial notification of major highway accidents, public letter of complaints pertaining to unsafe vehicles and drivers of carriers.

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.

6 (N1-557-05-6/4). Commercial Driver's License (CDL) File Grant Files.

State grant financial files contain documentation on CDL grants from the initial application through final voucher. Documents include grant application forms (CDL-1), executed grant agreement (CDL-2), executed grant agreement amendments (CDL-2A), grant agreement

supporting documentation, FMCSA PR-20 (final voucher), and general correspondence related to a specific grant.

A. Commercial Driver's License Grant Paper Records.

Disposition: **Temporary**. Cutoff upon review and verification of final voucher and final close-out of grant files, materials are scanned to the FMCSA Optical Scan System. Destroy after verification of optical scan.

B. Optical Scanned Records.

Disposition: **Temporary**. Destroy 6 years after date of original scan to the Optical Scan System.

C. Commercial Driver's License Administrative Paper Records Cutoff after calendar year.

Disposition: **Temporary**. Materials are scanned to the FMCSA Optical Scan System. Destroy after verification of optical scan.

D. Optical Scanned Records.

Disposition: **Temporary**. Destroy 6 years after date of original scan to the Optical Scan System.

7 (N1-557-05-6/5). Commercial Drivers License (CDL) Program Files. Formerly scheduled by NI-406-89-3/13

Contains copies of summary reports on field activities and field reviews conducted by headquarters on the regional CDL program.

A. CDL Publications.

Disposition: **PERMANENT**. Cutoff files 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. Cut off at the end of (fiscal/calendar year). Transfer copy to the National Archives two years after cut-off. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to National Archives in 5-year blocks when latest record is 5 years old.

B. Other files.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

8 (N1-557-05-6/6). Cooperative Agreement Files. Formerly scheduled by N1-406-89-3/15

Contains communications, background and agreements with States enforcing motor carrier safety and hazardous material laws and regulations affecting highway transportation.

Disposition: **Temporary.** Place in closed case file upon completion of agreement. Cutoff closed case file 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 12 years after cutoff.

If paper: Destroy paper documents 12 years after cutoff.

9 (N1-557-05-6/7). Educational & Technical Assistance (ETA) Program Files. Formerly scheduled by NI-406-89-3/20

Contains copies of directives, reports, and documents pertaining to the ETA program, information related to regional program activities, copies of quarterly summary reports on ETA, program and field review data on the program. Annual work plan files are included.

A. ETA Publications including "On Guard."

Disposition: **PERMANENT.** Cutoff files 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. Cut-off electronic file at the end of (fiscal/calendar) year. Transfer a copy to the National Archives one year after cut-off. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to National Archives in 5-year blocks when latest record is 5 years old.

B. ETA program files.

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 5 years after cutoff.

If paper: Transfer to FRC 3 years after cutoff. Destroy paper documents 5 years after cutoff.

10 Emergency Planning Case Files. [See notes after this item.] — GRS 18/26

~~Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.~~

~~**Disposition:** Temporary. Cutoff after issuance of a new plan or directive. 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.~~

~~[NOTES: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency wide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115.]~~

11 (N1-557-05-6/8). Federal Programs General Subject File. Formerly scheduled by NI-406-89-3/11

Contain motor carrier-related information on mission, policy, other substantive issues. Also included are working files/papers on new Federal programs such as the commercial drivers license program, and information on new enforcement techniques. Annual accumulation: 3 cu. ft. Arranged by Alpha-numeric code. Volume on hand is 6 cubic feet.

Disposition: PERMANENT. Cutoff files 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. Transfer to the National Archives two years after cut-off. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks when latest record is 10 years old.

- 12 (N1-557-05-6/9). Interpretation of Regulations. Formerly scheduled by NC1-406-89-3/32

Contain correspondence, directives and related background materials concerning FMCSA's interpretation of Motor Carrier Safety regulations. In most instances this material traces the steps involved in making the policy statement as well as the intent of the agency when promulgating the rule.

Annual accumulation is less than 1 cubic foot per year. Arranged chronologically. Volume on hand is 16 cubic feet. Motor Carrier interpretations.

- A. Motor Carrier interpretations.
- B. Hazardous materials interpretations.

Disposition: **PERMANENT**. Cutoff files 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. Transfer to the National Archives two years after cut-off. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to National Archives in 5-year blocks when latest record is 10 years old.

- ~~13 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, whichever is sooner.~~

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

- 14 (N1-557-05-6/10) MCSAP (Motor Carrier Safety Assistance Program) Grant Files. Formerly N1-406-89-3/35.

State grant financial files containing documentation on MCSAP grants from the initial application through final voucher. Documents include grant application (MCSAP-1 form), Commercial Vehicle Safety Plan (CVSP), negotiation materials, executed grant agreement (MCSAP-2 form), executed grant agreement amendments (MCSAP-2A form), any grant

agreement supporting documentation, FMCSA PR-20 form (final voucher), and general correspondence related to a specific grant.

A. Paper records.

Disposition: **Temporary**. Cutoff upon review and verification of final voucher and final close out of grant folder, materials are scanned to the FMCSA Optical. Destroy after verification of Optical scan.

B. Optical Scanned records.

Disposition: **Temporary**. Destroy 6 years, 3 months after date of original scan to the Optical.

15 (N1-557-05-6/11). MCSAP Subject Files. Formerly scheduled by NI-406-89-3/36

Contains information on various program activities and consists of annual reports, correspondence, studies, field reports, budget materials, and printed reference materials.

A. Annual Reports. Annual Accumulation is one-half linear inch. Arranged chronologically. Volume on hand is 2 inches.

Disposition: **PERMANENT**. Cut-off files at the end of each fiscal year. Determine the medium of recordkeeping copy.

If electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Cutoff at end of fiscal year. Transfer copy to the National Archives two years after cutoff. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to the National Archives in 5-year blocks when latest record is 5 years old.

B. Other materials.

Disposition: **Temporary**. Cut-off files at the end of each fiscal year. Determine the 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 cut-off.

If paper: Transfer to FRC 2 years after cutoff. Destroy 5 years after cutoff.

16 (N1-557-05-6/12). Motor Carrier Safety Training Text. Formerly scheduled by NI-406-89-3/43

This manual contains a chapter on each of the work functions performed by field staff personnel and serves as a "how to" manual, including completed samples of any required forms and their

distribution. Annual accumulation: less than 1 cubic foot. Arranged by chapter and change number.

Volume on hand is 3 cubic feet plus a 4-inch binder.

Disposition: **PERMANENT**. Cutoff files 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. Transfer copy to the National Archives 2 years after cutoff. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

If paper: Transfer to the WNRC 10 years after cutoff. Transfer to National Archives 15 years after cutoff.

~~17 — 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.~~

~~18 — Personnel Security Clearance Files. ————— GRS 18/22~~

~~Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.~~

~~A. — Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the~~

processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

~~Disposition: Temporary. Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.~~

B. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

~~Disposition: Temporary. Destroy in accordance with the investigating agency instructions.~~

C. Index to the Personnel Security Case Files.

~~Disposition: Temporary. Destroy with related case file.~~

19 ~~Personnel Security Clearance Status Files.~~ GRS 18/23

~~Lists or rosters showing the current security clearance status of individuals.~~

~~Disposition: Temporary. Destroy when superseded or obsolete.~~

20 (N1-557-05-6/13). PRISM Grant Files.

Contains copies of grant agreements and implementation plans by States.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

21 ~~Security Clearance Administrative Subject Files.~~ GRS 18/21

~~Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.~~

~~Destroy when 2 years old.~~

~~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 2 years after cutoff.~~

If paper: Destroy paper documents 2 years after cutoff.

22 — Security Clearance Status Files. ————— GRS 18/23

Lists or rosters showing the current security clearance status of individuals.

Disposition: ~~Temporary.~~ Cutoff when superseded or obsolete. 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 cutoff.~~

If paper: Destroy paper documents after cutoff.

23 — 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.

24 — Time and Attendance Source Records. ————— GRS 2/7

~~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 6 years old, whichever is sooner.~~

If paper: Destroy paper documents after GAO audit or when 6 years old, whichever is sooner.

25 (N1-557-05-6/14). Word Processing and Electronic Records.

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.

Retain electronic copies of the records in accordance to 36 CFR 1234§§30-32. Permanent electronic records will be transferred in accordance to 36 CFR 1228.270, or in accordance to procedures agreed to by FMCSA and NARA.