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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER NI-557-05-3 | |
| 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 Financial Processing & Operations | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett | 5. TELEPHONE NUMBER (202) 385-2316 | DATE 10/19/04 | ARCHIVIST OF THE UNITED STATES <i>Allen 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"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE 10/19/04 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Theresa Rowlett</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 GRS OR SUPERSEDED JOB CITATION | 10.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>cc: Agency, NWMW</i> | | | |

**SF 115, Request for Records Disposition Authority
for
Finance Processing & Operations Division**

| <u>Item No.</u> | <u>Description of Item.</u> | Disposition Authority |
|-----------------|---|------------------------------|
| 1 | <u>Accounts Receivable Files.</u> Contain correspondence and a collection of documents that pertain to cash transfers to the Treasury Department by FMCSA. <u>Disposition:</u> Temporary. Cutoff 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 and 3 months after cutoff. If paper: Transfer paper documents to the FRC 3 years after cutoff. Destroy paper documents 6 years and 3 months after cutoff. | NC1-406-80-11/2 |

2 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.~~

~~**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.~~

3 ~~Agreement and Report Files.~~

~~GRS 6/1A~~

~~Contain working papers, actual billings for which an SF 1114, Bill of Collection, is used, and collection of funds, including supporting documents, SF 1080, Voucher for Transfer Between Appropriation and/or Funds and SF 1081, Voucher and Schedules for Withdrawals and Credit Agreements which are used with other Government agencies for services to be performed by FMCSA.~~

~~Disposition: **Temporary.** Cutoff 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 and 3 months after cutoff.~~

~~**If paper:** Transfer paper documents to the FRC 3 years after cutoff. Destroy paper documents 6 years and 3 months after cutoff.~~

4 ~~Allotment Files.~~

~~GRS 7/3~~

~~Consist of Form FHWA 370 and other Advice of Funds Available for Obligations documents, used to document all allotments (obligation availability) of funds and correspondence used for supporting documents. The form shows the initial administrative allotments; increase of an allotment of construction funds by periods other than quarterly or annually and an increase of an allotment of funds in one amount for the fiscal year.~~

~~Disposition: **Temporary.** Cutoff 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 and 3 months after cutoff.~~

~~**If paper:** Transfer paper documents to the FRC 3 years after cutoff. Destroy paper documents 6 years and 3 months after cutoff.~~

5 ~~Apportionment and Reapportionment Schedule.~~

~~GRS 5/3~~

~~Consist of completed SF 132's, Apportionment and Reapportionment Schedules, and supporting documents used specifically to show funds apportioned and reappropriated for FMCSA.~~

~~Disposition: **Temporary.** Cutoff 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 2 years after cutoff.~~

~~**If paper:** Destroy paper documents 1 year after cutoff.~~

6 Appropriation Files.

NC1-406-80-11/13

Contain records of laws on funds that are appropriated by Congress that relate to appropriations and fund balances, disbursements and collections with particular attention to the current status of the Highway Trust Fund and the effect of withdrawal in relation to interest accruals.

~~Disposition: **Temporary.** Cutoff 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 10 years after cutoff.~~

~~**If paper:** Transfer paper documents to the FRC 5 years after cutoff. Destroy paper documents 10 years after cutoff.~~

7 ~~Budget Background Records.~~

~~GRS 5/2~~

~~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 1 year after cutoff.~~

~~**If paper:** Destroy paper documents 1 year after cutoff.~~

8 Budget Executive Files.

NC1-406-80-11/19

Consist of correspondence related to any request for budget action that concerns Headquarters or field division 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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

9 Budget Files.

NC1-406-80-11/20

Contain actual invoices for communications, machine repairs, equipment rentals, reimbursable services with DOT and interagency components, bills for rent of offices, annual and quarterly reports, working capital funds and all related materials pertaining to the budget.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

10 Budget Request Files.

NC1-406-80-11/21

Contain three types of requests. These are Departmental, Congressional and OMB requests for information from FMCSA on the funding requirements for the operation of its programs. Files also contain requests for budget estimates, budget allowances, and appeals from operating officials within the FMCSA pertaining to their budget requests.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

~~11~~ Credit Card Files. ~~GRS 6/1b,8~~

~~Consist of memorandums, U.S. Government cards (U.S. Government purchase cards and telephone calling cards), receiving reports and related documentation.~~

~~Disposition: **Temporary.** Cutoff 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 when 3 years old.~~

~~If paper: Destroy paper documents when 3 years old.~~

~~12~~ Current Year (Budget Report) Files. ~~GRS 5/3A~~

~~Files contain current year forms SF-133, Report on Budget Execution, working papers and supporting documents.~~

~~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 5 years after cutoff.~~

~~If paper: Destroy paper documents 5 years after cutoff.~~

~~13~~ Disbursement Files. ~~GRS 6/1a~~

~~Contain SF-1221, Statement of Transactions According to Appropriations, Funds and Receipt Accounts (Foreign Service Accounts). These forms contain the records of the moneys paid to foreign countries.~~

~~Disposition: **Temporary.** Cutoff 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 and 3 months after cutoff.~~

~~If paper: Transfer paper documents to the FRC 3 years after cutoff. Destroy paper documents 6 years and 3 months after cutoff.~~

14 Execution Report Files.

NC1-406-80-11/46

Contain computer printouts of employee levels, working papers, cost estimates, appropriations and related financial statements pertaining to general operating expenses of each organizational element of the agency.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

15 Financial Management Files.

NC1-406-80-11/48

Consist of trip report findings on anything dealing with financial management in the States, working papers on special reports and financial reviews of FMCSA division offices on how their financial management programs are working.

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 10 years after cutoff.

If paper: Destroy paper documents 10 years after cutoff.

16 Fiscal Services Program Files.

NC1-406-80-11/50

Consist of correspondence, associated accounting and budget work papers, allotment control sheets, budget information, fiscal plans, obligations and outlays and other materials pertaining to the office efforts to develop and coordinate the budget execution plan for the FMCSA to assure the most effective and economical expenditure of appropriated funds.

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 5 years after cutoff.

If paper: Destroy paper documents 5 years after cutoff.

17 ~~General Ledger Files.~~ ~~GRS 7/2~~

~~Contains general ledgers that summarize the financial status and financial transactions of FMCSA, current status of funds available for expenditures and show debit and credit entries of the agency. The financial data is posted electronically directly to the general ledger.~~

~~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 6 years and 3 months after cutoff.~~

~~**If paper:** Transfer paper documents to FRC 3 years after cutoff. Destroy paper documents 6 years and 3 months after cutoff.~~

18 ~~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.~~

19 ~~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. 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.~~

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

20 Monthly Report Files. GRS 5/3

~~Contain SF-132, Apportionment and Reapportionment Schedules, SF-133, Report on Budget Execution. OMB Circular A-11 requires these reports. Also included in these files are working papers and supporting documents.~~

~~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 5 years after cutoff.~~

~~**If paper:** Destroy paper documents 5 years after cutoff.~~

21 ~~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.** Cutoff 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.~~

22 ~~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.** Cutoff 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.~~

23 Reimbursable Agreement Files. NC1-406-80-11/116

Contain a completed copy of DOT 2300.1, Reimbursable Agreements, which are used by the operating elements of DOT, if funds are available, to place orders with other agencies for

materials, supplies, equipments, work on services when both agencies have an interest in the goods or services to be provided.

Disposition. Temporary. Place in inactive file on completion of contract. Cutoff inactive file 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 10 years after cutoff.

If paper: Transfer to FRC 3 years after cutoff. Destroy paper documents 10 years after cutoff.

24 Reports on Obligations. GRS 5/3

~~Periodic reports on the status of appropriation accounts and apportionment.~~

A. ~~Annual report (end of fiscal year).~~

~~Disposition. Temporary. Cutoff inactive file 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 5 years after cutoff.~~

~~If paper: Transfer to FRC 3 years after cutoff. Destroy paper documents 5 years after cutoff.~~

B. ~~All other reports.~~

~~Disposition. Temporary. Cutoff inactive file 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 3 years after cutoff.~~

~~If paper: Destroy paper documents 3 years after cutoff.~~

25 Status of Contract Authority Files. NCI-406-80-11/134

Contain Treasury Form BA-73104, Status of Contract Authority, which is prepared annually by FMCSA for the Treasury Department reflecting the balance of unfunded contract authority at the beginning of the fiscal year and the unfunded contract authority at the end of the period. The

source data used is from the general ledger trial balances and public laws from Congress. (NC1-406-80-11/134)

Disposition. **Temporary**. Cutoff inactive file 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 10 years after cutoff.

If paper: Destroy paper documents 10 years after cutoff.

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.~~

~~**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.~~

27 Travel Order Files GRS 9/3

~~Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.~~

~~A. Travel administrative office files.~~

~~Disposition. **Temporary**. Cutoff at end of the 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. 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 funds are obligated.~~

~~**If paper:** Destroy paper documents when funds are obligated.~~

28 ~~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. Cutoff 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.~~

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.~~

~~Disposition: Temporary. Cutoff at the 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 5 years after cutoff.~~

~~**If paper:** Destroy paper documents 5 years after cutoff.~~

30 Treasury Form Files.

NC1-406-80-11/142

Consist of Treasury Form BA-6727, which is a Statement of Appropriation Account containing Section I, balances as of quarters end and Section II, Accrued Expenditures. Files also contain Treasury Form 6728, Report of Selected Balances for Stating Budget Results on the Accrual Basis for Special Trust Funds Receipt Accounts. These two reports are required by the Treasury Department quarterly. Summary trial balances are used as source data. Copies maintained in FHWA for reference.

Disposition: **Temporary.** Cutoff at the 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 10 years after cutoff.

If paper: Destroy paper documents 10 years after cutoff.

31 Treasury Report Files.

NC1-406-80-11/145

Contain reports required annually by OMB under Treasury Department Circular 965 which is sent to the Treasury Department on the balances of individual appropriation funds using Treasury Department Form BA-R-2108, Statement of Unexpended Balances of Appropriation Funds and Restorations, Treasury Form TSF-6654, and Cash Balance Review from Treasury, showing FMCSA cash balance for the end of the fiscal year for FMCSA to reconcile their balances. Files also contain information on funds transferred from other agencies to FMCSA and the transferring of funds by FMCSA to other agencies. Included in this are working papers and other supporting documents. Copies maintained in FMCSA for reference.

Disposition: **Temporary.** Cutoff at the 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 10 years after cutoff.

If paper: Destroy paper documents 10 years after cutoff.

32 Word Processing and Electronic Records.

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