

Request for Records Disposition Authority

Records Schedule Number DAA-0416-2019-0003

Schedule Status Approved

Agency or Establishment National Highway Traffic Safety Administration

Record Group / Scheduling Group Records of the National Highway Traffic Safety Administration

Records Schedule applies to Major Subdivision

Major Subdivision Office of Enforcement

Minor Subdivision Office of Defects Investigation

Schedule Subject Office of Defects Investigation Records Schedule

Internal agency concurrences will be provided No

Background Information The Office of Defects Investigation (ODI) will implement the following plan with respect to the retention of records generated, received, and maintained by ODI.

Note: Paper, film, microfiche, CD-ROM, and electronic records are all covered by this disposition schedule. ODI will maintain relational data as needed for statistical/reference purposes.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
14	1	13	1

GAO Approval

Outline of Records Schedule Items for DAA-0416-2019-0003

Sequence Number	
1	Office of Defects Investigation Records Schedule
1.1	1. Recall Reports Disposition Authority Number: DAA-0416-2019-0003-0001
1.2	2. Recall Working Files Disposition Authority Number: DAA-0416-2019-0003-0002
1.3	3. All Other Investigative Reports Disposition Authority Number: DAA-0416-2019-0003-0003
1.4	4. Investigation Working Files Disposition Authority Number: DAA-0416-2019-0003-0004
1.5	5. Investigation files resulting in Court Decisions Disposition Authority Number: DAA-0416-2019-0003-0005
1.6	6. Pre-Investigative Files Disposition Authority Number: DAA-0416-2019-0003-0006
1.7	7. Petition Files Disposition Authority Number: DAA-0416-2019-0003-0007
1.8	8. Consumer Correspondence Disposition Authority Number: DAA-0416-2019-0003-0008
1.9	9. Consumer Complaints (Vehicle Owner Questionnaires) Disposition Authority Number: DAA-0416-2019-0003-0009
1.10	10. Early Warning Reporting (EWR) Aggregate Data Disposition Authority Number: DAA-0416-2019-0003-0010
1.11	11. EWR Death and Injury Data: Disposition Authority Number: DAA-0416-2019-0003-0011
1.12	12. EWR Copies of Field Reports Disposition Authority Number: DAA-0416-2019-0003-0012
1.13	13. EWR Foreign Recalls Disposition Authority Number: DAA-0416-2019-0003-0013
1.14	14. EWR Substantially Similar Vehicles Disposition Authority Number: DAA-0416-2019-0003-0014
1.15	15. Manufacturer Communications Disposition Authority Number: DAA-0416-2019-0003-0015

Records Schedule Items

Sequence Number								
1	Office of Defects Investigation Records Schedule							
1.1	1. Recall Reports							
	Disposition Authority Number	DAA-0416-2019-0003-0001						
	Files containing a manufacturer's defect or noncompliance notification to NHTSA (Part 573 Report).							
	Final Disposition	Permanent						
	Item Status	Active						
	Is this item media neutral?	Yes						
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes						
	Do any of the records covered by this item exist as structured electronic data?	Yes						
	GRS or Superseded Authority Citation	N1-416-05-003 / 1a						
	Disposition Instruction							
	Cutoff Instruction	Cutoff at the end of Calendar Year (CY) in which 573 Report is received. Physical and legal custody is transferred to NARA 20 years after cutoff.						
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after cutoff						
	Additional Information							
	First year of records accumulation	1972						
	What will be the date span of the initial transfer of records to the National Archives?	From 1972 To 2004						
	How frequently will your agency transfer these records to the National Archives?	Every 12 Months						
	<table border="1"> <thead> <tr> <th></th> <th>Estimated Current Volume</th> <th>Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td>8.0 GB</td> <td>800 MB</td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	8.0 GB	800 MB
	Estimated Current Volume	Annual Accumulation						
Electronic/Digital	8.0 GB	800 MB						

Paper	384 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1.2

2. Recall Working Files

Disposition Authority Number **DAA-0416-2019-0003-0002**

Files containing manufacturer's owner notification letters (Part 577), manufacturer's notices to dealers, recall acknowledgement letters, and quarterly reports

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

GRS or Superseded Authority Citation **N1-416-05-003 / 1b**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of CY in which the associated 573 is submitted.**

Retention Period **Destroy 20 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

1.3

3. All Other Investigative Reports

Disposition Authority Number **DAA-0416-2019-0003-0003**

All other investigative files (C, PE, EA, EQ, RQ, SQ, TQ, AQ). Files contain documents and information gathered by ODI that are used to base decisions for investigations. NOTE: records of investigations which result in court cases should be offered to the National Archives for permanent retention.

Final Disposition **Temporary**

1.4	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 4
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which investigation is complete
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	4. Investigation Working Files	
	Disposition Authority Number	DAA-0416-2019-0003-0004
	(PE, EA, EQ, RQ, SQ, TQ, AQ) Files that contain documents and information gathered by ODI that are used to base decisions for investigations.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY of closing resume.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required

1.5

5. Investigation files resulting in Court Decisions

Disposition Authority Number DAA-0416-2019-0003-0005

Where the investigation led to a court decision: Files that contain documents and information gathered by ODI that were used to base decisions for investigations that led to court decisions.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-416-05-003 / 3

Withdrawn Status Explanation This item was withdrawn because the Office of Defects Investigation has not had any investigations progress into court litigation in over forty years. The Office agrees to to propose any future cases that go into litigation as permanent through an ERA schedule.

Disposition Instruction

Cutoff Instruction Cutoff at the end of CY of the conclusion of court decision.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
TBD

How frequently will your agency transfer these records to the National Archives? Every 12 Months

1.6

6. Pre-Investigative Files

Disposition Authority Number DAA-0416-2019-0003-0006

Files containing documents pertaining to pre-investigative work ODI conducts to support opening an investigation on a motor vehicle or equipment. These pre-investigations did not support opening a formal investigation.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-416-05-003 / 5

Disposition Instruction

Cutoff Instruction Cutoff at the end of CY in which the issue is closed.

Retention Period Destroy 15 year(s) after cutoff

Additional Information

GAO Approval Not Required

7. Petition Files

Disposition Authority Number DAA-0416-2019-0003-0007

(RP & DP) Files containing documents that pertain to a letter from the public petitioning ODI to consider opening an investigation on a motor vehicle or equipment.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-416-05-003 / 2

Disposition Instruction

1.7

1.8	Cutoff Instruction	Cutoff at the end of CY of in which petition is resolved
	Retention Period	Destroy 15 year(s) after years
	Additional Information	
	GAO Approval	Not Required
	8. Consumer Correspondence	
	Disposition Authority Number	DAA-0416-2019-0003-0008
	Correspondence received from the public and other government representatives	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-446-05-003 / 6e
1.9	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which correspondence is received.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	9. Consumer Complaints (Vehicle Owner Questionnaires)	
	Disposition Authority Number	DAA-0416-2019-0003-0009
	Electronic or hardcopy vehicle owner questionnaires (IVOQs &EVOQ) submitted to NHTSA.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes

1.10	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 7
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which complaint/questionnaire is received.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	10. Early Warning Reporting (EWR) Aggregate Data	
	Disposition Authority Number	DAA-0416-2019-0003-0010
	Manufacturer's annual vehicle production numbers by make, model, and model year as well as consumer complaint counts, property damage claim counts, warranty claim counts, and field reports..	
1.11	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 8
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which received.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	11. EWR Death and Injury Data:	
	Disposition Authority Number	DAA-0416-2019-0003-0011

Manufacturer-submitted reports of incidents that result in death or injury of consumers utilizing vehicles they produce.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-416-05-003 / 9e

Disposition Instruction

Cutoff Instruction Cutoff at the end of CY in which received.

Retention Period Destroy 15 year(s) after cutoff

Additional Information

GAO Approval Not Required

12. EWR Copies of Field Reports

Disposition Authority Number DAA-0416-2019-0003-0012

Copies of field reports which contain information of a possible safety-related defect from a consumer, non-dealer or manufacturing facility.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-416-05-003 / 10

Disposition Instruction

Cutoff Instruction Cutoff at the end of CY in which received

1.12

1.13	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	13. EWR Foreign Recalls	
	Disposition Authority Number	DAA-0416-2019-0003-0013
	Manufacturer-submitted reports of safety recalls conducted in foreign countries	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 12
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which received.
	Retention Period	Destroy 15 year(s) after cutoff
1.14	Additional Information	
	GAO Approval	Not Required
	14. EWR Substantially Similar Vehicles	
	Disposition Authority Number	DAA-0416-2019-0003-0014
	Manufacturer's annual report of similar vehicles produced and retailed in foreign markets.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes

1.15	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 13
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which received.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	15. Manufacturer Communications	
	Disposition Authority Number	DAA-0416-2019-0003-0015
	A manufacturer's communication to its dealers regarding defects or non-compliances in its products.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-416-05-003 / 14
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of CY in which received.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
03/16/2021	Certify	Anita Fennell	Program Assistant	Office of Chief Information Officer - Office of Information Management
06/27/2022	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/06/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/06/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/12/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office