REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER
NI-557- *05-7*

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

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
Research, Technology and Information Management

4. NAME OF PERSON WITH WHOM TO CONFER Theresa Rowlett	5. TELEPHONE NUMBER (202) 385-2316	DATE *8/22/06*	ARCHIVIST OF THE UNITED STATES *Allen Weinstein*

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 ___5___ 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   ☐ has been requested.

DATE 10/19/04	SIGNATURE OF AGENCY REPRESENTATIVE	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 GRS OR SUPERSEDED JOB CITATION	10.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.		

cc Agency NWMD NWME NWMW

Federal Motor Carrier Safety Administration (FMCSA)
The Office of Information Technology (OIT)

The Office of Information Technology (OIT) has a two-fold mission: 1) to develop and implement agency-wide information systems to support program development and 2) to provide statistical and analytical support for FMCSA program and policy development, implementation, and evaluation.

Item No.	Description of Item.	Disposition Authority

1. **Analysis and Information (A&I) Web Records.**   **New Item**
Contains electronic Internet and Intranet copies of reports, statistical information, and a variety of data relating to FMCSA safety programs and their effectiveness for public and agency distribution and use. Includes web-based search engine capability and search outputs. (NOTE: Record copy publications that are solely on the web are scheduled for permanent retention in NARA Job No. N1-557-05-12.)

Disposition: **Temporary.** Delete when 5 years old or when no longer needed for reference or when information is superseded or becomes obsolete, whichever is sooner.

2. **Correspondence Files Agency-Wide.**   **NI-406-89-3/6**
Contains incoming correspondence, copies of outgoing correspondence and any associated attachments. May include letters, memoranda, telefaxes, electronic mail, or other related means of communication. (NOTE: Substantive correspondence that details policy precedents, media covered incidents, or public and Congressional concentrated attention should be considered for permanent retention and scheduled separately.)

a. **Routine Correspondence.** May include program related issues and activities.

Disposition: **Temporary.** Cut off 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 two years after cutoff.

b. **Substantive Correspondence.** Program related issues and activities.

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 5 years after cutoff.

If paper: Destroy 5 years after cutoff.

3. **Document Management System (DMS)** New Item

DMS is used to store electronic images of forms submitted to the FMCSA. Registration forms that have previously been entered in MCMIS are scanned into the DMS database for storage. The goal of this system was to eliminate physical storage of all paper documents. The system also includes a web-based interface that allows for efficient searches through the stored image archives. Access to the DMS is restricted to registered users and cannot be accessed by public. FMCSA is planning to migrate the data and functionalities of DMS to the Administration's official Electronic Document Management System (EDMS) in the second and third quarters of FY 2006.

a. **Inputs**. MCS-150, MCS-150A, and MCS-150B forms; Cargo Tank Registration, R Stamps, U stamps, Approval Letters and OP-1 forms. These forms are received by mail, fax, bulk mail from states participating in the PRISM program, and regularly scheduled courier runs to the FMCSA. Images are stored in PDF format.

Disposition: **Temporary.** Currently both paper copy and electronic copies are maintained until the approval of EDMS authority. Once images have been transferred over the EDMS, backed up and verified, all DMS files and FMCSA paper copies will be destroyed or deleted.

b. **Master Data Files-Record Copy.**

Disposition: **Temporary.** Destroy or delete when no longer needed for reference.

c. **System Documentation.**

Disposition: **Temporary.** Destroy or delete when superseded or obsolete.

d. **Outputs.**

Disposition: **Temporary.** Destroy or delete when data is no longer needed for reference.

4. **Electronic Document Management System (EDMS)** New Item

a. **Inputs.**

Disposition: **Temporary.** Destroy or delete when imported into the EDMS system and verified.

b. **Master Data Files-Record Copy.**

Disposition: **Temporary.** Destroy or delete when no longer needed for reference.

4. **c.** **System Documentation.**

Disposition: **Temporary.** Destroy or delete when superseded or obsolete.

d. **Outputs.**

Disposition: **Temporary.** Destroy or delete when no longer needed for reference.

5. **Motor Carrier Management Information System (MCMIS).** **NI-406-89-3/40**
MCMIS is the repository of FMCSA's comprehensive record of the safety performance and compliance of motor carriers and hazardous material (HM) shippers subject to the Federal Motor Carrier Safety Regulations and the Hazardous Materials Regulations. Serves as a centralized repository of data that is used by various FMCSA offices, other Federal agencies, organizations, commercial entities, or the general public. Dates: September 2002 to Present.

a. **Inputs.** May include paper or electronic inputs such as carrier registration, compliance review ratings, safety audits, inspection reviews, crash reports, violations, and other related motor carrier safety performance and compliance information.

Disposition: **Temporary.** Destroy or delete, regardless of media, after information is converted or copied to the MCMIS master data files, backed up, and verified.

b. **Master Data Files-Historical Copy.**

Disposition: **PERMANENT.** Cut off at end of fiscal year. Transfer copy of master data files to the National Archives 3 years after cutoff. At time of transfer, NARA and FMCSA will determine the media format in which the records will be transferred.

c. **Master Data Files-Record Copy.**

Disposition: **Temporary.** Delete or update when data is superseded or obsolete.

d. **Historical Copy Documentation.** May be electronic or paper record copy documents that describes the system, how its used, and identifies the data files. May include data dictionary, data field and table layouts, user manuals, and other related materials.

Disposition: **PERMANENT.** Cut off at end of fiscal year and transfer to the National Archives with related master data files.

e. **Record Copy Documentation.**

Disposition: **Temporary.** Delete or update when data is superseded or obsolete.

5.   **f.**   **Outputs.** May include regular and ad hoc reports such as safety, statistical, or management reports, and reports for reference used in preparing work products.

    1)   Record output issuances that are filed to other recordkeeping systems (paper or electronic).

    <u>Disposition</u>:   **Temporary.** Cut off at when report or issuance is run. File to appropriate recordkeeping system (paper or electronic) and use recordkeeping system disposal authority.

    2)   Record output issuances that are not filed to a separate recordkeeping system.

    <u>Disposition</u>:   **Temporary.** Destroy or delete 36 months after issue run or when no longer needed for reference, whichever is sooner.

6.   **Safety and Fitness Electronic Records (SAFER) System.**   **New Item**
SAFER consists of a website, store and forward mailbox system, secondary databases, and communication links. The website portion is FMCSA's portal for public access to motor carrier safety data and information, which includes Carrier Safety Profiles (CSP) and snapshots of carrier data. SAFER also serves as the FMCSA communications nexus with links to various databases. (NOTE: Record copy publications that are solely on the web are scheduled for permanent retention in NARA Job No. N1-557-05-12.)

    a.   Inputs.

    <u>Disposition</u>:   **Temporary.** Destroy or delete, regardless of media, after information is converted or copied to the SAFER master data files, backed up, and verified.

    b.   Master Data Files.

    <u>Disposition</u>:   **Temporary.** Destroy or delete when data is superseded or becomes obsolete.

    c.   Documentation.

    <u>Disposition</u>:   **Temporary.** Destroy or delete when data is superseded or becomes obsolete.

    d.   Outputs.

    <u>Disposition</u>:   **Temporary.** Destroy or delete when data is no longer needed for reference.

7.   **Word Processing and Electronic Mail Copies.**   **New Item**
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.