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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER NI-557-05-11 | |
| 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Administration | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett | 5. TELEPHONE NUMBER (202) 385-2316 | DATE 11/20/06 | ARCHIVIST OF THE UNITED STATES <i>Mike W...</i> |
| 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, <input checked="" type="checkbox"/> X is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE 10/19/04 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Harman 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 GRS OR SUPERSEDED JOB CITATION | 10.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. | | |

SA 2/6/06 copies sent to Agency, NARA, NARA

**Data for SF 115, Request for Records Disposition Authority
For
Associate Administrator for Administration**

| Item No. | <u>Description of Item.</u> | Disposition Authority |
|---|--|------------------------------|
| 1 | <u>Administrative Subject Files.</u> | GRS 23/1 |
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| <p>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.</p> <p>Disposition: Temporary. Cutoff at the end of each fiscal year. Determine medium of recordkeeping copy.</p> <p>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.</p> <p>If paper: Destroy paper documents 2 years after cutoff.</p> | | |
| 2 | <u>Associate Administrator's Administrative Files.</u> | N1-557-05-11/1 |
| <p>Consist of general correspondence, copies of all correspondence signed by office directors and other offices, memoranda, trip reports, briefing material, minutes of meetings, monthly and weekly calendar assignments, working papers and any related papers assisting the Associate Administrator for Administration to carry out his or her mission and objectives as principal advisor to the Administrator on all matters relating to administration.</p> <p>Arrange alphabetically, thereunder by date.</p> <p><u>Disposition:</u> Temporary. Cutoff files at end of each fiscal year. Determine medium of recordkeeping copy.</p> <p>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.</p> <p>If paper: Transfer paper documents to FRC 3 years after cutoff. Destroy paper documents 5 years after cutoff.</p> | | |

3 Budget Background Records.

N1-557-05-11/2

Working papers, cost statements, and data accumulated in the preparation of annual budget estimates, and originating offices' copies of reports submitted to budget offices.

Disposition: **Temporary.** Cutoff at end of each fiscal year. 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 2 years after cutoff.

If paper: Destroy paper documents 2 years after cutoff.

4 Chronological File.

N1-557-05-11/3

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.

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.

If paper: Destroy paper documents 2 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, which ever is sooner.~~

~~**If paper:** Destroy paper documents after GAO audit, or when 3 years old, which ever is sooner.~~

6 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.~~

~~Disposition: Temporary. Cut off 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.~~

~~Disposition: Temporary. Destroy 1 year after report is completed.~~

~~7 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.~~

~~Disposition: Temporary. Cut off at the end of each fiscal year. 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 6 years after cutoff.~~

~~**If paper:** Destroy paper documents 6 years after cutoff.~~

~~B. Obligation copies.~~

~~Disposition: Temporary. Destroy when funds are obligated.~~

8 Reference File.

N1-557-05-11/4

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.

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.

If paper: Destroy paper documents when no longer needed.

9 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.~~

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.

~~**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.~~

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

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.

Disposition: **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.

Disposition: **Temporary.** Destroy/delete when dissemination, revision, or updating is completed.