

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-557-05-10	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Civil Rights			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 10/19/04	ARCHIVIST OF THE UNITED STATES Allen Weinstein
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 10/19/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Harman Day</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 GRS OR SUPERSEDED JOB CITATION	10.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 NARMA</i>			

**Data for SF 115, Request for Records Disposition Authority
for
FMCSA Civil Rights**

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
1	<u>Management Directive 715 (Affirmative Action Plans).</u> Files reflecting FMCSA (Headquarters and field offices) good faith effort to eliminate past and present discrimination in all Federally assisted programs, and to ensure future nondiscriminatory practices. <u>Disposition: Temporary.</u> Cutoff at end of fiscal year. Determine medium of recordkeeping copy. <u>If electronic:</u> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff. <u>If paper:</u> Destroy paper documents 2 years after cutoff.	NC1-406-80-4/2
2	<u>Special Emphasis Program Files.</u> Program subject files that contain records of special emphasis program areas such as ethnicity commemorative events to increase participation in the FMCSA programs. <u>Disposition: Temporary.</u> Cutoff at end of each fiscal year. Determine medium of recordkeeping copy. <u>If electronic:</u> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff. <u>If paper:</u> Transfer paper documents to FRC 2 years after cutoff. Destroy 5 years after cutoff.	NCI-406-80-4/18
3	<u>Reference File.</u> Files contain copies of information used as ready reference on subjects of current or ongoing interest. These files may contain copies of 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. <u>Disposition. Temporary.</u> Determine medium of recordkeeping copy. <u>If electronic:</u> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files when no longer needed. <u>If paper:</u> Destroy paper documents when no longer needed.	NC1-406-80-11/115

4 Title VI Assurances.

NC1-406-80-4/22

State assurances and related material. Title 49, CFR, Part 1, requires assurances from States that no person in the U.S. shall, on the grounds of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under a program or activity for which the recipient receives Federal assistance from DOT, including FMCSA.

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 superseded.

If paper: Destroy paper documents when superseded.

5 Title VI External Complaints.

NC1-406-80-4/23

Complaints based on act (or action) whether intentional or unintentional, through which a person in the U.S. solely because of race, color, religion, sex, or national origin, has been excluded from participation in, denied the benefits of, or has been otherwise subjected to unequal treatment under any program or activity for which the recipient receives Federal assistance from DOT, including FMCSA.

Disposition: **Temporary.** Place in closed case file when case is closed. Cutoff closed case file 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 4 years after cutoff.

If paper: Destroy paper documents 4 years after cutoff.

6 Title VI Program Areas.

NC1-406-80-4/25

Files for all the program areas that reflect the technical implementation of Title VI in that particular area.

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.

7. Title VI Reviews.

NCI-406-80-4/24

Files indicating that a Title VI recipient is either in compliance or noncompliance with Title VI requirements or can demonstrate that a good faith effort towards achieving this end has been made. May include reviews, background documents, and correspondence relating to grantees' obligations and employment practices.

Disposition: Temporary. Place in closed case file after completion of review. Cutoff closed case file 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 6 years after cutoff.

If paper: Destroy paper documents 6 years after cutoff.

8 Word Processing and Electronic Records.

N1-557-04-1/15

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

9 ~~EEO Compliance Reviews.~~

GRS 1/25d1

~~Reviews, background documents, and correspondence relating to grantee's employment practices.~~

~~**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 7 years after cutoff.~~

~~**If paper:** Destroy paper documents 7 years after cutoff.~~

10 ~~Internal Discrimination Complaints.~~

GRS 1/25A

~~Files consisting of acts or actions whether intentional or unintentional through which a person in the U.S., because of race, color, religion, sex, or national origin, allegedly has been excluded for participation in, denied the benefits or, or has been otherwise subjected to unequal treatment under any program or activity with FMCSA.~~

~~Disposition: Temporary. Place in inactive file after resolution of case. Cutoff inactive file 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 4 years after cutoff.~~

~~If paper: Destroy paper documents 4 years after cutoff.~~

11 ~~Leave Application Files.~~

GRS 2/6b

~~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 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.~~

12 ~~Administrative Subject Files.~~

GRS 23/1

~~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.~~

13 Management Control Records.

GRS 16/14

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Public Law 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

A. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Disposition: **Temporary.** Destroy when superseded.

B. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Disposition: **Temporary.** Destroy when superseded.

C. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Disposition: **Temporary.** Cut off closed files annually. Destroy after next review cycle.

D. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Disposition: **Temporary.** Destroy 1 year after report is completed.

14 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.

15 Printing Requisition Files.

GRS 13/2a

Contain DOT Form 1700.8, Duplication Request, and DOT Form 1700.3, Printing, Binding, Distribution and Editorial Service Requests, related memoranda, and documents used in requesting printing and distribution services for FMCSA. DOT Form 1700.8 is used in the initial request for ordering all printing and duplicating services and provides information as to the quantity, kind, color and size of the material to be printed. DOT Form 1700.3 is submitted to OST to provide printing and distribution instructions, the requisition number, delivery instructions, appropriation number for billing purposes and is approved by the Finance Division.

Disposition: **Temporary.** Cutoff completion of job. 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.

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 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.

18 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.