

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-557- 05- 1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-25-2004	
1. FROM (Agency or establishment) U.S. Department of Transportation		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Federal Motor Carrier Safety Administration (FMCSA)			
3. MINOR SUBDIVISION Office of the Administrator			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 7/27/07	ARCHIVIST OF THE UNITED STATES Rita W. ...
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around;"> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </div>			
DATE 10/19/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Herman H. ...</i>		TITLE FMCSA Records Management Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED PAGES.		
<i>AA 7/30/07 Copies sent to Agcy, NWMIS, NWMIS, NWC, etc.</i>			

SF 115, Request for Records Disposition Authority
For
FMCSA's Administrator; Deputy Administrator; Assistant Administrator; Regulatory
Ombudsman and Executive Secretariat
Job Number: NI-557-05-1

Item

No. Description of Item. **Disposition Authority**

1 Administrative Subject Files. GRS 23/1

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the program functions for which the office exists. In general, these records relate to office organization, staffing, and procedures, including communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

Disposition: **Temporary.** Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

a. **If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 2 years after cutoff.

b. **If paper:** Destroy paper documents 2 years after cutoff.

2 Administrator; Deputy Administrator; and Assistant Administrator Files. N1-406-95/1

Contains correspondence, internal memos, reports, minutes of FMCSA and DOT policy and planning meetings, speeches, travel itineraries and related records and, conference participation. Subjects include communications with Congress, DOT Secretary, and DOT administrators on transportation policies, FMCSA program planning and management as well as contact with state, local, professional, and civic interests. The records document the high level activities for the FMCSA's Administrator, Deputy Administrator, and Assistant Administrator.

Arrange alphabetically, thereunder by date. Annual accumulation is estimated at 10 cubic feet.

Disposition: **PERMANENT.** Cut off at end of 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. Transfer electronic files to the National Archives 3 years after cutoff in accordance with 36 CFR 1228.270.

b. **If paper:** Transfer paper documents to the National Archives 3 years after cutoff.

3 Administrator's Calendar.

N1-406-89-3/3

Files document appointments, meetings, telephone calls, visits and other activities of the Administrator. Annual accumulation: 5 inches. Arranged chronologically.

Disposition: **PERMANENT.** Cutoff at end of 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. Transfer electronic files to the National Archives 3 years after cutoff in accordance with 36 CFR 1228.270.

b. **If paper:** Transfer to National Archives 3 years after cutoff.

4 Chronological File.

N1-557-04-1/2

Contains extra, non-record copies of outgoing correspondence. These files contain no record copies of incoming correspondence or yellow copies of outgoing correspondence.

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 3 years after cutoff.

b. **If paper:** Destroy paper documents 3 years after cutoff.

5 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.

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.** Classify 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 Reference Files.

N1-406-89-3/17

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.

8 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.

9 Suspense Files. (Executive Secretariat's Files)

GRS 23/6

Documents 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 action.

Disposition: **Temporary.** Destroy after action is taken.

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

Disposition: **Temporary.** Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

10 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.

a. **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.

b. **If paper:** Destroy paper documents after GAO audit or when 6 years old, whichever is sooner.

11 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.

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.