

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER NI-557-06- /	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 2.14.2006	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Office of Research and Analysis			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 6/23/06	ARCHIVIST OF THE UNITED STATES Alm Wenzel
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>5</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 10/31/05	SIGNATURE OF AGENCY REPRESENTATIVE Herman Dogan 		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 GRS OR SUPERSEDED JOB CITATION	10.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 records room</i>			

**SF-115, Request for Records Disposition Authority  
For  
Office of Research and Analysis**

Item No.	<u>Description of Item.</u>	<b>Disposition Authority</b>
1	<u>Administrative Subject Files.</u>	GRS 23/1
	<p><del>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.</del></p> <p><del><b>Disposition: Temporary.</b> Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.</del></p> <p><del><b>If electronic:</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.</del></p> <p><del><b>If paper:</b> Destroy paper documents 2 years after cutoff.</del></p>	
2	<u>Budget Background Records.</u>	GRS 5/2
	<p><del>Working papers, cost statements, and data accumulated in the preparation of annual budget estimates, and originating offices' copies of reports submitted to budget offices.</del></p> <p><del><b>Disposition: Temporary.</b> Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.</del></p> <p><del><b>If electronic:</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.</del></p> <p><del><b>If paper:</b> Destroy paper documents 2 years after cutoff.</del></p>	
3	<u>Correspondence Files.</u>	NI-406-89-3/6

Contains correspondence and background materials relating to contracts, research and technology programs, NTSB safety recommendations, program planning, information systems, reports and other data analysis.

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 5 years after cutoff.

B, **If paper:** Destroy paper documents 5 years after cutoff.

4 ~~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.~~

5 ~~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.~~

6 ~~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 after 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.~~

7. Publications and Completed Research Products NI-406-89-3/49  
Contains internal and contractual publications including reports, studies, technical and analytical briefs, conference summaries, presentations, white papers, guides, handbooks, brochures, pamphlets, and training manuals.

A. Record copy. Arranged chronologically. Annual accumulation: two cu. ft.

Disposition: **PERMANENT**. Place in inactive file when superseded. Cutoff inactive file at end of year. Determine medium of recordkeeping copy.

1. **If electronic:** If Electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Keep files up to 3 years in office after cut-off and then transfer to NARA in accordance with 36 CFR 1228.270.

2. **If paper:** Transfer inactive paper documents to NARA 5 years after cutoff.

B. All other copies.

Disposition: **Temporary**. 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 when no longer needed.

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

8. Contract and Grant Documentation.

Contains documentation associated with the development of the Statement of Work, Cost and Technical Proposals, invoices, vouchers, progress reports, and other materials related to the administration and oversight of the contract. This would also include documentation regarding the administration of grants and other contracting vehicles.

Disposition: **Temporary**. Cutoff after 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, verified. Delete electronic files 6 years, 3 months after cutoff.

**If paper:** Destroy paper documents 6 years, 3 months after cutoff.

*Note: Any records control mechanisms identified by FMCSA Acquisitions Management will take precedent over this element.*

9 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 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.
- B. **If paper:** Destroy paper documents when no longer needed.

10 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.~~

11 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.~~

12 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.~~

13 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: 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.

FMCSA will maintain electronic versions of these records in accordance to 36 CFR 1234§§30-32.