REQUEST	JOB NUMBER NI-557- <i>05-</i> 9				
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001			Date received 10 - 25 - 2004		
FROM (Agency or establishment) U.S. Department of Transportation			NOTIFICATION TO AGENCY		
MAJOR SUBDIVISION Federal Motor Carrier Safety Administration (FMCSA) MINOR SUBDIVISION Off CAY			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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.		
Office of Human Capital Assets 4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett		5. TELEPHONE NUMBER (202) 385-2316	Plate ARCHIVIST OF THE UNITED STATE		
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,					
X is not required is attached; or DATE SIGNATURE OF AGENCY REPRESENTATIVE			☐ has been requested.		
10/19/04 Vima Way			FMCSA Records Management Officer		
7. ITEM NO.	D. 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION		9. GRS OR SUPERSEDED JOB CITATION 10. ACTION TAKEN (NARA USE ONLY)		
	SEE ATTACHED PAGES.				
	C.C. Cerence, no	wmw, nwerc			

SF 115, Request for Records Disposition Authority For Office of Human Capital Assets

Item

No. Description of Item.

Disposition Authority

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.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

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

If paper: Destroy paper documents 2 years after cutoff.

2 Adverse Action Files.

GRS 1/30b

Case files and records related to adverse actions and performance based actions (removal, suspension, reduction in grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

<u>Disposition</u>: Temporary. Cutoff after ease is closed. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files no sooner than 4 years, but no later than 7 years after cutoff.

If paper: Destroy paper documents no sooner than 4 years, but no later than 7 years after cutoff.

**Note-FMCSA will determine an appropriate retention for these records, and issue a Privacy Act Notice, per General Records Schedule 1, Item 30b.

3 Alternate Worksite Records.

GRS 1/42

A. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee, and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

<u>Disposition</u>: Temporary. Cutoff at the end of after end of employee's participation in the program. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 1 year after cutoff.

<u>If paper</u>: Destroy paper documents 1 year after cutoff.

B. Unapproved requests.

<u>Disposition</u>: Temporary. Cutoff at the end of after request is rejected. Determine medium of recordkeeping copy.

<u>If electronic</u>: 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.

C. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

<u>Disposition</u>: Temporary. Cutoff when 1 year old, or when no longer needed, whichever is later. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files after cutoff.

If paper: Destroy paper documents after cutoff.

4 <u>Annual Awards Files.</u>

NI-557-05-9/1

Contains correspondence and related documentation concerning individuals recommended for the President's Medal of Honor; DOT award for heroism and certificates of commendation; and those awards created by FMCSA to recognize programs and people. Files include background correspondence, request materials, investigative documentation, and final departmental determination. Also included are color still photographs and entry forms of past winners.

<u>Disposition</u>: **Temporary.** Place in closed case file upon final determination. Cutoff closed file at the end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

5 <u>Chronological File</u>.

N1-557-05-9/2

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

<u>Disposition</u>: **Temporary.** Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

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

If paper: Destroy paper documents 2 years after cutoff.

6 Classification Appeal Case Files.

GRS 1/7d

Case files relating to classification appeals and containing correspondence, backup material, approvals and appeals of employees.

<u>Disposition</u>: Temporary. Cutoff after case is closed. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

<u>If paper</u>: Destroy paper documents 3 years after cutoff.

7 Donated Leave Program Case Files.

GRS 1/37

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630 A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

<u>Disposition</u>: Temporary. Cutoff 1-year after end of the year in which the file is closed. Determine medium of recordkeeping copy.

<u>If electronic</u>: 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.

8 Employee Master Record Files.

GRS-2/23

Consist of computer printout Forms FHWA 1048, Master Employee Record, which are used by the Payroll Section for posting changes on a biweekly basis, FHWA 21, Authorization for Paid Overtime and Holiday work and for Compensatory Overtime, used for the appropriate officials to approve overtime and form FHWA 337, Payroll Master Card Control, used at the close of each pay period by the Payroll Section to develop predetermined control totals to assure accuracy of salary payments and deductions.

<u>Disposition</u>: Temporary. Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

9 Employment Correspondence Files.

GRS-14/1

Contain copies of letters inquiring about employment, requesting literature of special interest on training and career opportunities in FMCSA and other information pertaining to FMCSA personnel training and employee development programs.

<u>Disposition</u>: Temporary. Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 months after cutoff.

If paper: Destroy paper documents 3 months after cutoff.

10 Health Benefits Reports Files.

GRS-1/1

Contain Health Benefits Registration Forms, SF 2809, used by each employee to enroll in the Federal Employees Health Benefit Program and Notice of Change in Health Benefits Enrollment, SF 2810, used by the employee to cancel, change, or take any action required that may effect their health plan that is reported to the health benefits carrier.

A. Transferred employees.

<u>Disposition</u>: Temporary. See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

B. Separated employees.

<u>Disposition</u>: Temporary. Transfer folder to the National Personnel Records Center, St. Louis, MO, 30 days after separation of the employee. NPRC will destroy 65 years after separation from Federal service.

11 — Incentive Awards Files.

GRS 1/13

Secretary's and Administrator's special Honor Award, Quality Increases, and Special Achievement Cash Awards for entire agency. Files also contain suggestions adopted and rejected by Headquarters.

<u>Disposition</u>: Temporary. Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

12 Individual Earning Record Files.

GRS 2/1a

Computer printout Form FHWA 305 which provides individual records of gross to net wages listed by pay periods for the entire calendar year.

A. Transferred employees.

<u>Disposition</u>: Temporary. See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

B. Separated employees.

<u>Disposition</u>: Temporary. Transfer folder to the National Personnel Records Center, St. Louis, MO, 30 days after separation of the employee. NPRC will destroy 65 years after separation from Federal service.

13 Individual Retirement Record Files.

GRS-2/28

Individual retirement Records maintained for each employee subject to the Civil Service Retirement Act and FERS. The forms show the amount of current year and cumulative totals from salaries of employees as shown on the cumulative payroll disbursement registers and the amount of retirement deductions in prior years from salaries of employees currently on the rolls.

<u>Disposition</u>: Temporary. Transfer to the Office of Personnel and Management no later than 5 days after the date of the final paycheck or upon transfer to another Government agency (FPM 831-1, Supp 22-3). Destroy upon receipt of official OPM acceptance of annual summary.

14 <u>Leave Application Files</u>.

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.

<u>If electronic</u>: 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.

15 Management Control Records.

GRS 16/14

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Public Law 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

A. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

Disposition: Temporary. Destroy when superseded.

B. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Disposition: Temporary. Destroy when superseded.

C. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

<u>Disposition</u>: Temporary. Cutoff closed files annually. Destroy after next review cycle.

D. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

<u>Disposition</u>: Temporary. Destroy 1 year after report is completed.

6 Merit Promotion Activity Files.

CKS1/13

Contain active and inactive applications of persons applying in the FMCSA programs. Included in the files are rate and ranking sheets, copies of inactive applications of those who have declined, have not been selected, or have not been considered. Also is information on the highway engineer training program in the field offices and other material pertaining to the programs and data accumulated by special examining units.

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

<u>If electronic:</u> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files when 2 years old or earlier if an Office of Personnel Manual, Chapter 333, A-4, are observed. requirements of the Federal Personnel Manual, Chapter 333, A-4, are observed.

Hangement evaluation of the records is made, providing the requirements of the Federal Personnel Management evaluation of the records is made, providing the requirements of the Federal Personnel Manual, Chapter 333, A-4, are observed.

17 Merit Promotion Files (Senior Executive Service).

Contain reference material, official file copies, correspondence to Office of Personnel Management, SF-171's, Personnel Qualification Ranking Schedule (Merit Promotion Plan); also, information on the approval or disapproval of promotions.

<u>Disposition</u>: Temporary. Cutoff at end of fiscal year. Destroy when 2 years old or earlier if an Office of Personnel Management evaluation of the records is made, providing the requirements of the Federal Personnel Manual, Chapter 333, A 4, are observed.

<u>If electronic:</u> Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files when 2 years old or earlier if an Office of Personnel Manual, Chapter 333, A.4, are observed.

If paper: Destroy paper documents when 2 years old or earlier if an Office of Personnel if paper.

II paper: Desiroy paper documents when 2 years old or earlier it an Office of Personnel Management evaluation of the records is made, providing the requirements of the Federal Personnel Manual, Chapter 333, A 4, are observed.

8 Monthly Report of Federal Civilian Employment Files. GRS 1/16

Consist of SF-113A's, Monthly Report of Federal Civilian Employment, which are used to submit the report related to employment at the end of each month to the Office of Personnel Management.

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

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

If paper: Destroy paper documents 2 years after cutoff.

19 Noncommercial, Reimbursable Travel Files.

GRS 9/3a.

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

A. Travel administrative office files.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 6 years after cutoff.

If paper: Destroy paper documents 6 years after cutoff.

B. Obligation copies.

<u>Disposition</u>: Temporary: Destroy when funds are obligated.

20 Notification of Personnel Action Files.

GRS 1/14

Consist of SF-50, Notification of Personnel Actions and other related forms used to document and report all personnel actions which affect an employee's status, tenure, position or compensation exclusive of those in the personnel folder.

A. Chronological file copies, including fact sheets, maintained in personnel offices.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

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

<u>If paper</u>: Destroy paper documents 2 years after cutoff.

B. All other copies maintained in personnel offices.

<u>Disposition</u>: Temporary. Cutoff when 1 year old. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files after cutoff.

If paper: Destroy paper documents after cutoff.

21 Official Personnel Files.

GRS 1/1

Records filed on the right side of the Official Personnel Folder (OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.

A. Transferred employees.

<u>Disposition</u>: Temporary. See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

B. Separated employees.

<u>Disposition</u>: Temporary. Transfer folder to the National Personnel Records Center, St. Louis, MO, 30 days after separation of the employee. NPRC will destroy 65 years after separation from Federal service.

22 Office of Workers Compensation Program.

GRS 1/31

Contain forms and other documentation that contain information on on the job injuries and occupational disease. The original of these forms is sent to the Department of Labor.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

23 Personnel Correspondence Files.

GRS 1/3

Correspondence reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

<u>If paper</u>: Destroy paper documents 3 years after cutoff.

24 Position Classification Files.

GRS 1/7

A. Position Classification Standards Files.

1. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions with the agency.

<u>Disposition</u>: Temporary. Destroy when superseded or obsolete.

2. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

a. Case file.

<u>Disposition</u>: Temporary. Cutoff after position is abolished or description is superseded. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

b. Review file.

<u>Disposition</u>: Temporary. Cutoff after end of each fiscal year. Determine medium of recordkeeping copy.

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

If paper: Destroy paper documents 2 years after cutoff.

B. Position Descriptions. Record copy of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents.

<u>Disposition</u>: Temporary. Cutoff after position is abolished or description is superseded. Determine medium of recordkeeping copy.

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

If paper: Destroy paper documents 2 years after cutoff.

C. Survey-Files.

1. Classification survey reports on various positions prepared by classification specialists, including periodic reports.

<u>Disposition</u>: Temporary. Cutoff 3 years old or 2 years after regular inspection, whichever is sooner. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files after cutoff.

If paper: Destroy paper documents after cutoff.

2. Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

<u>Disposition</u>: Temporary. Destroy when obsolete or superseded.

D. Appeals Files. Case files relating to classification appeals.

<u>Disposition</u>: Temporary. Cutoff after case is closed. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 3 years after cutoff.

<u>If paper:</u> Destroy paper documents 3 years after cutoff.

25 Reference File.

NI-557-05-9/3

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.

<u>Disposition</u>. Temporary. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files when no longer needed.

<u>If paper</u>: Destroy paper documents when no longer needed.

26 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.

<u>If electronic</u>: 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.

<u>If paper</u>: Review annually and delete superseded or obsolete electronic files, or files relating to an employee within 1 year after separation or transfer.

27 <u>Survey Files</u>.

NI-557-05-9/4

Contain reports, notes, manpower needs, studies, EEO goals and timetables, minority reports, project personnel needs, trainee recruitment requirements, and promotion analyses needed in evaluating and improving recruitment and placement aspects of career development programs.

<u>Disposition</u>: **Temporary.** Cutoff at end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

28 <u>Time and Attendance Source Records.</u>

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.—

<u>Disposition</u>: Temporary. Cutoff at end of fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files after GAO audit or when 6 years old, whichever is sooner.

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

29 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.

<u>Disposition</u>: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.

<u>If electronic</u>: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Delete electronic files 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

30 Word Processing and Electronic Records.

N1-557-05-9/5

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- A. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.
 - <u>Disposition</u>: **Temporary.** Destroy/delete within 180 days after the record keeping copy has been produced.
- B. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.
 - <u>Disposition</u>: **Temporary.** Destroy/delete when dissemination, revision, or updating is completed.