

## RECORDS MANAGEMENT

### TABLE OF CONTENTS

Section 28.1	Purpose.....	1
Section 28.2	Background.....	1
Section 28.3	Scope and Applicability .....	2
Section 28.4	Definitions .....	4
Section 28.5	Policy .....	4
Section 28.6	Roles and Responsibilities .....	12
Section 28.7	Dates.....	19
Section 28.8	Cancellations.....	19
Section 28.9	Compliance .....	19
Section 28.10	Waivers .....	19
Section 28.11	Approval.....	20

## Section 28.1 Purpose

28.1.1. This Records Management (RM) directive establishes the responsibilities, and requirements for managing the records of the U.S. Department of Transportation (DOT) to ensure that the Department is in compliance with Federal laws and regulations, DOT policies, and best practices for managing records. This Department-wide Policy provides the framework for each DOT Operating Administration (OA), including the Office of the Secretary of Transportation (OST) and the Office of the Inspector General (OIG), to follow regarding issuing specific guidance and detailed operating procedures governing RM.

28.1.2. This directive replaces the Departmental Information Resource Management Manual (DIRMM), (DOT Order 1350.2), Chapter 9, dated January 2006, and all amendments thereto.

28.1.3. The format of this Policy has been changed to reflect new requirements addressed in the Chief Information Officer Policy (CIOP), as a result of DOT Order 1351, Chapter 1, IT Directives Management.

[\(Table of Contents\)](#)

## Section 28.2 Background

28.2.1. The Federal Records Act of 1950, as amended, requires each Federal agency to establish a RM Program. This program is defined as a planned, coordinated set of policies, procedures, and activities needed to manage its recorded information. Essential elements include issuing up-to-date records policies,

properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

28.2.2. DOT records serve a number of purposes including: facilitating administrative and program planning, evidencing DOT activities, protecting legal and financial rights, enabling oversight by Congress and other authorized agencies, and documenting DOT's history. Records serve as DOT's memory of functions, policies, decisions, procedures, and essential transactions.

28.2.3. This is a broad and comprehensive policy on records management and it is important all DOT employees and contractors become familiar and understand with the Roles and Responsibilities Section of this document (Section 28.6).

[\(Table of Contents\)](#)

## **Section 28.3 Scope and Applicability**

28.3.1. The policy information outlined in this chapter applies to all DOT OAs, including OST and OIG, and organizations conducting business for, and on behalf of, DOT.

28.3.2. It is the intent of the RM Program to promote standard processes, procedures, practices and guidelines that ensure the proper handling of DOT records in accordance with all guidelines of the National Archives and Records Administration (NARA). Adherence to this Policy will ensure that all DOT records are maintained in accordance with Federal laws, standard business practices, and all regulatory requirements. This Policy aims to ensure that adequate controls are in place for records as they pertain to (see table 1):

Table 1: Components of the Records Management Program

Category	Purpose
Record Creation	Create records by following standard processes, procedures, practices and guidelines that ensure reliable, usable records and content.
RM Training	Recommend, and make available, training for all DOT employees and contractors on the legal requirements of RM and basic strategies for identifying and managing DOT records.
Managing Paper and Electronic Records	Manage hard-copy and electronic records by following guidelines specified within this Policy.
Record Distribution and Use	Share and use records in a manner that preserves the overall integrity of the record during the normal course of business, in accordance with established DOT policies.
Records Retention and Disposition Scheduling	Schedule and retain records in accordance with applicable guidelines and business needs, ensuring the usage of accurate NARA approved authorities.
Transferring Records to Offsite Storage	Transfer records to offsite storage in accordance with instructions found in DOT retention schedules.
Record Storage and Retrieval	Store and retrieve records onsite and offsite throughout their lifecycle in a manner that ensures accessibility and secures preservation.
Record Disposal	Destroy records at the appropriate time and in accordance with established procedures designed to protect DOT information. Keep written documentation (audit trail of disposed of records in accordance with DOT policies.
Permanent Records	Transfer records that have been appraised by NARA as having archival value listed on records disposition schedules.
Vital Records	Identify, protect and retrieve records that are essential to protecting DOT, as well as those records of the public's financial and legal rights and obligations.
COOP Emergency Records	Protect and retrieve records in order to provide for continuity of business operations in the event of a disaster.
Hold (Freeze)	Preserve and produce records that are the subject of litigious, governmental or audit investigations. Record holds supersede the normal records retention and disposition requirements found in the DOT records retention schedule.
Removal of Records	Ensure that records are properly secured and not vulnerable to unauthorized removal.

28.3.3. **AUTHORITIES:** The following statutes, regulations, executive policy, and other authorities govern the DOT RM Program.

- A. Freedom of Information Act of 1966 (5 U.S.C. § 552)
- B. Privacy Act of 1974 (5 U.S.C. § 552a)
- C. Federal Records Act of 1950, as amended (44 U.S.C. § 21, 29, 31, 33, 35, and 36)
- D. Paperwork Reduction Act of 1995, as amended (44 U.S.C. Chapter § 3501 et seq)
- E. Concealment, Removal, or Mutilation of Records (18 U.S.C. § 2071)
- F. Office of Management and Budget's OMB Circular A-130, Management of Federal Information Resources
- G. National Archives and Records Administration (NARA), Records Management Regulations, 36 CFR Chapter XII, Subchapter B
- H. General Services Administration (Creation, Maintenance and Use of Records), 41 CFR Subchapter G, part 102–193
- I. DOT Order 1351, Chief Information Officer Policy (CIOP)
- J. DOT Order 1640.4D, Classified Information Management

[\(Table of Contents\)](#)

## **Section 28.4 Definitions**

28.4.1. Refer to the RM section of the [CIOPedia](https://one.dot.gov/ost/s80/CIOPedia) (<https://one.dot.gov/ost/s80/CIOPedia>) for a complete listing of applicable definitions.

## **Section 28.5 Policy**

28.5.1. This Policy contains guidance applicable to the management of DOT records, in both hard copy and electronic formats. DOT employees and contractors are responsible for ensuring that all DOT records are managed in accordance with this Policy. Each OA is responsible for maintaining its own records under the guidance of the Departmental RM Officer (DRMO). The DRMO and Department Records Management Program fall under the purview of the DOT Office of the Chief Information Officer.

28.5.2. While the RM procedures will provide specific guidelines , the overall RM Policy requires that employees and contractors:

28.5.2.1. Properly create and identify records.

28.5.2.2. Promptly discard records that have no lasting value in accordance with established retention and disposition guidelines in NARA-approved DOT records schedules and NARA issued General Records Schedules (GRS).

28.5.2.3. Retain all records legally required to be retained for as long as required in accordance with established retention and disposition guidelines in NARA-approved DOT records schedules and NARA issued General Records Schedules (GRS).

28.5.2.4. Regularly review stored records.

28.5.2.5. Provide adequate protection for DOT records.

28.5.3. Compliance with this Policy will be achieved through the implementation of the DOT RM Procedures and appropriate training.

28.5.4. **Record Creation**

28.5.4.1. All records created or obtained by DOT that meet the definition of a Federal record are DOT records and not the property of individual employees. DOT records include not only records originated by DOT employees, or citizen services supported by DOT, but records originated by or on behalf of others, if received and used by DOT in the transaction of official DOT business and under DOT control. DOT records do not include non-Federal records (for example, employees' personal papers, loaned records, and extra copies maintained only for convenience of reference).

28.5.4.2. It is the responsibility of every OA and Line of Business (LOB) to create records detailing the transactions of agency business. Any record created within DOT should document DOT functions, policies, decisions, procedures and transactions and must be retained in accordance with current retention requirements in NARA-approved DOT records schedules and NARA issued General Records Schedules (GRS).

28.5.4.3. In order to ensure the accuracy and integrity of DOT information, records must be created using DOT approved programs, systems, and equipment internally or externally, or in conjunction with approved business partners.

28.5.4.4. Record content must be factual, to the best of the record creator's knowledge, and must not contain any misrepresentations.

28.5.4.5. Record owners will ensure that required information is captured when the record is created to allow users to search for and retrieve content quickly and accurately.

28.5.4.6. If no record series or record type exists to categorize a specific record, a new record series or record type must be created and added to the business record file plan and retention schedule.

28.5.4.7. New records added to the LOB record file plan must contain the following information: Office of Record/Line of Business; Record Series; Record Type Name; Record Description/Purpose; Retention Period for Active and Inactive Storage; Disposition and Authority Citations.

28.5.5. **RM Training**

28.5.5.1. Annual RM training is recommended for all DOT employees and contractors to ensure compliance with this Policy and education on basic strategies in identifying and managing DOT records. The DRMO develops Department-wide records management training materials in accordance with current policies, procedures, and guidance.

28.5.5.2. Additional role based training for the DRMO, the OA RM Officers, and the Record Liaisons (RLs) is also recommended to ensure DOT records are successfully managed in accordance with this Policy and NARA legal requirements.

28.5.6. **Managing Paper and Electronic Records**

28.5.6.1. It is DOT policy to preserve all DOT records, regardless of media, throughout their entire lifecycle, in accordance with applicable statutory and regulatory requirements and to promote access to information by staff, partners, and the public, as appropriate. DOT is required to establish and maintain a RM Program that meets the following minimum requirements:

28.5.6.1.1. Issues specific policies and procedures that are consistent with guidelines issued by NARA and other agencies with Government-wide oversight responsibilities.

28.5.6.1.2. Provides guidance and regular reminders to employees regarding how to distinguish non-records and personal papers from Federal records, with respect to records that employees manage.

28.5.6.1.3. Maintains DOT records according to an applicable file plan.

28.5.6.1.4. Manages electronic records, including electronic mail, in accordance with applicable statutes, regulations, and DOT policy.

28.5.6.1.5. Maintains electronic records, including electronic mail records, in a Department of Defense (DoD) Directive 5015.2 certified electronic record keeping system, when available.

## DOT Order 1351.28 Records Management

28.5.6.1.6. Prints and files electronic records in a paper-based recordkeeping system, if an enterprise-wide electronic content management recordkeeping system is not available.

### 28.5.7. **Managing Sensitive or Classified Records**

28.5.7.1. Classified records must be controlled and protected through the implementation of [DOT Order 1640.4D](#) "Classified Information Management," issued December 9, 1997.

### 28.5.8. **Distribution and Use**

28.5.8.1. Records must be accessed, distributed, and used only to execute DOT business.

28.5.8.2. Records must not be taken, accessed, distributed, or used outside of DOT facilities unless approved and documented in a written agreement (e.g. telework agreement) signed and maintained by the employee's supervisor.

28.5.8.3. Information transmitted or received using a DOT issued portable device (i.e. Blackberry, iPhone, Laptops) is considered a government record. It will be subjected to the same requirements outlined in this policy.

### 28.5.9. **Records Retention and Disposition Scheduling**

28.5.9.1. All DOT records must be retained in accordance with NARA approved DOT records schedules and/or NARA issued General Records Schedule (GRS).

28.5.9.2. DOT records must not be retained beyond the required record retention period, unless there is a Hold (freeze) on their disposal or other justification for the extension.

28.5.9.3. All records must be retained in a readily accessible form, under the following conditions:

28.5.9.3.1. The retention period must be sufficient to meet business needs;

28.5.9.3.2. The retention period must meet Federal laws and regulations governing the record and/or business process and;

28.5.9.3.3. The retention period can exceed Federal laws and regulations governing the record if the associated business needs warrant it and approval is granted by NARA.

28.5.9.4. All DOT records must have an applicable NARA-approved records schedules or General Records Schedule (GRS).

28.5.9.5. Records retention and disposition requirements may only be suspended by a Litigation Hold communicated by the OGC, the OA Offices of Chief Counsel, and/or an administrative Hold dictated by the LOB.

28.5.9.6. Each LOB shall identify unscheduled agency records on an ongoing basis and schedule them promptly with NARA.

28.5.9.7. Unscheduled Federal records cannot be destroyed or deleted.

**28.5.10. Transferring Records to NARA and Offsite Storage**

28.5.10.1. All DOT records designated for permanent retention must be transferred to NARA in accordance with instructions found in their respective DOT records schedule.

28.5.10.2. Temporary Records and other documents that are no longer sufficiently active to warrant a retention in office or network space shall be removed in accordance with an approved records schedule, as rapidly as possible by:

28.5.10.2.1. Transferring them to a Federal Records Center (FRC) or;

28.5.10.2.2. Transferring to a records retention facility meeting the requirements of 36 CFR Chapter 12, Subchapter B, Subpart K, or;

28.5.10.2.3. Destroying, if authorized.

28.5.10.3. Each LOB within each OA and OST office will be responsible for tracking its inventory of records stored off-site.

**28.5.11. Record Storage and Retrieval**

28.5.11.1. All records must be stored in a manner that facilitates quick and accurate retrieval for the entire lifecycle of the record.

28.5.11.2. All records scheduled to be stored offsite must be stored at an approved offsite storage facility.

28.5.11.3. Record storage technology reviews are required every five (5) years to ensure that the overall readability, retrievability, and integrity of the electronic records are not compromised by technological obsolescence.



## DOT Order 1351.28 Records Management

28.5.11.4. Each LOB within each OA and OST office must follow the documented RM procedure to locate and retrieve archived records from offsite or offline storage.

28.5.11.5. All offsite retrieval requests must be forwarded through the designated Record Liaison

28.5.11.6. The RLs possess exclusive authorization to process records for offsite storage and retrieval for their functional area. With the exception of the DRMO, the OA RMOs, and their designees, no other staff members may contact the offsite FRC or private storage vendor for the shipping and receiving of records or creation of a new account. The OA RMO must review and approve NARA SF-135 or other approved forms to send records offsite. The OA RMO must assign accession numbers and maintain a log of this transaction.

28.5.11.7. The RLs shall track all record shipping and receiving activity in a manner that provides the immediate ability to locate offsite storage records.

28.5.11.8. With the exception of records that are subject to Holds, records received from offsite storage may not be maintained onsite by any LOB for more than sixty (60) calendar days after the records are no longer needed.

28.5.11.9. The RLs shall conduct an accounting of all records retrieved from offsite storage on a semi-annual basis to ensure that no offsite storage records are being maintained beyond the sixty (60) calendar day limitation that does not meet the Hold exceptions criteria.

### 28.5.12. **Record Disposal**

28.5.12.1. No record may be destroyed before the expiration of the applicable NARA-approved retention period as designated on NARA-approved DOT records schedules.

28.5.12.2. DOT records must be disposed of in strict accordance with applicable DOT NARA-approved records schedules or NARA issued GRS, unless they are subject to a Hold.

28.5.12.3. Records, including copies that fall under a Record Hold status, may not be deleted, disposed of, or destroyed until the hold is lifted. Once the hold is removed, the official record must be maintained for the remainder of the required retention period as applicable.

28.5.12.4. Records that are the subject of litigation, a pending investigation request, or a pending Freedom of Information Act (FOIA) request must not be destroyed until the legal action or activity has ended, even if the records are otherwise scheduled for destruction. Employees must not destroy any records

that are subject to an actual or potential lawsuit, audit, regulatory/government investigation.

28.5.12.5. A Retrieval and Destruction Request must be made by the RL and submitted to the OA RMO, for review and approval.

28.5.12.6. Destruction of all eligible records must be conducted in a manner that renders them irretrievable.

28.5.12.7. Local departmental shredders are NOT to be utilized for the destruction of documents that contain or could contain sensitive information or for records that must be approved for destruction using the Departmental Records Certification of Destruction. Local shredders may be used for the destruction of Transitory Documents (such as Interim versions, working papers, and other non-records) only, and only if those files contain no sensitive information. Please refer to DOT Records Management Procedures on Records Destruction for instructions on how records are to be destroyed.

28.5.12.8. The authorized offsite storage vendor will be instructed to adhere to the record destruction guidelines within this Policy.

28.5.12.9. Each OA RMO must maintain approved certifications for all records destroyed in accordance with retention schedules; e.g., certifications from an outside vendor, reports from a tracking system, RM Certificate of Destruction form.

28.5.12.10. At least once a year, offices shall purge files in accordance with the appropriate DOT NARA-approved records schedules and/or NARA issued GRS.

#### 28.5.13. **Vital Records**

28.5.13.1. Vital Records are records that contain information necessary to re-establish the organizational operations and mission support in the event of an emergency or disaster. This includes information and records needed to rebuild DOT's legal and financial information base.

28.5.13.2. Any record identified as vital must be secured in a manner that completely preserves and protects the integrity of the record. Examples of securing vital records include locking in fireproof file cabinets, safes, or other fireproof storage devices, using an offsite storage facility, and/or using an offsite data recovery/backup center.

28.5.13.3. OAs must ensure that methods to protect and safeguard the vital records from loss, misuse, and unauthorized access or modification are created and implemented in accordance with this Policy.

**28.5.14. Continuity of Operations Plan (COOP) Emergency Records**

28.5.14.1. All OAs must complete a COOP Emergency Records Plan for their records, for the level of protection needed, and the speed with which the records must be retrieved in the event of a hazard or disaster. The plan must include information on roles and responsibilities and provide detailed instructions describing what role-based actions should take place in the event of a disaster affecting records, regardless of storage location.

28.5.14.2. All COOP Emergency Records Plans must be reviewed by the Associate CIO for IT Policy and Oversight, DRMO, OGC, applicable OA Chief Counsel's Office and the COOP Specialist prior to distribution and implementation.

28.5.14.3. The RM COOP Emergency Records Plan must be stored in a secure format and location that is readily accessible in case of an event that necessitates the plan's use. The plan must be compliant with the DOT RM policies and procedures, as well as the [DOT Order 1351](#). An additional copy is to be submitted to the DRMO and the OA RMO to be kept on file.

28.5.14.4. The RM COOP Emergency Records Plan must be managed as a vital record and be included in the DOT COOP plan.

**28.5.15. Record Holds**

28.5.15.1. When a lawsuit arises or is anticipated, OGC or the applicable OA Chief Counsel's Office may issue a Litigation Hold.

28.5.15.2. Other Holds may be imposed on applicable records by employees and LOBs when they are aware of a particular claim, audit, inquiry, investigation or other matter that necessitates a Hold.

28.5.15.3. DOT employees must preserve records that are subject to a Hold. If an employee or LOB has questions or concerns about whether particular records are subject to Hold, or whether a Hold should be issued, the employee or LOB must immediately preserve them and seek guidance from the applicable OA Chief Counsel's Office and/or OGC.

28.5.15.4. When a Litigation Hold is issued, the issuing office (OA Chief Counsel's Office or OGC) will be responsible for wording the Litigation Hold describing the nature of the proceeding and the retention requirements in sufficient detail to enable recipients to understand which records must be preserved; working with organization RMO and RLs to identify relevant employees and/or LOB; responding to questions about the Litigation Hold; and informing recipients when the Litigation Hold has been lifted.

28.5.15.5. When a Hold other than a Litigation Hold is issued, the issuer must provide written notice of the Hold to relevant employees and/or LOBs (including the applicable OA RMO). The notice must include a description of the records that must be preserved and the reason for the Hold.

28.5.15.6. It is the responsibility of the organization RMO to notify FRCs and private storage vendors, in writing, of Holds affecting records stored offsite in those facilities, and to ensure that other RM procedures concerning Holds are followed, including imposing suspension of routine record destruction policies and procedures for records stored onsite that are subject to Holds.

#### **28.5.16. Removal of Records from Official DOT Custody**

28.5.16.1. All records, including records on portable devices (blackberry, thumb drives, etc), governed by this Policy are the exclusive property of DOT and must not be taken, accessed, distributed, or used outside of DOT facilities unless approved and documented in a written agreement (e.g. telework agreement) signed and maintained by the employee's supervisor.

28.5.16.2. DOT officials and employees can remove non-record materials as defined within the [CIOpedia](https://one.dot.gov/ost/s80/CIOpedia) (<https://one.dot.gov/ost/s80/CIOpedia>) from official DOT custody and facilities at any time, and without written approval, unless they are subject to a Hold.

## **Section 28.6 Roles and Responsibilities**

28.6.1. **The Secretary of the Department of Transportation** is responsible for;

28.6.1.1. Ensuring that the organization makes and preserves records containing adequate and proper documentation of organizational functions, policies, decisions, procedures, and essential transactions of DOT.

28.6.1.2. Establishing and maintaining an active, continuing program for the economical and efficient management of the records of DOT.

28.6.1.3. Establishing safeguards against the removal or loss of records.

28.6.1.4. Making requirements and penalties known to DOT officials and employees.

28.6.1.5. Ensuring that the RM strategy for DOT is in alignment with the overall DOT strategy.

## DOT Order 1351.28 Records Management

28.6.1.6. Notifying the Archivist of the United States of any actual, impending, or threatened unlawful destruction of records, and assisting in the recovery of such records.

28.6.2. **The Chief Information Officer (CIO)** is responsible for;

28.6.2.1. Designating an Office of Primary Responsibility (OPR) to be responsible for this Directive, 1358.28, as explained in DOT Order 1351.1, IT Directives Management.

28.6.2.2. The OPR shall be the Associate Chief Information Officer for IT Policy and Oversight.

28.6.3. **The Associate Chief Information Officer for IT Policy and Oversight** is responsible for;

28.6.3.1. Designating the Departmental RM Officer (DRMO).

28.6.3.2. Provide strategic direction and oversight of DOT records management program.

28.6.3.3. Reviewing and authorizing DOT level RM policies and procedures.

28.6.3.4. Providing guidance to the DRMO on the resolution of issues and problems related to electronic systems that generate and/or retain electronic records.

28.6.3.5. Directing the DRMO to conduct periodic reviews of the effectiveness and efficiency of all DOT electronic systems associated with or part of the RM program.

28.6.3.6. Assisting in planning and implementing information management technology and reviewing the purchase of records management equipment and services to ensure they conform to Federal statutory, regulatory, and DOT RM requirements.

28.6.4. **The Departmental RM Officer (DRMO)** is responsible for;

28.6.4.1. Leading and managing the Department-wide records management program.

28.6.4.2. Ensuring DOT senior officials are aware of their programmatic and individual records management responsibilities.

28.6.4.3. Issues and developing Department-wide records management policies, procedures, guidance and training materials.

28.6.4.4. Ensure records management requirements are incorporated into Information Technology systems development and redesign.

28.6.4.5. Ensuring that the RM program remains viable while meeting operational, legal, and regulatory requirements.

28.6.4.6. Conducting and coordinating an annual review cycle, updating, and if necessary, initiating re-approval of this Policy.

28.6.4.7. Conducting periodic evaluations of records management programs throughout the Department to ensure compliance with this policy.

28.6.4.8. Assisting OAs with RM to include:

28.6.4.8.1. Creating and maintaining a DOT-wide Records Retention and Disposition Schedule to instruct LOB on how long to maintain DOT records, also providing overall guidance on any recordkeeping requirements.

28.6.4.8.2. Developing guidance and procedures for conducting risk assessments.

28.6.4.8.3. Providing guidance to Operating Administration's RM Officer for the creation of a COOP Records Plans.

28.6.4.8.4. Developing guidance for OAs and LOB to conduct Annual RM Compliance Reviews.

28.6.4.8.5. Providing feedback on all RM activities conducted by the OAs and LOBs.

28.6.4.8.6. Developing OA specific RM training modules.

28.6.4.8.7. Acquisition and management of RM services and products provided by outside vendors.

28.6.4.9. Coordinating RM issues with other Government-wide agencies, including Federal oversight agencies such as the Office of Management and Budget, NARA, and the General Services Administration.

28.6.4.10. Assisting in the planning and implementation of information technology and reviewing the purchase of RM equipment and electronic RM solutions to ensure they conform to Federal statutory and regulatory requirements.

28.6.5. **Office of the General Counsel** is responsible for;

28.6.5.1. Notifying the appropriate OA and/or LOB RMO's & RL's of a record Litigation Hold and instruct directly affected employees on retaining any potentially relevant records.

28.6.5.2. Providing legal advice and counsel to OAs and LOBs on all matters arising in the administration of this Directive.

28.6.5.3. Reviewing and approving DOT's proposed records schedules prior to their submission to NARA.

28.6.5.4. Reviewing and approving this Policy, and any modifications to it.

28.6.5.5. Determining if data maintained either in an automated or manual data system can be disclosed based on DOT disclosure guidelines.

28.6.6. **Operating Administration's Office of Chief Counsel (OA OCC)** is responsible for;

28.6.6.1. Issuing OA-specific Litigation Holds to appropriate LOBs and the OA RMO describing the nature of the proceeding and the retention requirements in sufficient detail to enable recipients to understand which records must be preserved.

28.6.6.2. Advising OA LOBs and OA RMO on questions or concerns about whether particular records are subject to a Hold, or whether a Hold should be issued.

28.6.6.3. Reviewing all COOP Emergency Records Plans for their respective OA.

28.6.7. **Heads of DOT Organizations** (e.g. Administrators, Secretarial Offices, , Regional Administrators, and Laboratory/Center/Office Directors) are responsible for;

28.6.7.1. Promoting the creation of adequate documentation throughout their organization by defining recordkeeping requirements for their programs.

28.6.7.2. Establishing RM programs within their organizations that are consistent with DOT policy and executed by division and office staff.

28.6.7.3. Ensuring backups of original electronic records are periodically verified and validated to maintain integrity.

28.6.7.4. Designating an OA RMO to work with the DRMO in implementing policies and procedures. Changes to the designee shall be forwarded to the DRMO immediately.

28.6.7.5. Overseeing the implementation of adequate training and support to the RM staff and OAs and promoting RM initiatives.

28.6.7.6. Overseeing the development and maintenance of, in conjunction with the OA RMO, an accurate record inventory and Record Retention and Disposition Schedules for all records for which the organization is the Custodian or Office of Record.

28.6.7.7. Ensuring that the vital records inventory, COOP Plan, and designations for their LOB are current and complete.

28.6.8. **Operating Administration's RM Officer (OA RMO)** is responsible for;

28.6.8.1. Developing and implementing RM procedures and guidance documents that are consistent with this directive within their organization and submitting those policies to the DRMO for coordination and approval prior to issuance.

28.6.8.2. Assisting with overseeing the implementation of agency-specific RM product and service acquisitions.

28.6.8.3. Coordinating the transfer, retrieval, and re-file of inactive records to and from off-site storage.

28.6.8.4. Applying the dispositions to records stored on and off-site and notifying the appropriate program office and the off-site facility of changes in dispositions due to updated records disposition schedules.

28.6.8.5. Establishing RM lifecycle procedures in alignment with this Policy to ensure the proper management of OA records from creation to disposition.

28.6.8.6. Reviewing and approving of final list of records eligible for disposition.

28.6.8.7. Coordinating and securing necessary approvals from OGC, their OA Chief Counsel, the DRMO and/or NARA whenever records eligible for destruction are required to be maintained beyond their authorized disposition date.

28.6.8.8. Providing technical assistance, including records holds, to program staff within their OA.

28.6.8.9. Promoting and conducting RM training within their OA.



28.6.8.10. Conducting periodic RM reviews within the OA to ensure compliance with this Policy, applicable regulations, and DOT standards and procedures, including protection of vital records.

28.6.8.11. Assisting in establishing contracts for records stored at a commercial storage facility.

28.6.8.12. Promoting the creation of adequate documentation throughout their organization by defining the recordkeeping requirements for their programs in procedural manuals or other documentation to be coordinated with the DRMO prior to issuance.

28.6.8.13. Assisting in the development of COOP plans for redundant or alternate operations to ensure access to vital records during emergency situations.

28.6.8.14. Developing a network of RLs to coordinate RM activities in selected offices.

28.6.9. **Operating Administration's Records Liaison (RL)** is responsible for;

28.6.9.1. Acting as the liaison between their assigned office and the OA RMO to coordinate RM activities.

28.6.9.2. Notifying the OA RMO, in writing, of any changes to the RL designee list.

28.6.9.3. Working with the OA RMO to make ensure that all records are filed according to the office file plan and are described accurately in the agency's records disposition schedule.

28.6.9.4. Working under the guidance of the OA to ensure the transfer of eligible records to FRCs or off-site storage facilities, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to NARA.

28.6.9.5. Conducting periodic evaluations of RM activities in assigned offices, in cooperation with the OA RMO and employees.

28.6.9.6. Ensuring records selected to be shipped to the FRC or other authorized offsite storage facilities are properly and accurately inventoried to identify records series and item numbers contained in records disposition schedules. This verification process must be completed prior to the transfer of inactive records to off-site storage.

28.6.9.7. Preparing records for transfer, including the preparation of the appropriate forms for records, to be stored at an FRC or offsite storage facilities, and forwarding the forms to the OA for approval.

28.6.10. **DOT Program Managers and System Owners** are responsible for;

28.6.10.1. Performing regular reviews of the system's performance and compliance with legal and regulatory requirements.

28.6.10.2. Identifying the official office of record for the records being created.

28.6.10.3. Specifying if the data being created is record or non-record material.

28.6.10.4. Determining in what format the official record will be maintained for its life cycle, i.e. paper, microfilm, or electronic media.

28.6.10.5. Applying appropriate disposition instructions for the files being created including the disposition of permanent records.

28.6.10.6. Establishing appropriate levels of security to provide the necessary protection for records. Refer to [DOT Order 1351](#) for information on IT Security.

28.6.10.7. Implementing systems to back up electronic records to safeguard against the loss of records due to equipment malfunction, deterioration of the record medium, or human error.

28.6.10.8. Requiring that all modifications, upgrades, and changes to existing systems comply with this Policy.

28.6.11. **Contracting Officers (CO), Contracting Officer's Technical Representative (COTR) and Contract Oversight Managers** are responsible for;

28.6.11.1. Ensuring that all contracts and agreements include recordkeeping requirements as outlined in this Policy.

28.6.11.2. Coordinating with the appropriate OAs and RLs on the transfer of records from contractors to DOT.

28.6.12. **DOT Employees, Contractors, and Record Owners** are responsible for following this policy by:

28.6.12.1. Documenting their business activities by implementing the recordkeeping requirements established in this policy and by their OA.

28.6.12.2. Organizing their files in a manner that facilitates efficient, accurate and effective retrieval of information.

28.6.12.3. Coordinating with the appropriate OA RMO and RLs regarding all aspects of RM (including applicable NARA-approved DOT records schedules and NARA issued GRS).

[\(Table of Contents\)](#)

## **Section 28.7 Dates**

28.7.1. There shall be an annual review of this Policy to ensure it remains consistent with all applicable Federal laws, policies, and guidance.

28.7.2. At least once a year, each OA RMO or RL must remind its employees and contractors, in writing, of the OA's or LOB's procedure for identifying, scheduling, managing, and disposing of DOT records.

28.7.3. The responsible OA, with the assistance of the DOT Program Managers and System Owners shall create and submit a records disposition schedule to NARA not later than 1 year after identifying unscheduled records or implementing a new system.

28.7.4. At least once a year, offices shall purge files in accordance with the appropriate organizations' records disposition schedule and NARA's General Records Schedule (GRS).

[\(Table of Contents\)](#)

## **Section 28.8 Cancellations**

28.8.1. This order cancels the DIRMM, Chapter 9, signed in January 2006. This Policy supersedes all earlier communications specific to this topic.

[\(Table of Contents\)](#)

## **Section 28.9 Compliance**

28.9.1. There will be an annual review of this Policy and directives to review compliance.

28.9.2. The DRMO, in coordination with OGC, shall conduct annual strategic evaluations of the RM Program within select OAs and Lines of Business as part of DOT's RM Review and Oversight Program and advise the Secretary or his/her designee of significant noncompliance. The report shall include required corrective actions and a timetable for correction.

[\(Table of Contents\)](#)

## **Section 28.10 Waivers**

28.10.1. Requests for exceptions to this Policy shall be provided in writing to the DOT CIO. The DOT CIO shall provide a written waiver or justification for denial.

[\(Table of Contents\)](#)

## Section 28.11 Approval



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Nitin Pradhan  
DOT Chief Information Officer

11/1/2010

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Date

(Table of Contents)