

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER NI-557-05-8	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Policy and Program Development			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 7/9/07	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</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>9</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"/> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/19/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Yvonne Lopez</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 GRS OR SUPERSEDED JOB CITATION	10.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.		

*24 7/9/07 copies sent to Agency, NWMD, NWME, NWMC, NWCT, NR*

**SF 115, Request for Records Disposition Authority**  
**For**  
**Policy and Program Development**  
**Job Number: NI-557-05-8**

Item No.	Description of Item.	Disposition Authority
1	<u>Administrative Subject Files.</u>  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.  <b><u>Disposition:</u> Temporary.</b> Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.  <b><u>If electronic:</u></b> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.  <b><u>If paper:</u></b> Destroy paper documents 2 years after cutoff.	GRS 23/1
2	<u>Budget Background Records.</u>  Working papers, cost statements, and data accumulated in the preparation of annual budget estimates, and originating offices' copies of reports submitted to budget offices.  <b><u>Disposition:</u> Temporary.</b> Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.  <i>a.</i> <b><u>If electronic:</u></b> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.  <i>b.</i> <b><u>If paper:</u></b> Destroy paper documents 2 years after cutoff.	N1-557-05-8/
3	<u>Chronological File.</u>  Contains extra, non-record copies of outgoing correspondence. These files contain no record copies of incoming correspondence or yellow copies of outgoing correspondence.  <b><u>Disposition:</u> Temporary.</b> Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.  <i>a.</i> <b><u>If electronic:</u></b> Destroy paper documents after the information has been converted into an	N1-557-05-8/

electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.

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

4 Driver Exemptions and Waiver Files: NI-406-89-3/19

Contain documentation on granting of driver waivers, reasons for deferring or denying waivers, notice of expiration dates, and cancellation.

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

*a.* **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.

*N.* **If paper:** Destroy paper documents 10 years after cutoff.

5 General Accountability Office (GAO)/Office of Inspector General (OIG) Audit Reports.  
N1-406-89-3/25

Contains copies of GAO/OIG audit reports on audit plans, reports to Congress, MCSAP program and other issues of interest to the OIG. Included audits made in the field division offices, and headquarters comments made pertaining to those audits.

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

*a.* **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.

*N.* **If paper:** Destroy paper documents 3 years after cutoff.

6 Formal Interpretation of Regulations. 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.

A. Motor Carrier interpretations.

B. Hazardous materials interpretations.

**Disposition: PERMANENT.** Cutoff files at end of each fiscal year. Determine medium of recordkeeping copy.

*a.* **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer to the National Archives in 5-year blocks when latest record is 10 years old. At the time of transfer, NARA and FMCSA will determine

medium and format in which records will be transferred.

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

*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, whichever is sooner.

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

*8* Evidence Reports and Other Program and Scientific Documents.

NI-406-89-3/37

Research files containing information on specific medical research projects. Files contain correspondence with contractors, drafts of deliverables from contractors, comments, technical background, medical research documentation, and other contract documentation.

A. Working and background papers.

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

*1. As* **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.

*2. As* **If paper:** Destroy paper documents 5 years after cutoff

B. Conference Report. Annual accumulation: less than 1 inch. Arranged by medical criteria. Volume on hand is 2 inches.

**Disposition:** **PERMANENT.** Cutoff files at end of each fiscal year. Determine medium of recordkeeping copy.

*1. As* **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer to the National Archives in 5-year blocks when latest record is 10 years old. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

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

*9* Multi-Year Planning Documents.

NI-557-05-8/

Consist of strategic and tactical plans with planning horizons of up to ten years, which are published in paper format as well as electronically. Examples include strategic plans, performance plans, and safety action plans.

**Disposition:** **PERMANENT.** Cutoff files at end of planning horizon. Determine medium of

recordkeeping copy.

a. **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer to the National Archives 10 year after cutoff. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

b. **If paper:** Transfer to National Archives 10 year after cutoff.

10 National Transportation Safety Board (NTSB) Safety Recommendation Files. N1-406-89-03/45

Files created based on NTSB investigations of Motor Carrier accidents. Subsequent to accident investigations, NTSB forwards to FMCSA its report with findings and recommendations. FMCSA responses to these recommendations, and any relevant correspondence are included.

Disposition: **Temporary.** Place in inactive file when case is closed. Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

a. **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.

b. **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 Office of Inspector General (OIG) Complaint Files. NI-557-05-8/

Files created based on OIG's assignment of waste, fraud, and abuse "hotline" complaints to FMCSA for investigation or information. Consist of original form, FMCSA's report of

investigation, and supporting documentation. Most files are routine but a small number are marked for "special handling" because they relate to the actions of FMCSA employees.

Disposition: Temporary. Place in inactive status when notified by OIG that case is closed. Cutoff closed inactive case files at the end of each fiscal year and inactive "special handling" files after closure. Determine medium of recordkeeping copy.

- a. **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files for closed inactive case files at the end of fiscal year and closed "special handling" case files 3 years after cutoff.
- b. **If paper:** Destroy paper documents for closed inactive case files at the end of fiscal year and closed "special handling" case files 3 years after cutoff.

13 Petitions for Rulemaking Files

NI-557-05-8/

Contains all petitions for rulemaking to amend or revise the Federal Motor Carrier Safety Regulations. The records also include memoranda between FMCSA offices concerning the evaluation of the petitions, concurrence grids, supporting documents and the Administrator's decision regarding these matters. Any Federal Register publications concerning petitions for rulemaking, and public comments received in response to such notices will be maintained electronically through the U.S. Department of Transportation's Docket Management System (DMS), available on the Internet at [htm://dms.dot.gov](http://dms.dot.gov). If a rulemaking is initiated in response to the petition, then the records associated with the rulemaking will be maintained or disposed of in accordance with the section of this document pertaining to rulemakings.

Disposition for Entire Series: Temporary. Cutoff files at end of each fiscal year. Determine medium of recordkeeping copy.

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

14 Policy and Planning Subject Files.

N1-406-89-03/46

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

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

- a. **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.
- b. **If paper:** Destroy paper documents 5 years after cutoff.

15 Policy and Planning Research Reports.

N1-406-89-03/47

Consists of statistical data, guidelines, and interim and final research reports from other DOT, FMCSA, and private sources.

Disposition: **Temporary**. Cut off when no longer needed for administrative purposes. Determine medium of recordkeeping copy.

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

*Ar.* **If paper**: Destroy paper documents after cutoff.

16 Public Docket Files.

N1-406-97-1/1

Rulemakings. The public docket files contain notices, advance notices of proposed rulemaking; notices of proposed rulemaking; comments received in response to notices; petitions for rulemaking and consideration; denials of petitions for reconsideration; records of additional rulemaking proceedings; and final rules as published. The dockets also contain research studies, transcripts or notes of public meetings, slides, photographs, truck hardware, and other related material. Audiovisual materials are located in the supplemental information files which are maintained with the docket files.

Arranged by docket number.

Volume on hand – 30 cubic feet

Annual accumulation – 10 cubic feet.

Disposition: **PERMANENT**. Cutoff after close of file. Determine medium of recordkeeping copy.

*a.* **If electronic**: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer record copy of files and related finding aids to the National Archives in an acceptable format when files are 10 years old. At the time of transfer, NARA and FMCSA will determine the medium and format in which records will be transferred.

*Ar.* **If paper**: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer to the National Archives 10 years after close of file.

17 Reference File.

NC1-406-80-11/115

Files contain copies of information used as ready reference on subjects of current or ongoing interest. These files may contain copies of medical reference books, publications, directives, pictures, correspondence, and the like. Official file copies are not to be placed in these files nor are the files to be considered pending files where official file copies are kept on a tentative basis.

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

*a.* **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.

*h.* **If paper:** Destroy paper documents when no longer needed.

18 Standards Development Correspondence Files.

NC1-406-89-3/58

Contains copies of all outgoing correspondence. Documents include correspondence signed by Division Chief, Office Director and the Associate Administrators.

A. Paper records.

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

*1.* **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.

*2.* **If paper:** Destroy paper documents 5 years after cutoff.

~~B. Electronic index. (GRS 23/8)~~

~~**Disposition:** **Temporary.** Cutoff when no longer needed for administrative purposes. 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.~~

19 Standards Development Subject Files.

N1-406-89-03/59

Consists of correspondence and related material documenting program matters, such as Motor Carrier legislation, rulemaking (49 CFR 395), research contracts, internal reports, Q & A's, and task forces.

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

*a.* **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.

*h.* **If paper:** Transfer to Offsite Storage 3 years after cutoff. Destroy paper documents 5 years after cutoff.

20 Standards Program Correspondence.

N1-406-89-3/61

Contains program related correspondence on a variety of topics and includes materials from all operational elements as maintained by the director's secretary.

Annual accumulation: 3 inches. Arranged chronologically. Volume on hand is 3 cubic feet.

**Disposition:** **PERMANENT.** Cutoff files at end of each fiscal year. Determine medium of recordkeeping copy.

*a.* **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer to the National Archives in 5-year blocks when latest record is 10 years old. At the time of transfer, NARA and FMCSA will determine medium and format in which records will be transferred.

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



21 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.

22 Technical Reference Files.

N1-557-05-8/

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.

a. **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.

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

23 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.

24

Training Records (Employee).

GRS 1/29b

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.

25

Waivers. Exemptions. Pilot Program Files

NI-557-05-8/

Contains all requests for waivers, applications for exemptions, and requests to initiate pilot programs pursuant to 49 V.S.C. 31136 and 31315, and the implementing regulations under 49 CFR Part 381 and all correspondence associated with the requests and applications. The records also include memoranda between FMCSA offices concerning the evaluation of the requests or applications, concurrence grids, supporting documents and the Administrator's decision regarding these matters. Any Federal Register publications concerning exemptions and pilot programs, and public comments received in response to such notices will be maintained electronically through the V.S. Department of Transportation's Docket Management System (DMS), available on the Internet at <http://dms.dot.gov>. These guidelines are not applicable to records associated with medical exemption programs, and skills performance evaluations.

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

*a.* **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 or when no longer needed.

*A.* **If paper:** Destroy paper documents 5 years after cutoff or when no longer needed.