

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-557-55-5	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received Oct. 25, 2004	
1. FROM (Agency or establishment) U.S. Department of Transportation		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Federal Motor Carrier Safety Administration (FMCSA)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Business Information & Operations <i>Office of Management Information & Services</i>			
4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE 2/16/04	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>[Signature]</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 GRS OR SUPERSEDED JOB CITATION	10.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, NARA, DOME, NARA</i>			

**SF 115, Request for Records Disposition Authority
For
FMCSA Office of Management Information and Services**

Item		
No.	<u>Description of Item.</u>	Disposition Authority

1	<u>Administrative Subject Files.</u>	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.~~

2	N1-557-05-5/Item 1. <u>Budget Background Records.</u>	
---	---	--

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.

3	N1-557-05-5/Item 2. <u>Chronological File.</u>	
---	--	--

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.

4 N1-557-05-5/Item 3. Directive Files. ~~Supersedes NC1-406-80-11/39~~

Consist of official file copies, directives, background material and other papers related to the development of FMCSA directives, including changes that are authorized issuances and used as a primary means of issuing policy instructions and procedures. The following are the types of directives issued in FMCSA:

A. Bulletins. Temporary informational issuances used for one-time announcements such as telephone number and room number changes, appointments of individuals, announcement of bond drives, etc.

Disposition: Temporary. Cutoff when 6 months old unless specified for longer period. 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 months after cutoff unless specified for a longer period..

If paper: Destroy paper documents 6 months after cutoff unless specified for a longer period.

B. Notices. Temporary issuances transmitting one-time or short-term instructions or information which is expected to remain in effect for less than 90 days or for a predetermined amount of time not to exceed 1 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 10 years after cutoff.

If paper: Transfer paper documents to FRC when 2 years old. Destroy when 10 years old.

C. Orders. Internal directives limited in volume and containing permanent or long-lasting policy, instructions, and procedures.

1. Record copy. Arranged by number. Accumulation: 1” per year.

Disposition: **PERMANENT**. Place in inactive file when superseded. **Cutoff inactive file at end of year**. Determine medium of recordkeeping copy.

A. **If electronic**: If Electronic: Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Keep files up to 3 years in office after cut-off and then transfer to NARA in accordance with 36 CFR 1228.270.

B. **If paper**: Transfer inactive paper documents to NARA 10 years old after cutoff in 5 year blocks.

2. All other 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 no longer needed.

If paper: Destroy paper documents when no longer needed.

5 Forms Files GRS 16/3A & B

~~A. One record copy of each form created by FMCSA and a copy of the FMCSA Requirement for Form or Report, which is submitted by the originating office when a new form is proposed or an existing form requires revision.~~

~~Disposition: **Temporary**. Cutoff after related form 5 years after form is discontinued, superseded, or cancelled. 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.~~

~~B. Background materials, requisitions, specifications, processing data, and control records.~~

~~Disposition: **Temporary**. Cutoff after related form is discontinued, superseded, or cancelled. 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 cutoff.~~

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

6 ~~Freedom of Information Act Request Files.~~ GRS 14/11

~~Files created in response to requests for information under the Freedom of Information Act consisting of the initial request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.~~

~~A. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~1. Granting access to all the requested records.~~

~~**Disposition: Temporary.** Cut off after date of reply. 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.~~

~~2. Responding to request for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fee.~~

~~a. Request not appealed.~~

~~**Disposition: Temporary.** Cutoff after date of reply. 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.~~

~~b. Request appealed.~~

~~**Disposition: Temporary.** Destroy as authorize under Item 9 below.~~

~~3. Denying access to all or part of the records requested.~~

~~a. Request not appealed.~~

~~**Disposition: Temporary.** Destroy 6 years after date of reply.~~

~~b. Request appealed.~~

~~Disposition: Temporary. Destroy as authorized under Item 9 below.~~

~~B. Official copy of requested records.~~

~~Disposition: Temporary. Dispose of in accordance with approved agency disposition instruction for the related records, or with the related FOIA request, whichever is later.~~

~~7 FOIA Appeals Files. GRS 14/12~~

~~Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.~~

~~A. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein.~~

~~Disposition: Temporary. Cutoff after final determination of agency or after final adjudication by courts or after the time at which a requester could file suit, whichever is later. 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 final determination of agency or 3 years after final adjudication by courts, or 6 years after the time at which a requester could file suit, whichever is later.~~

~~**If paper:** Destroy paper documents 6 years after final determination of agency or 3 years after final adjudication by courts, or 6 years after the time at which a requester could file suit, whichever is later.~~

~~B. Official file copy of records under appeal.~~

~~Disposition: Temporary. Cutoff in accordance with approved agency disposition instructions for the related record, or with the related FOIA request, whichever is later. 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 cutoff.~~

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

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.~~

~~A. Registers or listings.~~

~~Disposition: **Temporary.** Cutoff after date of last entry. 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. Other files.~~

~~Disposition: **Temporary.** Cutoff after final action by the agency or after final adjudication by courts, whichever is later. 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.~~

~~Recurring reports and one time information requirements relating to the agency implementation of the Freedom of Information Act, and annual reports to the Congress at the departmental or agency level.~~

~~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.~~

~~Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.~~

~~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 7 years after cutoff.~~

~~**If paper:** Destroy paper documents 7 years after cutoff.~~

~~11 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.~~

~~12 Mail and Delivery Service Control Files. GRS 12/6b, d, g~~

~~A. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).~~

~~Disposition: **Temporary.** Cutoff when 6 months old. 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 cutoff.~~

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

~~B. Statistical reports and data relating to handling of mail and volume of work performed.~~

~~Disposition: **Temporary.** Cutoff when 1 year old. 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 cutoff.~~

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

~~C. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.~~

~~Disposition: **Temporary.** Cutoff when 1 year old or when superseded or obsolete, whichever is applicable. 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 cutoff is reached.~~

~~**If paper:** Destroy paper documents after cutoff is reached.~~

13 — ~~Metered Mail Files.~~ — ~~GRS 12/7~~

~~Official metered mail reports and all related papers.~~

~~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.~~

14 — ~~Motor Vehicle Accident Files.~~ — ~~GRS 10/5~~

~~Records relating to motor vehicle accidents, including the Motor Vehicle Accident Report, investigative reports, and Statement of Witness.~~

~~Disposition: **Temporary.** Cutoff after case is closed. 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.~~

15 — ~~Motor Vehicle Report Files.~~ — ~~GRS 10/4~~

~~Reports on motor vehicles general correspondence, and related data pertaining to the management of the motor vehicle fleets for FMCSA (other than accident, operating, and maintenance reports), including Agency Report of Motor Vehicle Data.~~

~~Disposition: **Temporary.** Cutoff after date of report. 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.~~

~~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.~~

~~Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested for copy thereof.~~

~~A. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).~~

~~1. Granting access to all the requested records.~~

~~**Disposition: Temporary.** Cutoff after date of reply. 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.~~

~~2. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

~~a. Requests not appealed.~~

~~**Disposition: Temporary.** Cutoff after date of reply. 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.~~

~~_____ b. Requests appealed.~~

~~Disposition: **Temporary.** Destroy as authorized under Item 22 below.~~

~~_____ 3. Denying access to all or part of the records requested.~~

~~_____ a. Requests not appealed.~~

~~Disposition: **Temporary.** Cutoff after date of reply. 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.~~

~~_____ b. Requests appealed.~~

~~Disposition: **Temporary.** Destroy as authorized under Item 22 below.~~

~~B. Official file copy of requested records.~~

~~Disposition: **Temporary.** Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.~~

~~18 _____ Privacy Act Amendment Case Files. _____ GRS 14/22~~

~~Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).~~

~~A. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.~~

~~Disposition: **Temporary.** Cutoff in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. 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 cutoff.~~

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

~~B. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.~~

~~Disposition: **Temporary.** Cutoff in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. 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 cutoff.~~

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

~~C. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.~~

~~Disposition: **Temporary.** Cutoff in accordance with the approved disposition instructions for the related subject individual's record or 3 years after adjudication by courts, whichever is later. 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 cutoff.~~

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

19 ~~Privacy Act Accounting of Disclosure Files.~~ ~~GRS 14/23~~

~~Files maintained under the provisions of 5 U.S.C. 552a(e) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose, and date of disclosure, and proof of subject individual's consent when applicable.~~

~~Disposition: **Temporary.** Cutoff in accordance with the approved disposition instructions for the related subject individual's record or 5 years after the disclosure for which the accountability was made, whichever is later. 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 cutoff.~~

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

~~Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.~~

~~A. Registers or listing.~~

~~**Disposition: Temporary.** Cutoff after date of last entry. 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.~~

~~B. Other files.~~

~~**Disposition: Temporary.** Cutoff after final action by the agency or final adjudication by courts, whichever is later. 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 or final adjudication by courts, whichever is later.~~

~~**If paper:** Destroy paper documents 5 years after cutoff or final adjudication by courts, whichever is later.~~

~~Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.~~

~~**Disposition: Temporary.** Cutoff at end of each fiscal year or sooner if no longer needed for administrative use. 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 or sooner if no longer needed for administrative use.~~

~~**If paper:** Destroy paper documents 2 years after cutoff or sooner if no longer needed for administrative use.~~

Recurring reports and one time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.

~~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.~~

23 N1-570-05-5/Item 4. Property and Supplies. Supersedes NC1-406-80-11/111.

Consist of correspondence, copies of invoices, and requisitions, personal property loss, inventories and identification, damaged property, standards for purchasing, equipment control studies and other related information pertaining to property and supplies that have been coordinated with Contracts and Procurement.

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 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

24 ~~Property Pass Files.~~ ~~GRS 18/12~~

~~Property pass files, authorizing removal of property or materials.~~

~~Disposition: Temporary. Cutoff after expiration or revocation. 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 months after cutoff.~~

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

25 ~~Real Property Files.~~ ~~GRS 3/1~~

~~Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.~~

~~A. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.~~

~~Disposition: **Temporary.** Cutoff after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. 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.~~

~~B. Abstract or certificate of title.~~

~~Disposition: **Temporary.** Transfer to purchaser after unconditional sale or release by the Government or conditions, restrictions, mortgages, or other liens.~~

~~[NOTE: Records relating to property acquired prior to January 1, 1921, are not covered by this item or the GRS and must be scheduled by submission of an SF 115 to NARA.]~~

26 — ~~Records Disposition Files.~~ — ~~GRS 16/2~~

~~Descriptive inventories, disposal authorizations, schedules, and reports.~~

~~A. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority' SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~

~~—— 1. SF 115s that have been approved by NARA.~~

~~Disposition: **Temporary.** Cutoff after superseded. 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.~~

~~—— 2. Other records.~~

~~Disposition: **Temporary.** Cutoff after the related records are destroy or after the related records are transferred to the National Archives of the United States, whichever is applicable. 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. Routine correspondence and memoranda.~~

~~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.~~

~~27 Records Management Files. GRS 16/7~~

~~Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.~~

~~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.~~

28 N1-557-05-5/Item 5. Safety Program Files. **Supersedes** NC1-406-80-11/124.

Consist of correspondence, official file copies, reference materials, working papers, and other related documents pertaining to the accident prevention program and FMCSA Occupational Health and Safety Program.

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 3 years after cutoff.

If paper: Destroy paper documents 3 years after cutoff.

~~29 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.~~

30 ~~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.~~

31 ~~Work Order Files.~~ ~~GRS 15, Item 2a. Supersedes NC1 406 80 11/152.~~

~~Contain pending work order for moving walls, telephone outlets, and electrical outlets. These requests are made to TASC for proposed work and telephone orders on DOT 1730.1. The files also contain requests for cancellation of work orders.~~

~~A. Pending Files.~~

~~**Disposition: Temporary.** Transfer to completed work order file after completion of work. Determine medium of recordkeeping copy.~~

~~**If electronic:** Destroy paper documents after the information has been converted into an electronic medium, backed up, and verified. Transfer electronic files to completed work order file after completion of work.~~

~~**If paper:** Transfer paper documents to completed work order file after completion of work.~~

~~B. Completed Files.~~

~~**Disposition: Temporary.** Place in inactive file after completion of work. Cutoff inactive file at end of fiscal year.~~

~~**If electronic:** Delete electronic files 3 years after cutoff.~~

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

32 **N1-557-05-5/Item 6. 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: **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.

FMCSA will maintain electronic versions of these records in accordance to 36 CFR 1234§§30-32.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date: November 17, 2005
To: Laurence Brewer, NWML
From: Vivela Green, NWME
Jim Cassedy, NWML
Subject: N1-557-05-5

The Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation (DOT) submits N1-557-05-05 to request disposition authority for records of the Office of Management Information and Services.

These records were reviewed in January 2005, by Ms. Vivela Green (NWME) and Jim Cassedy, in the company of Mr. Herman Dogan, FMCSA Records Officer. FMCSA submitted a records schedule that included items scheduled by the General Records Schedules (GRS). It was determined during the agency visit that these records were properly identified, and they are not discussed on this appraisal.

Rather than simply noting these records as media neutral, the agency provides a disposition for paper and hardcopy version of the records. Both the value of records in traditional hardcopy version and electronic format versions were considered during the course of this appraisal. The agency has determined that they can retain electronic copies of the records in accordance to 36 CFR 1234§§30-32.

The Records

N1-557-05-5/Item 1 (Agency Item 2). Budget Background Records. These records consist of working papers, cost statements, and data accumulated in the preparation of annual budget estimates, and originating offices copies of reports submitted to budget offices. These records are closely related to budget records scheduled by GRS 3. They have no historical value. The two year disposition proposed by the agency appears to be sufficient for business purposes, and protecting the legal rights of government and citizens. We recommend approval of this item.

N1-557-05-5/Item 2 (Agency Item 3). Chronological file. These records consist of extra copies of outgoing correspondence, and contain no copies of incoming correspondence or yellow copies of outgoing correspondence. Although this item consists of non-record reference records, they are used sufficiently often that the agency wished to schedule it as a records series. The two year disposition proposed by the agency appears to be sufficient for business purposes, and protecting the legal rights of government and citizens. We recommend approval of this item.

N1-557-05-5/Item 3 A, B, C (Agency Item 4 A, B, C). Directives Files. These records consist of various types of directives files, consisting of records that document FMCSA directives used as a

primary means of issuing policy instructions and procedures. FMCSA, continuing a business operation inherited from FHWA previously scheduled by NC1-406-80-11/39, has divided these directives into three sub items, two of which are of administrative and therefore temporary value, and the third which provides substantial information concerning the FMCSA Program operation, and is therefore of permanent value.

- A. Bulletins. These records provide one time announcement such as telephone and room number changes, appointments of individuals, announcement of CFC or savings bond drives, etc. These records are of housekeeping value only, useful for providing information of only a temporary value, and should not be kept for a long time period. The retention period of 6 months after cut-off assures that the records will be retained a year, long enough to appear to be sufficient for business purposes, and for protecting the legal rights of government and citizens. I recommend approval of this item.
- B. Notices. These are temporary issuances transmitting one-time or short term instructions, the value of which appears to be for at least 90 days, but no more than one year. Examples include authority to commit or obligate funds, which in FMCSA is currently renewed from year to year. These records protect the legal rights of the agency and individuals, but have no permanent historical value. The retention period of 10 years, and then destruction, assures that the records will be retained long enough to appear to be sufficient for business purposes, and for protecting the legal rights of government and citizens. I recommend approval of this item.
- C. Orders. These records are internal directives that provide guidance as to how to implement procedures, provide notice of FMCSA policy, and operation instructions. Scheduled as permanent under NC1-406-80-11/39, these records continue to provide evidence of the operations of FMCSA, and will be of interest to researchers as they review the issuances and direction of the agency in the future. FMCSA also provides for the appropriate disposition for non-record copy of these orders. I recommend approval of this item. FMCSA indicates that it will work with NARA to transfer these records in accordance to 36 CFR 1228.272, or will work with NARA to determine an appropriate way to transfer these records.

N1-557-05-5/Item 4 (Agency Item 23). Property and Supplies Files. These records consist of typical agency files managing office property, supplies, and equipment. These records are closely related to items in GRS 3 and GRS 4. Previously scheduled by NC1-406-80-11/111, FMCSA has increased the disposition from 2 to 3 years to more closely correspond to GRS recommendations. The retention period of 3 years, and then destruction, assures that the records will be retained long enough to appear to be sufficient for business purposes, and for protecting the legal rights of government and citizens. We recommend approval of this item.

N1-557-05-5/Item 5 (Agency Item 28). Safety Program Files. These records relate to the FMCSA safety program files. They pertain to the FMCSA Occupational Health and Safety Program. Although important to employees, they do not have permanent value, as they serve the support function of keeping FMCSA employees safe while working on the job. Previously approved by NC1-406-89-3/30, the three year disposition proposed by the agency appears to be sufficient for business purposes, and protecting the legal rights of government and citizens. We recommend approval of this item.

N1-557-05-5/Items 6A and 6B (Agency Item 28 A and B). Word Processing and Electronic Records.
As currently required by NARA, FMCSA has considered the potential recordskeeping potential of word processing, electronic mail, and other similar electronic records. FMCSA has proposed appropriate dispositions for these items. We recommend approval of these items.

We recommend approval of this schedule.



VIVELA GREEN
NWME



JAMES G. CASSEDY
NWML