

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-416-86-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/16/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Most items are active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.


N1-416-05-002 supersedes 2, 13D[24 and 25], and 44.

N1-416-05-004 supersedes 36, 37, 51a, and 55.

The National Archives accessioned items 31 and 51C:

Item 31, National Archives Identifier: 16746961

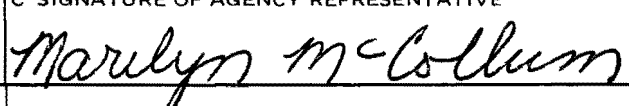

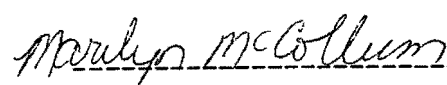
Item 51C, National Archives Identifier: 16746950

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-416-86-1	DATE RECEIVED 1-10-86
1 FROM (Agency or establishment) Department of Transportation		NOTIFICATION TO AGENCY In accordance with the provisions of 44 USC 3302, the disposal request, including amendments, is approved except for items that may be marked "disposition approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
2 MAJOR SUBDIVISION National Highway Traffic Safety Administration			
3 MINOR SUBDIVISION General Services Division			
4 NAME OF PERSON WITH WHOM TO CONFER Marilyn McCollum	5 TELEPHONE EXT 426-2968	DATE 2/17/88	ARCHIVIST OF THE UNITED STATES 
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 34 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence ☐ is attached, or ☐ is unnecessary

☒ has been requested

B DATE 1/8/86	C SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE Records Officer	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	See the attached listing consisting of 34 pages. Schedule items are arranged functionally. In those instances where an approved (GRS or Administration) schedule covers the individual record series listed, the applicable disposition authority has been cited. "This certifies that the records described on this form will be microfilmed and stored in accordance with the standards set forth in 36 CFR Part 1230 and 36 CFR 1230.20		
All changes to this proposed schedule have been approved by:			
			
NARA appraiser		Agency representative	
Date 1/14/88		Date 1/14/88	

I. RECORDS COMMON TO MOST OFFICES

1. Program Subject Files.

Files consist of subjectively arranged correspondence, reports and other records pertaining to various aspects of the NHTSA program (as distinguished from administrative) functions and activities.

- a. Files of the Executive Secretariat consisting of correspondence and reports signed by the Administrator, Deputy Administrator, the Secretary and the Deputy Secretary reflecting agency policy and operations at the highest organizational level. 24 cubic feet, 8 cubic feet annually.

Permanent.

Cut off annually. Retire to WNRC when 3 years old.
Offer to the National Archives when 10 years old.
in five year blocks

- b. Files of all other Headquarters offices and the Vehicle Research and Test Center (VRTC).

Cut off annually. Retire to WNRC when 2 years old.
Destroy when 5 years old.

- c. Regional Office Files.

Cut off annually. Destroy when 3 years old.

2. Reading or Chronological Files. (Duplicate, nonrecord)

Extra copies of correspondence prepared and maintained by the originating office, used solely as a reference files for the convenience of personnel.

Cut off annually. Destroy when 1 year old.

3. Office Administrative Files. (GRS 23, item 1.)

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget papers; 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 include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the individual office.

RECORDS COMMON TO MOST OFFICES

Note: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the agency maintained by Administration. See GRS 16, Item 13.

Destroy when 2 years old or when no longer needed,
whichever is sooner.

~~4. Schedules of Daily Activities. (GRS 23, item 2.)~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees.~~

- ~~a. Records containing substantive information relating to the official activities of the substance of which has not been incorporated into memoranda, reports, correspondence, or other records included in the official files.~~

~~(1) Submit SF 258, Request for Transfer of Records.~~

~~(2) If the offer is not accepted, destroy the records when 6 years old.~~

- ~~b. Records of other than high level Federal employees as indicated in a. containing substantive information relating to official activities, the substance of which has not been incorporated into official files.~~

~~Destroy when 2 years old.~~

- ~~c. Routine materials containing no substantive information regarding the daily activities of other than high level officials as indicated in a.; records of all NHTSA employees containing substantive information, the substance of which has been incorporated into official files; and/or personal records of all NHTSA employees relating to nonofficial activities.~~

~~Destroy when no longer needed.~~

~~5. Suspense Files. (GRS 23, item 3.)~~

~~Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.~~

- ~~a. A note or other reminder to take some other action.~~

~~Destroy after action is taken.~~

RECORDS COMMON TO MOST OFFICES

- ~~b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.~~

~~Withdraw papers when reply is received. (1) If suspense copy is the file copy, incorporate it into the official files. (2) If copy is an extra copy, destroy when action is completed.~~

~~6. Transitory Files. (GRS 23, item 4.)~~

~~Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.~~

- ~~a. Requests for information or publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply, such as requests for publications or other printed material.~~
- ~~b. Letters of transmittal. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.~~
- ~~c. Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.~~

~~Destroy when 3 months old or when no longer needed whichever is sooner.~~

~~7. Routine Control Files. (GRS 23, item 5.)~~

~~Job control records, status cards, routing slips, work processing, sheets, correspondence control forms, receipts for records chargeout, and other similar records used solely to control work flow and to record routine and merely facilitative actions taken.~~

~~Remove from related records and destroy when work is completed or when no longer needed for operating purposes.~~

~~8. Technical Reference (working) Files. (GRS 23, item 6.)~~

~~Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Include copies of regulatory standards, reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.~~

~~Review annually and destroy material of no further value.~~

RECORDS COMMON TO MOST OFFICES

9. Office Individual Personnel Files. (GRS 1, item 18.a.)

Unofficial personnel folders maintained in the office which consist of documents which are duplicates of papers placed in official personnel folders maintained in the NHTSA Personnel Office or which are not appropriate for inclusion in the official personnel folders. Includes such papers as copies of security clearance, records reflecting training received by individuals, copies of letters of appreciation and commendation, off-duty employment information and comparable papers.

Review files periodically to destroy documents which have been superseded or are no longer applicable. Destroy entire file 1 year after transfer or separation of employee.

10. Contract and Grant Management Project Files. (NN 174-44, item 72.)

- a. Files consist of copies of contract and grant documents used by program analysts in administering contracts and grants under various sections of the Highway Safety Act, including but not limited to standards evaluations, seatbelts and airbag investigations, matters pertaining to alcohol countermeasures, vehicle occupant protection, etc., but excluding research and development project files.

Cut off when contract or grant is closed out. Destroy 3 years after closeout.

- b. One copy of contract final reports. Arranged chronologically within the type of project activity. Est. 25 cubic feet, 2 cubic feet annually.

Permanent.

See Item 14.a.(2) for authorized disposition.

11. General Reports Files. (NN 174-44, item 16.)

These files consists of routine periodic narrative and statistical reports, including trip reports, activity reports, program reports, etc., not specifically covered elsewhere in this schedule.

Cut off annually. Destroy when 2 years old.

12. Audit Files. (Duplicate, nonrecord)

Copies of GAO and internal audit reports maintained in individual offices. Included are related background papers and correspondence. See GRS 25, Item 4, for the official response file maintained by the Executive Secretariat.

Cut off when audit is completed and closed out. Destroy 1 year thereafter.

RECORDS COMMON TO MOST OFFICES

13. Audio-Visual Files. (GRS 21)

For each type of audio-visual record, the specific record elements cited (originals, negatives, prints, dubbings, etc.) required by 41 CFR 101-11.411-4 for preservation, reproduction, and reference are listed. Audio-visual records covered by this schedule item include those produced under contract, by grant, and acquired from outside sources as well as those produced internally. The maintenance and control of these record elements for records are subject to the authorized disposition, whether the record elements are stored in agency or contractor facilities.

a. Still Photography.

Record Elements.

(1) Black-and-white and color negative photography: the original negative, a captioned print, and, for color negative photography, a duplicate negative if one exists;

(11) Color transparency and slide photography: the original and a duplicate;

(111) Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.

(1) Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.

Destroy when 1 year old or when no longer needed.

(2) Personnel identification or passport photographs.

Destroy when 5 years old or when no longer needed.

(3) Internal personnel and administrative training filmstrips and slide of programs that do not reflect the mission of the agency.

Destroy 1 year after completion of training program.

(4) Duplicate items in excess of record elements required for preservation, duplication and reference by 41 CFR 101.11.411-4.

Destroy when no longer needed.

(5) All black-and-white photographs, color negatives, large format 35mm transparency files maintained as separate files, which document essential agency functions, i.e., testing, research and development, vehicle safety defects, etc. Arranged by subject (function). Est. 10 cubic feet, less than 1 cubic foot annually. WITHDRAWN

Permanent.

RECORDS COMMON TO MOST OFFICES

Retire to WNRC when 5 years old. Offer to NARA when 10 years old.

b. Graphic Arts.

Record Elements.

(i) Posters: ~~xxxxxxx~~

(6) Viewgraphs.

Destroy 1 year after use or when no longer needed.

(7) Routine artwork for handbills, flyers, posters, letterhead, and other graphics.

Destroy 1 year after final publication or when no longer needed.

(8) Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.

Destroy when no longer needed for publication or reprinting.

(9) Line copies of graphs and charts.

Destroy 1 year after final production or when no longer needed.

(10) ^{Two copies} ~~one copy~~ of each poster distributed agency-wide or to the public. Arranged chronologically. 6 cubic feet, less than ~~2~~₂ cubic foot annually.

Permanent.

Offer to NARA in 5 year blocks when 10 years old.

c. Motion Pictures.

Items 14-19 are arranged numerically by reel number and indexed in one major collection maintained by the Technical Reference Division. This collection is comprised of approximately 3,200 reels. Estimated 213 cubic feet, 7 cubic feet annually. Smaller collections are maintained by subject in other offices, principally in Public and Consumer Affairs. 5 cubic feet, less than one cubic foot annually.

RECORDS COMMON TO MOST OFFICES

Record Elements.

- (i) Agency sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording;
- (ii) Acquired films: two projection prints or one projection print and a video recording;
- (iii) Unedited footage: the original negative or color original, work print, and appropriately arranged, labeled, and described.

- ~~(11) Films acquired from outside sources for personnel and management training.~~

~~Destroy 1 year after completion of training program.~~

- ~~(12) Routine testing or engineering footage.~~

~~Destroy when 2 years old or when no longer needed.~~

- ~~(13) Duplicate prints and preprint elements required for preservation~~

~~Destroy when no longer needed.~~

- (14) Agency-sponsored films intended for public distribution. These include informational and educational films.

Permanent.

Offer to NARA when 10 years old.

- (15) Agency-sponsored television news releases and information reports.

Permanent.

Offer to NARA when 10 years old.

- (16) Agency-sponsored television public service (or "spot") announcements.

Permanent.

Offer to NARA when 10 years old.

RECORDS COMMON TO MOST OFFICES

- (17) Films produced under grants and contracts relating to research, testing, safety programs, etc. that are submitted to the agency.

Permanent.

Retire to WNRC when 5 years old. Offer to NARA when 10 years old.

- (18) Films acquired from outside sources that document or are used to carry out agency programs.

Permanent.

Retire to WNRC when 5 years old. Offer to NARA when 10 years old.

- (19) Documentary footage (except that footage identified in-house in Item (12)) shot for research and development testing or other studies.

Permanent.

Retire to WNRC when 5 years old. Offer to NARA when 10 years old.

- ~~(20) Stock footage, outtakes and trims created during the course of an agency-sponsored production.~~

~~Offer immediately for deposit in the stock film collection, Special Archives Division, NARA.~~

d. Video Recordings.

Items 23-25 are maintained by cassette number (149 video tapes) and indexed in the Technical Reference Division. 15 cubic feet, less than 1 cubic foot annually. Public and Consumer Affairs maintains video recordings by subject. 5 cubic feet, less than 1 cubic foot annually.

Record Elements.

The original or earliest generation of recording, and a dubbing if one exists.

- ~~(21) Internal personnel and administrative training programs that do not reflect the mission of the agency. (These include "role-play" sessions, management and supervisory instructions, etc.).~~

RECORDS COMMON TO MOST OFFICES

~~Destroy 1 year after completion of training program.~~

- (22) Routine testing or ~~engineering~~ recordings.

~~Destroy when 2 years old or when no longer needed.~~

- (23) Agency-sponsored television news releases or information reports.

Permanent.

Offer to NARA when 10 years old.

- (24) Agency-sponsored television public service (or "spot") announcements.

Permanent.

Offer to NARA when 10 years old.

- (25) Programs produced under grant that are submitted to the agency.

Permanent.

Offer to NARA when 10 years old.

e. ~~7.~~ Related Documentation.

- ~~(26) Production files or similar files that document origin, development, acquisition, use, and ownership. (May include scripts, contracts, transcripts, releases, etc.)~~

~~Dispose of according to instructions covering the related audio-visual records.~~

- ~~(27) Finding aids for identification, retrieval, or use. (May include indexes, catalogs, shelf lists, log books, caption sheets, shotlists, continuities, etc., and may be text, card, microform, or machine-readable format.)~~

~~Dispose of according to instructions covering the related audio-visual records.~~

RECORDS COMMON TO MOST OFFICES

12. Publications Files. See page 10a

- a. Record copies of publications accumulated in offices having responsibility for the agency function documented in the publications. These consist of studies, booklets, formal papers, books, etc. prepared by or for the agency's function mandated under the NHTS Act.

- (1) In-house publications. Arranged chronologically within functional areas. 50 cubic feet, 10 cubic feet annually.

Permanent.

Retire to WNRC when 3 years old. Offer records ^{to NARA} in 5 year blocks when 10 years old.

- (2) Publications prepared under grants and contracts. Arranged chronologically within the type of project activity. Est 25 cubic feet, 2 cubic feet annually.

Permanent.

Retire to WNRC when 3 years old. Offer records in 5 year blocks when 10 years old.
^to NARA

- b. Reference copies of publications.

Review annually and destroy material of no further reference value.

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.

N1-416-86-1

PAGE

10a OF 34

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
14.	<p><u>Publication Files</u></p> <p>a. Record copies of publications accumulated in offices having responsibility for the agency function documented in the publication. These consists of studies, booklets, formal papers, books and all related original negatives, photographs, artwork, drawings and cartographic items used in the final reports.</p> <p>(1) In-house publications. Arranged chronologically within functional areas. 50 cubic ft. annually.</p> <p><u>Permanent.</u></p> <p>Retire to WNRC when 3 years old. Offer records to NARA in 5 year blocks when 10 years old.</p> <p>(2) Publications prepared under grants and contracts. Arranged chronologically within the type of project activity. Est. 25 cubic ft., 2 cubic ft. annually.</p> <p><u>Permanent.</u></p> <p>Retire to WNRC when 3 years old. Offer records to NARA in 5 year blocks when 10 years old.</p> <p>b. Reference copies of publications.</p> <p>Review annually and destroy materials of no further reference value.</p>		

II. ADVISORY COMMITTEES RECORDS

15. Advisory Committee Files. (NN 174-44, item 94.)

These are files pertaining to the activities of the National Highway Safety Advisory Committee and the National Driver Register Advisory Committee, including subcommittees and all temporary advisory committees.

- a. Operating documents consisting of the charter, bylaws and membership lists. 4 cubic feet, 1 foot annual accumulation.

Permanent.

Offer to NARA when ¹⁰~~20~~ years old ^{in 5 year blocks} or upon discontinuance of committee or subcommittee whichever is sooner.

- b. Meeting files consisting of agendas, minutes of meeting, committee recommendations and reports and related records. 18 cubic feet, 4 feet annual accumulation.

Permanent.

Cut off annually. Transfer to WNRC when 2 years old.
Offer to NARA when 10 years old in five year blocks.

- c. Administrative Files consisting of records on personnel and routine administrative matters of the committees.

Destroy when 3 years old or sooner if purpose has been served.

III. ENFORCEMENT RECORDS

A. Defects Investigation Records

16. Safety Defects Investigatory Case Files (C Files). (NN 174-44, item 91.)

All documentation involving individual investigations of safety defects on vehicles, equipment and tires. Investigations result from complaints in the form of consumer letters, phone calls, etc. Files consist of complaints and all investigatory material resulting from the investigation including audio-visual materials.

a. Master File containing all material involved in individual cases.

(1) Paper records.

Destroy 5 years after case is closed.

(2) Microfiche records and related audio-visual materials.

Destroy when official purposes have been served.

b. Duplicate File purged of official use only and confidential business information and related audio-visual materials.

Transfer to Technical Reference Division for public use.
Destroy when no longer needed for reference by public.

17. Audit Case Files (A Files).

Audit reports and related records pertaining to recalls of vehicles because of serious safety defects. Audits are made as a result of correspondence, field or headquarters inspections, etc. to determine if manufacturers are complying with recall requirements.

a. Master file containing all material involved in individual cases.

(1) Paper records.

Destroy 5 years after closing.

(2) Microfiche records.

Destroy when official purposes have been served.

b. Duplicate file purged of official use only and confidential business information.

Transfer to Technical Reference Division for public use.
Destroy when no longer needed for reference by public.

ENFORCEMENT

18. Petitions Case Files (P Files).

Numbered petitions from the public involving complaints to achieve some action to correct or remedy various safety defects on vehicles equipment and tires.

a. Rejected petitions.

Cut off annually. Destroy when 3 years old.

b. Approved petitions.

Cut off annually. Destroy when 5 years old.

19. Recall Campaign Files.

Documentation pertaining to manufacturers' recalls because of a vehicle, equipment or tire defect.

a. Paper records.

Destroy when microfilm has been determined to be a satisfactory substitute for the original records.

b. Microfilmed records (roll film).

Destroy when no longer needed for reference.

20. Consumer Letters and Vehicle Owners' Questionnaires. (NN 174-44, item 86.)

Copies of consumer letters and completed form questionnaires (HS Form 3508, or equivalent) involving safety defects reported by consumers.

a. Paper records.

Destroy when microfilm has been determined to be a satisfactory substitute for original records.

b. Microfilm Copies (roll film).

Destroy when no longer needed for reference.

21. Service Bulletins.

Service bulletins sent in by vehicle manufacturers on various subjects involving vehicles.

Review annually. Destroy when no longer needed for reference.

ENFORCEMENT

22. Manufacturers' Operating and Service Manuals.

Copies of printed motor vehicle manuals.

Cut off annually. Do not transfer to WNRC.
Destroy when 10 years old.

23. Defects Information System (ODI/DIS) Files.

A computerized database consisting of information coded in machine-readable language from three sources: consumer letters (Item 20); recall information; (Item 19); and Service ~~Manuals~~ (Item 21).
Bulletins

Destroy information when it has served its purpose.

24. Engineering Analysis Files.

Documentation resulting from formal analyses of reported vehicle and equipment engineering defects.

- a. Documents pertaining to preliminary evaluation to determine if full engineering analysis by staff is warranted or required.

case is
Cut off when ^{case is} closed. Destroy 3 years thereafter.

- b. Engineering analysis documentation consisting of engineers' notes, proprietary information from manufacturers, copies of test reports, etc.

(1) Cases referred for defects investigation.

File documentation in Investigatory Case (C) File (Item 16).

(2) Cases not referred for defects investigation.

Cut off when case is closed.
Destroy when 5 years old.

B. Vehicle Safety Compliance Records

25. General Correspondence Files.

Letters from private individuals, companies and others with replies pertaining to various subjects involving the vehicle safety program and not appropriate for filing in the investigatory case files (Item 26 below). These files are arranged by the name of individual or company as appropriate.

Cut off annually. Destroy when 3 years old.

ENFORCEMENT

26. Investigatory Case Files. N1-416-87-1

Individual files involving investigations into manufacturers' compliance with Federal vehicle safety regulations.

a. Certified Information Requests (CIR) Files.

(1) Paper records.

Destroy when microfiche has been determined to be a satisfactory substitute for original records.

(2) Microfiche copies of records.

Destroy when no longer needed.

b. Preliminary Customs Investigations (PCI).

Files pertaining exclusively to imported vehicles to ensure compliance with Federal vehicle safety regulations.

Cut off when file is closed. Retire to WNRC 1 month after case is closed. Destroy 2 years after closing of file.

27. Test Records.

a. Copies of vehicle test reports provided by contractors and the Vehicle Research and Test Center (VRTC).

(1) Paper records in Headquarters Office.

Destroy when microfiche has been determined to be a satisfactory substitute for original records.

(2) Microfiche copies of records.

Destroy when no longer needed.

(3) Copies of test reports and related documents maintained by the VRTC.

Destroy 1 year after reports of tests are sent to NHTSA Headquarters

b. Machine readable records. See page 15a

(1) Data used in the testing of vehicles, vehicle parts and accessories which are created under contract and are in the possession of the contractor.

Submit SF 258, Request for Transfer of Records.

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION		JOB NO N1-416-86-1	PAGE 15a OF 34
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
27b.	<p><u>Machine Readable Records</u></p> <p>(1) Data used in the testing of vehicles, vehicle parts and accessories which are created under contract and are in the the possession of the contractor.</p> <p>Transfer to NHTSA. See items 27b-2 and 27b-3 for authorized disposition.</p>		

ENFORCEMENT

GRS 20, Part 1,
Item 17

~~(2) Data used in testing vehicles, vehicle parts and accessories.~~

~~Dispose of after three or more update cycles or when no longer required.~~

GRS 20, Part 1
Item 18

~~(3) Digital or analog data which are not calibrated or validated used in observation or measurement activities in tests.~~

~~Dispose of after subsequent magnetic media have been created.~~

(4) Magnetic tapes produced as final products which are used in testing programs.

Destroy when 5 years old.

28. Activity Reports.

Computer reports on ongoing investigatory and testing activities pertaining to the vehicle safety compliance program.

a. Reports for the first three quarters.

Destroy when new report is received.

b. Report for the Fourth Quarter (annual report).

(1) Paper records.

Destroy when microfiche and film has been determined to be a satisfactory for original records.

(2) Microfiche copies of records.

Destroy when no longer needed.

C. Odometer Fraud Records

29. Investigatory Case Files.

Case files containing all investigatory documentation relating to odometer rollback or hampering by sellers of used motor vehicles.

a. Cases where illegality has been established.

(1) Regional offices (NHTSA Region 1, 4, 7 and 9) files.

Transfer files to Odometer Fraud Staff in Washington when investigation is completed.

ENFORCEMENT

(2) Headquarters Files.

Destroy 5 years after case is closed.

b. Unfounded Cases - Regional and Headquarters.

Destroy 5 years after case is closed.

30. General Correspondence Files.

Correspondence of a general nature arranged by States and subject as appropriate pertaining to the odometer fraud program and not appropriate for filing in the individual investigatory files (Item 29).

Cut off annually. Destroy when 5 years old.

IV. LEGAL RECORDS

31. Subject Files.

1970-1978. Arranged chronologically. 36 cubic feet, ~~1 cubic foot annually.~~

These files consist of official copies of correspondence reports and other documentary materials pertaining to the development of Federal Motor Vehicles rules and regulations and the development of policy relating to the Agency's mission.

Permanent.

~~Retire to WNRC when 10 years old. Offer to the NARA when 30 years old.~~ Records covered by GRS are disposable. ^{immediately.}

32. General Law Subject Files.

Correspondence, reports, legal opinions, and other documents pertaining to the application of general law. Arranged subjectively. 4 cubic ft., 2 cubic feet annually.

Permanent.

Cut off files annually. Retire to WNRC when 5 years old. Offer to NARA when 10 years old.
A in 5 year blocks

33. General Information Correspondence Files.

Routine correspondence pertaining to inquiries received that relate to a variety of subjects on Federal motor vehicle and equipment standards and regulations and other matters to NHTSA's involvement in motor vehicle safety.

Cut off annually. Destroy when 2 years old.

34. Foreign Importers' Agent Files.

These files consist of correspondence pertaining to the appointment by foreign importers of motor vehicles and equipment of agents to represent them in the United States.

Destroy when information is superseded or obsolete or no longer needed.

35. Federal Motor Vehicles Standards and Regulations File. (NN 174-44, item 36.)

This file arranged numerically by standard number, consists of notices of correspondence, internal memoranda, and related material pertaining to the issuance of rules, regulations and interpretations for motor vehicles and motor vehicle equipment and fuel economy standards. 3 cubic ft., 1 ft. annual accumulation.

Permanent.

LEGAL RECORDS

Cut off annually. Retire to WNRC when 5 years old.
Offer to NARA when 10 years old. in 5 year blocks.

36. Legislative Files.

Copies of NHTSA's statutes and comments on drafts of proposed legislation and pending bills. Also included are transcripts of Congressional committee hearings on proposed legislation, and related documents.

Destroy when 10 years old.

37. Litigation Case Files. (NN 174-44, item 34.)

Chronologically arranged copies of pleadings, briefs, depositions, general correspondence and other court documents pertaining to court proceedings in which NHTSA has an interest, including but not limited to cases involving judicial revisions of agency rulemaking; enforcement of the recall provisions of the Safety Act; possible civil penalties in motor vehicle safety standards enforcement; odometer enforcement; and administrative case proceedings. ~~4 cubic feet, 2 cu. ft. annually,~~
150 cubic feet, 25 feet annually.

~~a. Precedent and other cases of major significance.~~

Permanent.

Cut off when case is closed. Retire to WNRC ⁵10 years after case is closed. Offer ~~principal pleadings,~~ in 5 year blocks ~~motions, briefs, court orders and transcripts of proceedings~~ to NARA 10 years after case is closed. ~~The remaining documents should be destroyed in accordance with disposition instructions for routine cases, b), (1) and (2).~~

~~b. Routine Cases.~~

~~(1) All documents filed in the case except for depositions.~~

~~Retire to WNRC 2 years after case is closed. Destroy 10 years after case is closed.~~

~~(2) Depositions.~~

~~Destroy 1 year after case is closed.~~

38. Odometer Rollback Files.

Correspondence and reports on alleged odometer rollbacks on used cars sold or offered for sale.

Cut off when case has been closed. Destroy 2 years after case has been closed.

LEGAL RECORDS

39. Safety Related Defects Case Files.

Correspondence and other documents relating to matters involving equipment and vehicle safety defects referred to the Chief Counsel for action.

Cut off when case is closed. Destroy 5 years after case is closed.

40. Vehicle Safety Standards Enforcement Case Files.

The files contain all documentary materials accumulated by the Office of Chief Counsel in resolving safety standards compliance standards cases forwarded by the Office of Vehicle Safety Compliance for further action.

Cut off when case is closed. Destroy 3 years after case is closed.

V. PLANS AND POLICY RECORDS

41. Regulatory Analyses Evaluation Files.

- a. Copies of proposed standards or regulations, staff comments, a copy of the regulatory Impact Analysis and related correspondence.

Review files annually. Destroy when files are no longer needed for reference.

- b. ~~xx~~ Special Studies Files. Arranged by subject. Est. 5 cubic feet, less than 1 cubic foot annually.

Permanent.

Cut off when study is completed. Retire to WNRC when 3 years old. Offer to NARA in 5 year blocks when 10 years old.

42. Agency Safety Planning File.

- a. One ^{record} copy of the Planning for Safety Priorities publication. Arranged chronologically.

Permanent.

See item 14.a.(2) for authorized disposition.

- b. Copies of the Plan used for reference.

Destroy when no longer needed.

43. Evaluation Project Files.

Final Evaluation Reports and related correspondence regarding the effectiveness of existing MV standards and regulations.

- a. One ^{record} copy of each study or evaluation
30 cu.ft., 1 cu.ft. annually.

Permanent.

Cut off when evaluation or study is completed. Retire to WNRC when 3 years old. Offer to NARA in 5 year blocks when 10 years old.

- b. Background material pertaining to studies and evaluations.

Cut off when study or evaluation is completed. Destroy 3 years after cutoff.

VI. PUBLIC AND CONSUMER AFFAIRS RECORDS

44. NHTSA News Files.

Record copy of employee monthly newsletter.

Permanent.
Cut off annually.
Transfer to NARA in 5 year blocks when 10 years old.

45. Annual Report File.

Agency copies of NHTSA & DOT submissions of annual reports to Congress with supporting material.

Destroy 3 years after submission.

46. Audio-Visual Files.

(See Also, I. RECORDS COMMON TO ALL OFFICES, Item 13.)

a. Video Cassettes.

Files consist of cassettes of video tapes made up of television news and other programs dealing with motor vehicle safety (auto accidents, drunk driving, safety belt usage, auto recalls, etc.)

Destroy when purpose has been served.

b. 16mm Films.

These are prepared under the crashworthiness program. ^{Record} Copies are included in the Rulemaking Docket File.

Destroy when no longer needed for reference.

VII. RESEARCH AND DEVELOPMENT (R&D) RECORDS

47. R&D Project Proposal Files.

Files pertaining to the unsolicited proposals for research projects.

a. Proposals resulting in authorized projects.

File with project file and follow disposition instructions as indicated in Item 48.

b. Rejected proposals.

Destroy 5 years after proposals are rejected.

48. R&D Project Files. (NN 174-44, item 87-88.)

Project files documenting a complete history of each project from initiation through research and testing to completion.

a. Project Procurement Files.

The files consist of pre-award documents , a copy of the contract or agreement, with related modifications, changes or addendums; test and trial results; drawings specifications, photographs, reports, notice of completion or cancellation, and general correspondence relating to the project.

Transfer to inactive file upon receipt of project closeout. Destroy 6 years after project closeout.

b. In-house Project Files.

The files consist of all project documentation on projects initiated and performed by agency staff in Headquarters and the Vehicle Research and Test Center (VRTC).

Transfer to inactive file upon receipt of project closeout. Destroy 6 years after project closeout.

c. Projects' Technical Reports and Publications.

Publications and preliminary, progress and final reports of R&D projects whether undertaken by NHTSA staff or done under contract by outside sources.

(1) Preliminary and progress reports (official file copies).

~~See disposition in 48.a) and b).~~

File with appropriate case file.

RESEARCH AND DEVELOPMENT RECORDS

- (2) Final project reports and technical publications (official file copies).

Permanent.

14a(2)

See item ~~24~~ for authorized disposition.

- (3) Extra copies of all reports and publications used for reference.

Destroy when no longer needed for reference in individual offices.

d. Machine Readable Files. See page 24a

- ~~(1) Data used in research and development projects created under contract and are in the possession of the contractor.~~

~~Submit SF 258, Request for Transfer of Records.~~

- ~~(2) Data used in the development, fabrication, construction, testing, and/or routine operation of vehicles, vehicle parts and accessories created in research and development programs.~~

~~Dispose of after three or more update cycles or when no longer required for the program.~~

- ~~(3) Digital or analog data in research and development programs not calibrated or validated.~~

~~Dispose of after subsequent magnetic media have been created.~~

- ~~(4) Magnetic tapes produced as final products which are used in research and development programs. Arranged by functional activity. 5 cubic feet, less than 1 cubic foot annually.~~

WITHDRAWN

Permanent.

Offer to NARA when 5 years old.

~~49. Dynamic Crash and Biomechanics Data Files. See page 24a.~~

~~Files consist of data tapes, reports and film. (Reports and film are transferred to the Technical Reference Division and made a part of the NHTSA docket file and retained as a permanent record.)~~

~~Destroy data tapes when 15 years old and copies of reports and film when no longer needed.~~

GRS 20, Part 1,
Item 17

GRS 20, PART 1,
Item 18

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION		JOB NO. N1-416-86-1	PAGE 24 _{OF} 34
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
48d.	<p><u>Machine Readable Files</u></p> <p>(1) Data used in research and development projects created under contract and are in the possession of the contractor.</p> <p>Transfer to NHTSA. See items 48d-2 and 48d-3 for authorized disposition.</p>		
49.	<p><u>DYNAMIC CRASH AND BIOMECHANICS DATA FILES</u></p> <p>Test records on the crashworthiness of a vehicle where anthropomorphic test dummies are used. Files consist of data tapes, reports and film.</p> <p><u>a. Reports and film</u></p> <p>Transfer originals to docket file in TRD. Destroy duplicates when no longer needed.</p> <p><u>b. Data tapes.</u></p> <p>Destroy data tapes when 15 years old.</p>		

RESEARCH AND DEVELOPMENT RECORDS

50. Files of the National Center for Statistics and Analysis.

- a. Data tapes, tape documentation and technical documentation essential to an understanding of the data tapes pertaining to the Fatal Accident Reporting System (FARS) and the National Accident Sampling System (NASS). 1.5 cubic feet, ~~2/2~~ ft. annual accumulation.

1/2

Permanent.

directly
Offer [^]to NARA annually.

- b. Paper records, 35 mm slides and microfiche of all NASS accident cases.

Destroy when no longer needed for reference.

- c. Final printed reports

See item 14a(1) for authorized disposition.

VIII. RULEMAKING RECORDS

51. Rulemaking Docket File. (NN 174-44, item 37.)

File arranged numerically by docket number, consists of all rulemaking standards and regulations pertaining to rules established under the NHTS Act. Included are FR Notices, comments from the public, staff interpretations, Impact Analysis report, film records, press notices, etc. Except for the film file, documents are microfiched.

* a. Paper Records, 1981- PERMANENT. Cutoff closed dockets at end of F Transfer to WNRC when 5 years old. Transfer to NARA when 10 years old in 5 year blocks. ~~Destroy when microfiche has been determined to be a satisfactory substitute for the original records.~~

b. Microfiche File, 1981- / Optical Disc records

~~(1) Silver halide copy and one disc copy of microfiche. 5 cubic feet, less than 1 cubic foot annually.~~

Permanent.

~~Retire to WNRC after filming. Offer to NARA when 10 years old. In 5 year blocks.~~

(2) Reference (~~microfiche~~) copies ~~of microfiche.~~

Destroy when no longer usable for reference.

c. Original Docket Records c.a. 196⁸-1980. The silver master copy for these records has been lost. Arranged by docket number. 200 cubic feet.

Permanent.

Retire to WNRC immediately. Offer to NARA when 10 years old.

d. and e. See page 26a

52. Motor Vehicle Standards Files.

a. Copies of standards and regulations (final rules and amendments) published in the Federal Register. These are copies of the MVSS rules with agency concurrences signed by the Administrator and maintained by the Executive Secretariat.

Cut off files annually. Destroy when 5 years old.

b. Copies of Notice of Proposed Rulemaking, Notice of Receipt of Petition and Denial of Petition on Rulemaking, and signed copies indicating clearances with background material of those rules signed by the Associate Administrator for Rulemaking and information copies of Final Rules and Amendments.

*see memo dated
7/24/91*

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION		JOB NO. N1-416-86-1	PAGE 26a of 34
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
51d.	<u>Docket audio-visual items</u> <u>Permanent.</u> Offer to NARA in accordance with dispositions under items 13c-17, 13c-18 and 13c-19. If not accepted by NARA, destroy immediately.		
51e.	<u>Docket finding aid.</u> <u>Permanent.</u> Transfer finding aid to NARA with related dockets.		

RULEMAKING RECORDS

Cut off files annually. Transfer to WNRC 2 years after cutoff. Destroy when 10 years old.

53. NHTSA/Industry Technical Public Meeting Files.

Chronologically arranged copies of meeting agenda, FR Notices, verbatim transcripts (uncorrected) of meetings and related correspondence. (NOTE: Copies of corrected transcripts are in official docket file.)

Cut off annually. Transfer to WNRC 2 years after cutoff. Destroy when ~~10~~ years old.

5

54. Rulemaking Reference Files.

These consist of copies of rules, technicians' notes and drafts of rules and related working files used for the development of rules.

Destroy when superseded, obsolete or no longer needed for reference.

55. Confidential Business Information Files.

Confidential data that is provided by manufacturers and used by the rulemaking staff in the development of standards and for other reference purposes.

Cut off annually. Destroy when 3 years old.

56. Retread Tires Files.

Correspondence and related material pertaining to manufacturers of retread tires requests for NHTSA tire codes or cancellation of code.

a. Correspondence.

Destroy 2 years after cancellation of code.

b. Printouts of codes.

Destroy when updated.

57. New Car Assessment Program (NCAP) Files.

Copies of NCAP reports and 16mm film. A complete set of reports and film has been docketed under Docket 83-03-NPRM-NO-1. Copies of NCAP Test Results are attached to press releases which are also docketed.

Destroy when reference use has been exhausted.

RULEMAKING RECORDS

58. Petition Files.

Files maintained in the Executive Secretariat consisting of petitions received from outside sources requesting from NHTSA a right or benefit under existing Federal Law and Regulations relating to motor vehicles standards. Files consist of petitions by type as follows:

- (1) Rulemaking - Vehicle Standards
- (2) Rulemaking - Enforcement Procedures
- (3) Rulemaking - Procedural Rules
- (4) Temporary Safety Exemption
- (5) Inconsequential Defect or Noncompliance
- (6) Fuel Economy Exemption
- (7) Fuel Economy Standard Reduction
- (8) Defect or Noncompliance Investigation
- (9) Hearing on Adequacy of Defect or Noncompliance Remedy.

Cut off after action on petition is taken. Destroy 5 years after action is taken.

59. Manufacturers' Identification Files.

Submission in the form of letters from Vehicle Manufacturers providing corporate name and address, State where incorporated, type of vehicle manufactured and related information.

Destroy when superseded or obsolete.

IX. TRAFFIC SAFETY PROGRAMS RECORDS

A. Program Operations Records

~~60. Highway Safety Plans (HSP). (NC 1-416-79-1, item 1.)~~

Files include copies of State and Indian programs plans and changes, Federal aid agreements, revisions, financial data, summary of costs, progress reports and evaluations, with related correspondence.

~~a. Headquarters Files.~~

Destroy when 5 years old.

~~b. Regional Office Files.~~

Cutoff at end of fiscal year. Transfer to the Federal Records Center 4 years after period of the account.

Destroy 6 years and 3 months after period of the account.

~~61. State Legislation Files.~~

Copies of introduced and enacted state legislation related to various aspects of highway traffic safety, including alcohol, and drunk driving, legal age for drinking, etc.

Destroy when 2 years old or when no longer needed, whichever is sooner.

~~62. Regional Action Plan Files. See page 29a~~

Copies of action plans (Form HS 357 or its equivalent) sent by the Regions to Headquarters for evaluation and comment.

Destroy when 1 year old.

B. State Programs Assistance Records

~~63. Disclosure Letters.~~

Correspondence pertaining to requests from States regarding drivers' previous driving records in other states.

Cut off annually. Destroy when 7 years old.

~~64. National Driver Register (NDR) Master File. (NN 172-60, item 1.) See page 29a~~

Magnetic tape/disk records of drivers whose licenses have been denied or revoked by State driver licensing officials as reported to the NDR by those officials. The Transportation Computer Center (TCC) maintains a copy of the magnetic tape master file at the TCC relocation site, updating this backup file every three months.

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION		JOB NO N1-416-86-1	PAGE 29a of 34
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
62.	<p><u>Regional Action Plan Files.</u></p> <p>Action plans (form HS 357 or its equivalent) by regions on activities planned for the year.</p> <p>a. Headquarters Files. Copies of action plans submitted by regions. Destroy when 1 year old.</p> <p>b. Regional Files. Cut off at end of fiscal year. Destroy when 3 years old.</p>		
64.	<p><u>National Driver Register (NDR) Master File</u></p> <p>Magnetic tape/disc records of drivers whose licenses have been denied or revoked by state driver licensing officials as reported to the NDR by those officials. Headquarters maintains a copy of the magnetic tape master files along with the contractor. The contractor updates the backup files every three months.</p> <p>a. Non-Mandatory Offense Information. Destroy when 5 years old.</p> <p>b. Mandatory Offense Information Destroy when 7 years old.</p>		

TRAFFIC SAFETY PROGRAMS RECORDS

~~a. Non-mandatory Offense Information. See page 29a~~

~~Destroy when 5 years old.~~

~~b. Mandatory Offense Information.~~

~~Destroy when 7 years old.~~

65. Delayed Search File. (NN 172-60, item 2.)

Consists of individual names submitted to the NDR by the States, to be searched for a period of 104 days.

Destroy when 105 days old.

66. NDR One-year Manual Backup File (Source Documents). (NN 172-60, item 4.)

Consists of manual backup source documents submitted by State driver licensing officials concerning license withdrawal and denial actions taken against drivers in the respective States. Types of records include State source documents (punched card and manual forms and computer printout listings produced from State-submitted magnetic tape records).

Destroy when 1 year old.

67. Matched Driver Record Report File. (NN 172-60, item 5.)

Consists of computer-produced matched records representing identifications with reports on the NDR Master file resulting from search request submitted by State and Federal driver licensing officials. Originals are transmitted to inquiring States and Federal agencies. There are two types of matched records:

a. Automated, stored on disk packs, and

b. Manual file.

Destroy when 7 years old.

68. State General Correspondence File. (NN 172-60, item 8.)

A file of general correspondence concerning matters related to the operating procedures regarding State intersections with the NDR.

Destroy when 5 years old or when obsolete (whichever is longer).

TRAFFIC SAFETY PROGRAMS RECORDS

69. State Technical Correspondence File.(NN 172-60, item 9.)

Consists of correspondence of a technical nature regarding the computer operations of the NDR.

Destroy when 5 years old or when obsolete (whichever is longer).

70. Recurring NDR Listings. (NN 172-60, items 10-19.)

Consists of computer-produced listings from daily, bi-weekly, and disclosure file processing including but not limited to the following:

<u>PROGRAM #</u>	<u>NAME</u>
F10LCO2A	Conversion Statistical Report
FIRE*	State Conversion Stat Listings
F10LP01A	Batch Statistics (Edit) Listing
F10LP01A	Control Card Listing
F10LD06A	Backup-generated Transactions File Stat Rpt
F10LM01D	Update Audit Trail Stat Listing
F10M01D	Update Stat Listing
F10LI01A	Inquiry Stat Report
F10LD07A	Seq Disclosure Master File Update Stat Rpt
F10LRO2A	Transactions by Jurisdiction Stat Listing
F10LRO2A	Batch Reconstruction Error Listing
F10LRO2A	Batch Reconstruction Unmatched Deletions Rpt
F10LRO2A	Deleted/Disclosed Report

*A unique job number for each State's conversion run.

Destroy when 90 days old.

71. State Participation Summary Totals Report.

A monthly automated report of statistical data regarding the usage of the NDR system by its full user community.

Destroy the monthly reports only after the calendar year report for the following year has been received.

72. Original Source (Search) Inquiries File. (NN 172-60, item 21.)

Consists of documents submitted by State and Federal driver licensing officials requesting an automated search of the NDR master file as follows:

a. State-submitted inquiries.

Destroy when 2 weeks old.

b. Federally-submitted inquiries.

Destroy when 105 days old.

TRAFFIC SAFETY PROGRAMS RECORDS

C. Enforcement and Emergency Services Records Emergency Medical Services

73. Project Files.

Research and development project card files consisting of a complete history of each project undertaken under Section 403 of the Highway Safety Act from initiation through completion. Files include procurement action consisting of a copy of the contract or agreement, with related modifications, changes, or addenda; demonstration, test, or trial results; project products; technical and progress reports; notice of completion or cancellation; audio/visual materials and correspondence relating to the project.

Transfer to inactive file upon receipt of project completion or termination notice. Retire to WNRC 3 years after project completion. Destroy 6 years after project completion or termination.

74. Agency/Professional/Organization Meeting Files.

Chronologically arranged copies of meeting agenda, verbatim transcripts or minutes and related correspondence.

Cut off annually. Retire to WNRC 2 years after cutoff. Destroy when 10 years old.

75. EMS Portions of Annual Highway Safety Plans (HSP) and Annual State and Community Reports Based upon the HSP's.

File consists of the EMS portions of the State HSPs, State expenditures on EMS according to the HSP, and the Division's Annual State and Community Report based upon this information.

Cut off files annually. Retire to WNRC 2 years after cutoff. Destroy when 5 years old.

76. Military Assistance to Safety and Traffic (MAST) Files.

Consists of copies of Federal records, Federal agency correspondence, reports, and research results establishing the National MAST Program, as well as individual project site reports, minutes of meetings, PR reports, operational letters of agreements, and procedure manuals.

a. National Project Files.

See Disposition in Item 73.

TRAFFIC SAFETY PROGRAMS RECORDS

b. Individual Project Files.

Cut off when project is completed. Retire to WNRC 2 years after completion of project. Destroy 5 years after completion of project.

D. Police Traffic Service Records

77. ~~55~~ MPH Speed Limit Certification File.

Reports submitted by the individual States certifying that they are in compliance with Federal laws as detailed in the Highway Safety Act.

Destroy 3 years after certification.

GENERAL RECORDS SCHEDULE ITEMS

78. ~~1.~~ ~~GRS 1, Item 30 a. (1)~~

TRAINING RECORDS

a. TRAINING AIDS

- (1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency.

Destroy when obsolete or superseded.

79. ~~3.~~ ~~GRS 5, Item 2.a~~

Budget Estimates and Justification Files.

- a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data.

Cut off annually. Destroy when 6 years old.

~~80. ~~1.~~ GRS 14, Item 2~~

Information Subject Files.

~~Subject files of formally designated informational offices, not covered elsewhere in this schedule.~~

WITHDRAWN

~~Destroy when 5 years old.~~

WITHDRAWN

81. ~~2.~~ ~~GRS 16, Item 1.b~~

FORMAL DIRECTIVES, PROCEDURAL AND OPERATIONS MANUALS

- b. Case files related to (a) above which document important aspects of the development of the issuance.

Destroy when 3 years old.

82. ~~1.~~ ~~GRS 16, Item 5~~

Management Improvement Reports.

Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.

Destroy when 2 years old.

~~Permanent. Retire to WNRC when 5 years old. Offer to NARA in 5 year blocks when 20 years old.~~

RECORDS SCHEDULE

TABLE OF CONTENTS

Chapter I. RECORDS COMMON TO MOST OFFICES

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>	
1.	1.	Program Subject Files	P
1.	2.	Reading or Chronological Files	
1.	3.	Office Administrative Files	
2.	4.	Schedules of Daily Activities	
2.	5.	Suspense Files	
3.	6.	Transitory Files	
3.	7.	Routine Control Files	
3.	8.	Technical Reference (working) Files	
4.	9.	Office Individual Personnel Files	
4.	10.	Contract & Grant Management Project Files	P
4.	11.	General Reports Files	
4.	12.	Audit Files	
5.	13.	Audio-Visual Files	
5.	a.(5)	Still Photography	P
6.	b.(10)	Graphic Arts	P
6.	c.	Motion Pictures	P
8.	d.	Video Recordings	P
10.	14.	Publication Files	P

Chapter II. ADVISORY COMMITTEES RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
-------------	-----------------	-------------------

11.	15.	Advisory Committee Files
-----	-----	--------------------------

P

Chapter III. ENFORCEMENT RECORDS

A. Defects Investigation Records

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
-------------	-----------------	-------------------

12.	16.	Safety Defects Investigatory Case Files (C Files)
-----	-----	---

12.	17.	Audit Case Files (A Files)
-----	-----	----------------------------

13.	18.	Petitions Case Files (P Files)
-----	-----	--------------------------------

13.	19.	Recall Campaign Files
-----	-----	-----------------------

13.	20.	Consumer Letters & Vehicle Owners' Questionnaires
-----	-----	---

13.	21.	Service Bulletins
-----	-----	-------------------

14.	22.	Manufacturers' Operating and Service Manuals.
-----	-----	---

14.	23.	Defects Information System (ODI/DIS)
-----	-----	--------------------------------------

14.	24.	Engineering Analysis Files
-----	-----	----------------------------

B. Vehicle Safety Compliance Records

14.	25.	General Correspondence Files
-----	-----	------------------------------

15.	26.	Investigatory Case Files
-----	-----	--------------------------

15.	27.	Test Records
-----	-----	--------------

16.	28.	Activity Reports
-----	-----	------------------

16.	29.	Investigatory Case Files
-----	-----	--------------------------

17.	30.	General Correspondence Files
-----	-----	------------------------------

Chapter IV. LEGAL RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>	
18.	31.	Subject Files	P
18.	32.	General Law Subject Files	P
18.	33.	General Information Correspondence Files	
18.	34.	Foreign Importers' Agent Files	
18.	35.	Federal Motor Vehicles Standards and Regulations File	P
19.	36.	Legislative Files	
19.	37.	Litigation Case Files	P
19.	38.	Odometer Rollback Files	
20.	39.	Safety Related Defects Case Files	
20.	40.	Vehicle Safety Standards Enforcement Case Files	

Chapter V. PLANS AND POLICY RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>	
21.	41.	Regulatory Analyses Evaluation Files	P
21.	42.	Agency Safety Planning File	P
21.	43.	Evaulation Project Files	P

Chapter VI. PUBLIC AND CONSUMER AFFAIRS RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
22.	44.	NHTSA News Files
22.	45.	Annual Report File
22.	46.	Audio-Visual Files

Chapter VII. RESEARCH AND DEVELOPMENT (R&D) RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>	
23.	47.	R7D Project Proposal Files	
23.	48.	R&D Project Files	P
24.	49.	Dynamic Crash and Biomechanics Data Files	
25.	50.	Files of the National Center for Statistics and Analysis	P

Chapter VIII. RULEMAKING RECORDS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>	
26.	51.	Rulemaking Docket File	P
26.	52.	Motor Vehicle Standards Files	
27.	53.	NHTSA/Industry Technical Public Meeting Files	
27.	54.	Rulemaking Reference Files	
27.	55.	Confidential Business Information Files	
27.	56.	Retread Tires Files	
27.	57.	New Car Assessment Program (NCAP) Files	
28.	58.	Petition Files	
28.	59.	Manufacturers' Identification Files	

Chapter IX. TRAFFIC SAFETY PROGRAMS RECORDS

A. Program Operation Records

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
29.	60.	Highway Safety Plans (HSP)
29.	61.	State Legislation Files
29.	62.	Regional Action Plan Files

B. State Programs Assistance Records

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
29.	63.	Disclosure Letters
29.	64.	National Driver Register (NDR) Master File
30.	65.	Delayed Search File
30.	66.	NDR One-Year Manual Backup File (Source Documents)
30.	67.	Matched Driver Record Report File
30.	68.	State General Correspondence File
31.	69.	State Technical Correspondence File
31.	70.	Recurring NDR Listings
31.	71.	State Participation Summary Totals Report
31.	72.	Original Source (Search) Inquiries File

C. Enforcement and Emergency Services Records

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
32.	73.	Project Files
32.	74.	Agency/Professional/Organization Meeting Files
32.	75.	EMS Portions of Annual Highway Safety Plans (HSP) and Community Reports Based upon the HSP's
32.	76.	Military Assistance to Safety and Traffic (MAST) Files
33.	77.	55 MPH Speed Limit Certification File

GENERAL RECORDS SCHEDULE ITEMS

<u>Page</u>	<u>Item No.</u>	<u>Item Title</u>
34.	1.	Training Records
34.	2.	Budget Estimates and Justification Files
34.	3.	Information Subject Files
34.	4.	Formal Directives, Procedural and Operations Manuals
34.	5.	Management Improvement Reports

NHTSA RECORDS SCHEDULE INDEX

<u>Page</u>	<u>Item</u>	<u>Series Title</u>	
33.	77.	55 MPH Speed Limit Certification File	
16.	28.	Activity Reports	
11.	15.	Advisory Committee Files	P
21.	42.	Agency Safety Planning File	P
32.	74.	Agency/Professional/Organization Meeting Files	
22.	45.	Annual Report File	
22.	46.	Audio-Visual Files	
5.	13.	Audio-Visual Files	
12.	17.	Audit Case Files (A Files)	
4.	12.	Audit Files	
4.	2.	Budget Estimates and Justification Files	
27.	55.	Confidential Business Information Files	
13.	20.	Consumer Letters & Vehicle Owners' Questionnaires	
4.	10.	Contract & Grant Management Project Files	P
14.	23.	Defects Information System (ODI/DIS)	
30.	65.	Delayed Search File	
29.	63.	Disclosure Letters	
24.	49.	Dynamic Crash and Biomechanics Data Files	
32.	75.	EMS Portions of Annual Highway Safety Plans (HSP) and Community Reports Based upon the HSP's	
14.	24.	Engineering Analysis Files	
21.	43.	Evaluation Project Files	P
18.	35.	Federal Motor Vehicles Standards and Regulations	P
25.	50.	Files of the National Center for Statistics and Analysis	P
18.	34.	Foreign Importers' Agent Tiles	
34.	4.	Formal Directives, Procedural and Operations Manuals	
14.	25.	General Correspondence Files	
17.	30.	General Correspondence Files	
18.	33.	General Information Correspondence Files	
18.	32.	General Law Subject Files	P
4.	11.	General Reports Files	
6.	13b.(10)	Graphic Arts	P
29.	60.	Highway Safety Plans (HSP)	
34.	3.	Information Subject Files	
15.	26.	Investigatory Case Files	
16.	29.	Investigatory Case Files	
19.	36.	Legislative Files	
19.	37.	Litigation Case Files	P

<u>Page</u>	<u>Item</u>	<u>Series Title</u>	
34.	5.	Management Improvement Reports	
28.	59.	Manufacturers' Identification Files	
14.	22.	Manufacturers' Operating and Service Manuals.	
30.	67.	Matched Driver Record Report File	
32.	76.	Military Assistance to Safety and Traffic (MAST) Files	
6.	13.c.	Motion Pictures	P
26.	52.	Motor Vehicle Standards Files	
30.	66.	NDR One-Year Manual Backup File (Source Documents)	
22.	44.	NHTSA News Files	
27.	53.	NHTSA/Industry Technical Public Meeting Files	
29.	64.	National Driver Register (NDR) Master File	
27.	57.	New Car Assessment Program (NCAP) Files	
19.	38.	Odometer Rollback Files	
1.	3.	Office Administrative Files	
4.	9.	Office Individual Personnel Files	
31.	72.	Original Source (Search) Inquiries File	
28.	58.	Petition Files	
13.	18.	Petitions Case Files (P Files)	
1.	1.	Program Subject Files	P
32.	73.	Project Files	
10.	14.	Publication Files	P
23.	47.	R&D Project Proposal Files	
23.	48.	R&D Project Files	P
1.	2.	Reading or Chronological Files	
13.	19.	Recall Campaign Files	
31.	70.	Recurring NDR Listings	
29.	62.	Regional Action Plan Files	
21.	41.	Regulatory Analyses Evaluation Files	P
27.	56.	Retread Tires Files	
3.	7.	Routine Control Files	
26.	51.	Rulemaking Docket File	P
27.	54.	Rulemaking Reference Files	
12.	16.	Safety Defects Investigatory Case Files (C Files)	
20.	39.	Safety Related Defects Case Files	
2.	4.	Schedules of Daily Activities	
13.	21.	Service Bulletins	
30.	68.	State General Correspondence File	
29.	61.	State Legislation Files	
31.	71.	State Participation Summary Totals Report	
31.	69.	State Technical Correspondence File	
5.	13.a.(5)	Still Photography	P
18.	31.	Subject Files	P
2.	5.	Suspense Files	

<u>Page</u>	<u>Item</u>	<u>Series Title</u>
3.	8.	Technical Reference (working) Files
15.	27.	Test Records
34.	1.	Training Records
3.	6.	Transitory Files
20.	40.	Vehicle Safety Standards Enforcement Case Files
8.	13.d.	Video Recordings

P