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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |   | JOB NUMBER<br>N1-406-09- 14  |  |
| TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001  |   | Date received  |  |
| 1 FROM (Agency or establishment)<br>Department of Transportation (DOT)   |   | NOTIFICATION TO AGENCY<br><br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |  |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<br>Federal Highway Administration (FHWA)   |   |  |  |
| 3 MINOR SUBDIVISION<br>Office of Planning, Environment, and Realty (HEP), Office of Natural and Human Environment (HEPN)   |   |  |  |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br>Robert Kafalenos  | 5 TELEPHONE NUMBER<br>202-366-2079  | DATE<br>10-7-09  | ARCHIVIST OF THE UNITED STATES<br><i>Adrienne Thomas</i> |
| 6 AGENCY CERTIFICATION<br>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>3</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,<br><br><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested |   |  |  |
| DATE<br><i>June 30, 2009</i>   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Victor S. Wagner</i>   |  | TITLE<br>Records Officer                                 |
| 7 ITEM NO  | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  | 9 GRS OR SUPERSEDED JOB CITATION   | 10 ACTION TAKEN (NARA USE ONLY)                          |
|  | This schedule covers the Congestion Mitigation and Air Quality (CMAQ) System records in the Office of Planning, Environment, and Realty's (HEP's) Office of Natural and Human Environment (HEPN), maintained in the Washington Headquarters Office of the Federal Highway Administration (FHWA).<br><br>See attached. |  |  |

**Congestion Mitigation and Air Quality (CMAQ) System**

New

The CMAQ System is a repository for data from States on their CMAQ projects. The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), signed by the President August 10, 2005, required maintenance of a cumulative database of information on projects and emissions reductions. However, reporting began with the start of the CMAQ Federal-aid funding program in 1992. The information is submitted by the Divisions to FHWA Washington Headquarters (HQ). Reporting using the CMAQ system began in about 2004. All reports going back to the start of the program, in 1992, have been digitized and uploaded into the system.

Generally, the data is put together by the States or in some cases the Metropolitan Planning Organizations (MPOs). FHWA Divisions and, to a lesser extent, HQ, provide some level of review of the information, particularly the level of funding for each project and the emissions reduction (or, emissions benefits)

The CMAQ System simplifies the process of submitting the required annual report and can be used to generate spreadsheets and graphic reports of how the funding was used and the expected emissions reductions. The CMAQ System runs on both Microsoft's Internet Explorer and Netscape's Navigator. The System uses an Oracle9I database to store project information, and Seagate's Crystal Reports to generate reports on projects. There are four types of users in the CMAQ System: MPOs, State Departments of Transportation (DOTs), FHWA Divisions, and HQ. The system became operational in about 2004, though some States started using it earlier, and others later. For more information about the system, see the CMAQ Tracking Users Guide

The system allows States and MPOs to enter data for FHWA Divisions' approval electronically, and it allows the Divisions, in turn, to review and forward the data to Washington Headquarters. The system is set up to allow editing of data, entering data for multi-year projects with only obligation updates needed in subsequent years, and the ability to create MPO- and State-level reports. This Web-enabled system provides users with a simple, efficient way of entering and monitoring project information gathered

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| 1 | <p>by fiscal year. At present, it is only available to users who have been given a password. Data is input for the year an obligation occurs, or, in the case of transit funding, for the year when the CMAQ funds are transferred to the Federal Transit Administration (FTA). Thus, the emissions reductions are estimates of future emissions reductions brought about by the project.</p> <p><b>Master files:</b> Includes data with the following information about each project: ID numbers, location (State, name of MPO, non-attained/Maintenance area), project year, project description and title, reporting categories (transit, Intelligent Transportation System (ITS), etc ), emissions reductions, and financial information.</p> <p><b>DISPOSITION: PERMANENT.</b> Transfer a copy of the master data file upon approval of this schedule. Thereafter, cut off 2 years after the end of the fiscal year to allow for entry and review of project data. Transfer a copy of the master data file to the National Archives and Records Administration (NARA) 2 years after cut off, in accordance with <u>36 CFR 1228.270</u></p> |                     |  |
| 2 | <p><del><b>Outputs:</b> Data can be used to compile a report of all or some CMAQ projects. The reports function is used to organize the project data into 15 different reporting formats. These reports can be generated on projects entered/approved by each user level, as well as those approved by HQ. Once generated, the reports can be printed or exported to a file. HEP does not generate the reports, but system users can customize and create reports to fulfill their business needs; those users in the other offices would be responsible for the records management of any reports created from the system.</del></p> <p><del><b>DISPOSITION:</b> Destroy/delete when agency determines that they are no longer needed for administrative, legal, audit, historical trend analysis, or other operational purposes.</del></p>  | GRS 20, item 12a    |  |
| 3 | <p><del><b>System Documentation:</b> Includes user manuals, flow charts, functional requirements, and other system documentation.</del></p> <p><del><b>DISPOSITION: PERMANENT</b> Transfer to National Archives with the permanent electronic records to which the documentation relates.</del></p>   | GRS 20, item 11a(2) |  |