Memorandum

U.S. Department
Of Transportation
Federal Motor Carrier
Safety Administration

SP-07-003-GE

Subject: Implementation of Electronic Document Management System (EDMS) For Motor Carrier Safety Assistance Program (MCSAP) Grant Records

Date: DEC 18 2006

From: Dan Hartman
Associate Administrator
for Enforcement and Program Delivery

Reply to
Attn.of: MC-ESS

To: Field Administrators
Division Administrators

Purpose

This memorandum provides guidelines for implementation of the Agency's EDMS for MCSAP grant records. This policy will promote effective implementation of EDMS nationally for MCSAP and create a standard MCSAP record index for ease in subsequent document search and retrieval activities.

Background

To address the increasing volume of paper processed daily by division, service center and headquarters program staff, space issues and new e-mail server capacity limitations, the Agency developed an EDMS for all Agency records. The first part of the system was rolled out for use by the Federal Motor Carrier Safety Administration (FMCSA) field offices beginning in 2004. The State Program Library of EDMS will support established policies governing the retention, transmittal, and submission of documents associated with MCSAP administration.

The EDMS has been audited and approved by the National Archives and Records Administration and will, therefore, serve as the single point of storage and access for all MCSAP documents. As the official MCSAP record repository, it is critical that EDMS present a complete and accurate history of the Agency's MCSAP grants business. To achieve that goal, EDMS must contain all MCSAP-related documents, identified and stored according to uniform document indexing procedures developed for the system. The uniform identification and storage of MCSAP grant documents will enable agencywide accessibility through a defined systematic retrieval search process applicable to all FMCSA offices.

EDMS Implementation Policy

Beginning in FY 2007, all MCSAP-related documents are required to be entered into EDMS in accordance with the training guide distributed during the EDMS orientation sessions with representatives from each field office. The training guide provides specific information and clarification regarding the uploading of documents to all EDMS folder groups, including the State Program Document section. For your convenience, the State Program Document Reference Guidance section of the training guide has been adapted specifically for MCSAP requirements and is attached. The full EDMS training guide should continue to be used for clarification and guidance regarding the EDMS system and procedures. If you need a copy of the EDMS training guide, please contact your Service Center area EDMS coordinator.

Entry of MCSAP Documents into EDMS

Documents must be uploaded into EDMS in a timely manner. At a minimum, documents shall be uploaded according to the following schedule:

1. Executed and Approved Documents
   Documents with FMCSA Division Administrator (DA) execution (signature/approval) must be uploaded **within 15 working days** of execution or approval.
   [Examples: MCSAP-1, MCSAP-2, MCSAP-2A, Commercial Vehicle Safety Plan (CVSP), CVSP amendments, vouchers, State certifications, program and process reviews, business plans, partnership agreements, etc.].

2. General Correspondence and Documents
   Documents that do not require FMCSA DA execution (signature and approval) shall be uploaded into EDMS **within 30 working days** of receipt or issuance.
   [*Examples: quarterly reports, general correspondence (letters/memos), program and activity monitoring reports and records, program related e-mails, etc.].*

Submission of MCSAP Documents to Headquarters

In addition to uploading MCSAP documents into EDMS, the following documents must be transmitted to the headquarters State Programs Division at e-mail address mcsapteam@dot.gov. The method for transmission shall be the EDMS e-mail link feature. Using the e-mail link method minimizes capacity issues with our e-mail server, while providing State Programs Division with streamlined and standardized procedures for the retrieval of all MCSAP documents (see attached). Because the Federal Aviation Administration (FAA) does not have access to EDMS, you must continue to forward via e-mail scanned copies of grant agreements, amendments and vouchers to FAA in Oklahoma for the purpose of obligation documentation and grant reimbursement.

Document Requiring E-mail Link Transmission to the MCSAP Team:

- MCSAP CVSP – approved and amendments
  - CVSP, CVSP budget, State certifications, State training plan

- Grant and Financial Documents – Executed
  - MCSAP-1, MCSAP-2 grant agreement, MCSAP-2A grant amendments
  - Final voucher with line-item expenditure report
- Special Grant Proposals and Applications
  - High priority proposal, budget, and certification
  - New entrant proposals, budget, and certification
- Program Review Documents and Reports
  - Program Review Corrective Action Plan

Quality Assurance of Documents

All MCSAP-related documents must follow the quality assurance procedures as directed by the EDMS training guide. Once a scanned document upload has been verified in EDMS and the system has successfully performed the backup of all documents uploaded, the Division shall properly destroy and shred paper copies for privacy protection. To ensure the system backup procedure has been completed successfully, all records uploaded during a week (Monday through Friday) must be retained until the following Wednesday.

Additional information and assistance is available on the EDMS training Web site at http://152.122.44.92/etraining/index.html.

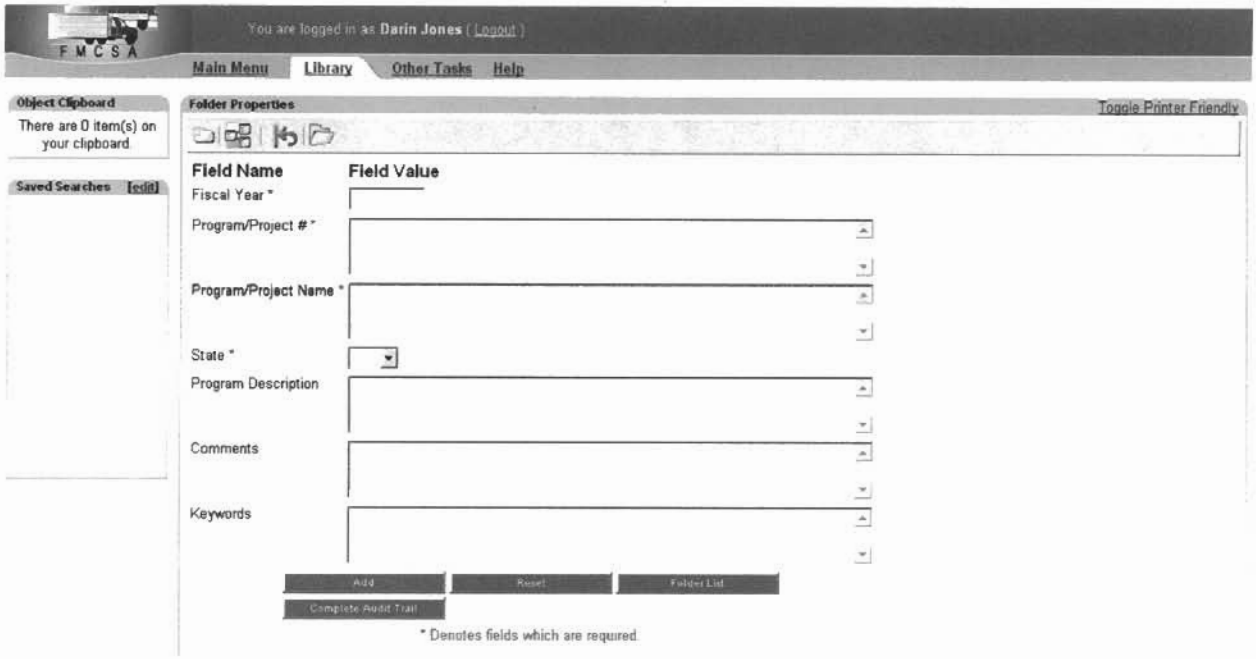
If you have any questions, please contact Michael Lamm at (202) 366-6830 or via e-mail at mike.lamm@dot.gov.

Attachment

ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS)
MCSAP DOCUMENT REFERENCE GUIDANCE

The EDMS system relies upon uniform indexing of documents uploaded to EDMS. This indexing is essential to ensure effective and efficient retrieval of all documents. The following fields were established to index documents in the State Programs search class and must be used as appropriate.

FOLDER PROPERTIES



1. ***Fiscal Year** – The federal fiscal year associated with the grant for which the document applies.
2. ***Program/Project Number -** The project number (MC-05-01-1) associated with the document. Documents that support a specific project must be indexed with the appropriate project number. Documents that do not support or reference a particular project must be indexed by program description (MCSAP High Priority). **Note:** *For grant funding proposals (high priority or other special grants) that have not been awarded (allocated), use "Grant Application" in this index field. Once the proposal is awarded funding, the file must be re-indexed by amending the program/project number to the record in EDMS.*
3. ***Program/Project Name** – The program/project name associated with the document. For those documents that relate to a specific project, identify the project such as MCSAP basic, MCSAP incentive, MCSAP high priority *traffic enforcement* (*i.e., project title*), etc. All other documents that do not relate to a specific project should be identified by the most descriptive program name possible (i.e., MCSAP new entrant, MCSAP high priority, or simply MCSAP as a last resort, etc.).
4. ***State** – Standard alphabetic state abbreviation.
5. **Program Description** – A brief description of the program (i.e., 200x MCSAP Basic Grant Program, 200x MCSAP High Priority, etc.).

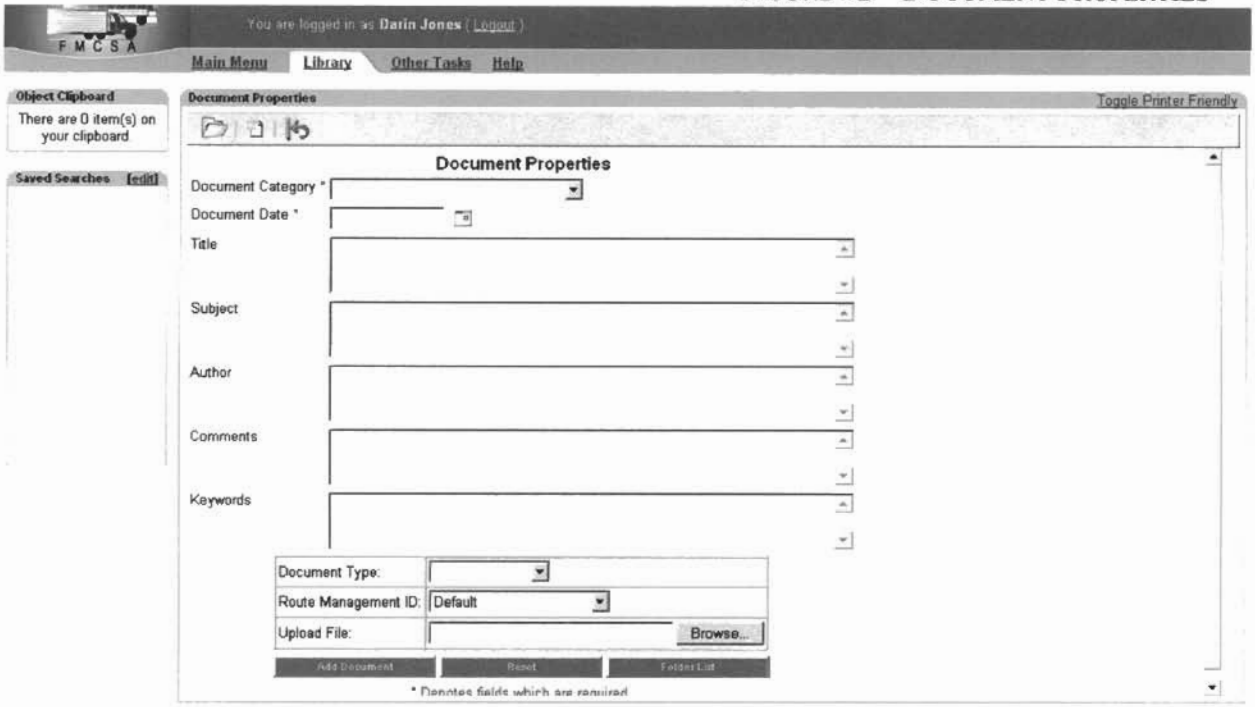
6. **Comments** – Unique identifying information to further identify and aide in the subsequent search and retrieval of documents (i.e., Submitted CVSP, Approved CVSP, Final CVSP, Progress Voucher, Final Voucher, or MCSAP-2 Amendment #, CVSP Budget Date, etc.).
7. **Keywords** - Identifying words to identify the document and assist in the subsequent search and retrieval (i.e., grant proposal, letter, name, date, etc.).

**Denotes mandatory fields.*

Once the folder property is established, documents for that particular folder will be uploaded using the document class properties discussed below.

DOCUMENT CLASS PROPERTIES (FIGURE #2)

FIGURE #2 – DOCUMENT PROPERTIES

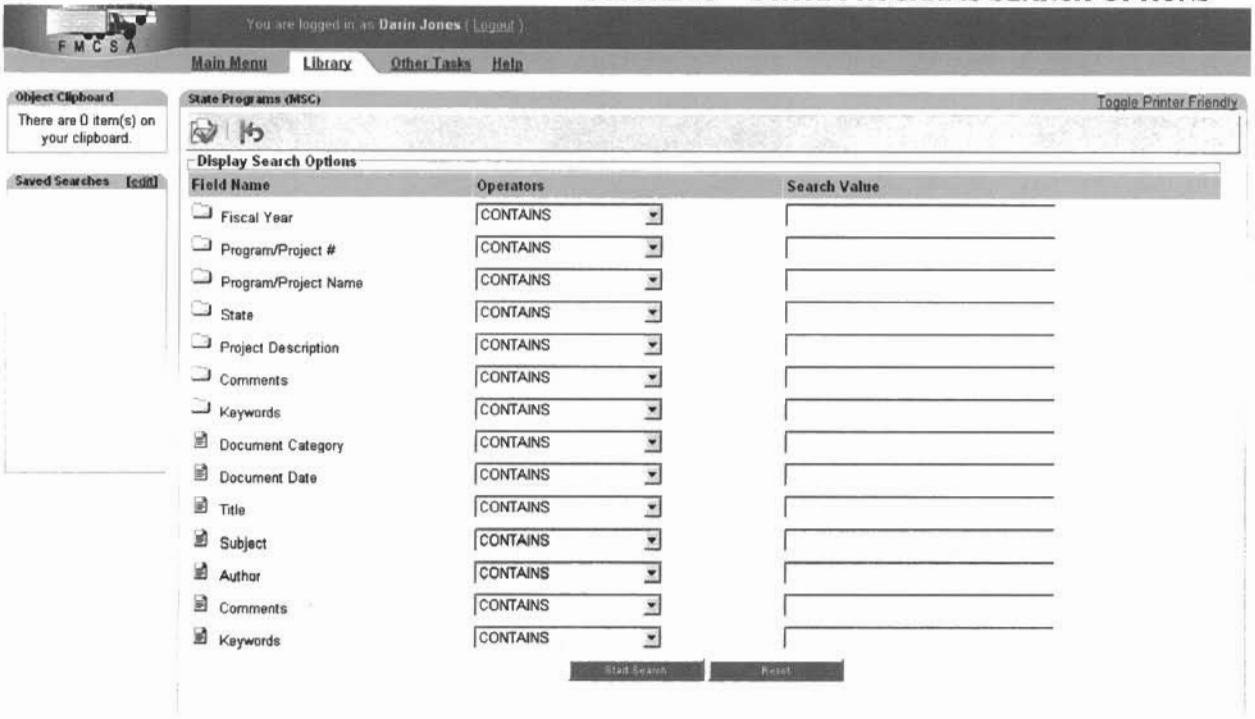


1. ***Document Category** – The document category will serve as a primary search index for the purpose of retrieving documents. It is critical that the document category be properly identified for all documents uploaded. The document categories are as follows: *allocation memo, deallocation memo, general correspondence, grant agreement, grant amendment, grant application (this is where the CVSP should go), grant documents (use this generic category only as a last resort), grant vouchers, monitoring plan, planning memo, program compliance certification, program/project compliance review, progress review report, quarterly report.*
2. ***Document Date** – The document execution date (latest date signed).
3. **Title** - A short title of the document (i.e., bus inspection cost eligibility, inquiry on Y program/activity, etc.).
4. **Subject** - A description of the subject matter of the document (i.e., 200x MCSAP basic grant program, 200x MCSAP review, etc.).

5. **Author** – Signatory. Use the name of FMCSA official executing the document when there are two signatures.
6. **Comments** – Unique identifying information to further identify and aide in the subsequent search and retrieval of documents (i.e., submitted CVSP, approved CVSP, final CVSP, progress voucher, final voucher, or MCSAP-2 amendment #, CVSP budget xx/xx/xx, etc.).
7. **Keywords** - Identifying words to identify the document and assist in the subsequent search and retrieval (i.e., grant proposal, letter, name, date, etc.).
   **Denotes mandatory field*

STATE PROGRAMS SEARCH OPTIONS (FIGURE #3)

FIGURE #3 – STATE PROGRAMS SEARCH OPTIONS



The search function provides multiple levels of search capability, producing either wide-open or narrowly-focused search results. A search can be completed by the Folder Property (*yellow file folder icons – fiscal year, program/project number, program/project name, state, project description, comments and keywords*) or the Document Property (*single page icons - document category, document date, title, subject, author, comments and keywords*).

The folder property search will return all documents within the folder(s) specified by the search value(s). For example, a search by fiscal year of all documents containing 2006 would return all folder properties containing documents with the fiscal year index of 2006.

A search by document property will return all documents contained in the all folders meeting the search value assigned. For example, a search by document category with a search value of

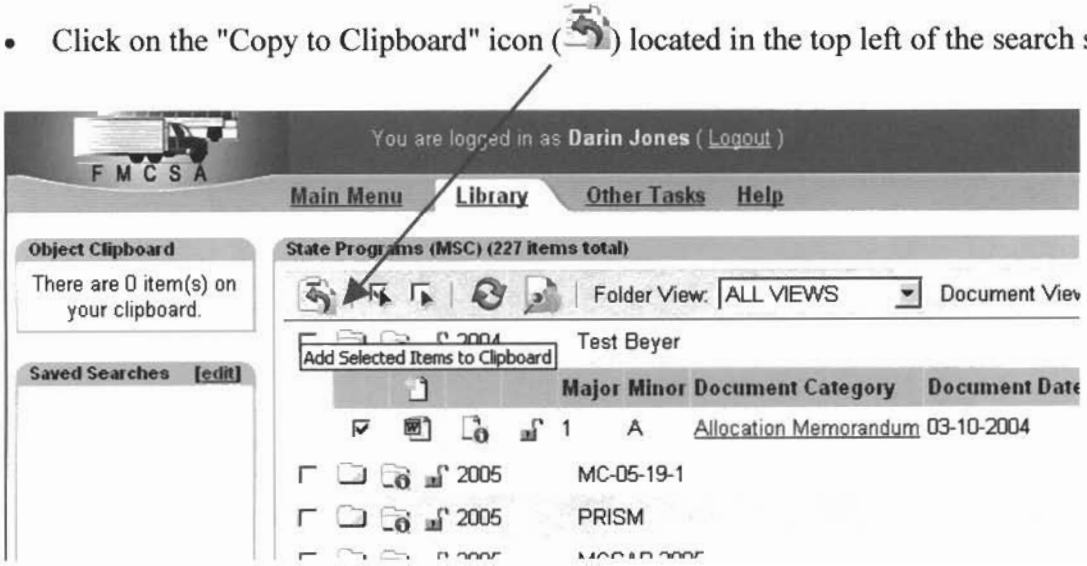
"application" would return all documents in all folders indexed with the document category of "application."

The search results can be more narrowly focused by using a combination of Folder and Document Properties search values. For example, to find a particular State's 2006 MCSAP CVSP, you could choose to use the following search values: 1) Fiscal Year: *2006*, 2) Program/Project #: *MC*, 3) State: *AL*, and 4) Document Category: *Application*. This would return the documents indexed by FY 2006 with the Program/Project designation "MC" (MCSAP Basic Grant) for the State of Alabama and the document category of "Application." When properly indexed and uploaded, this search will retrieve Alabama's 2006 MCSAP CVSP document(s).

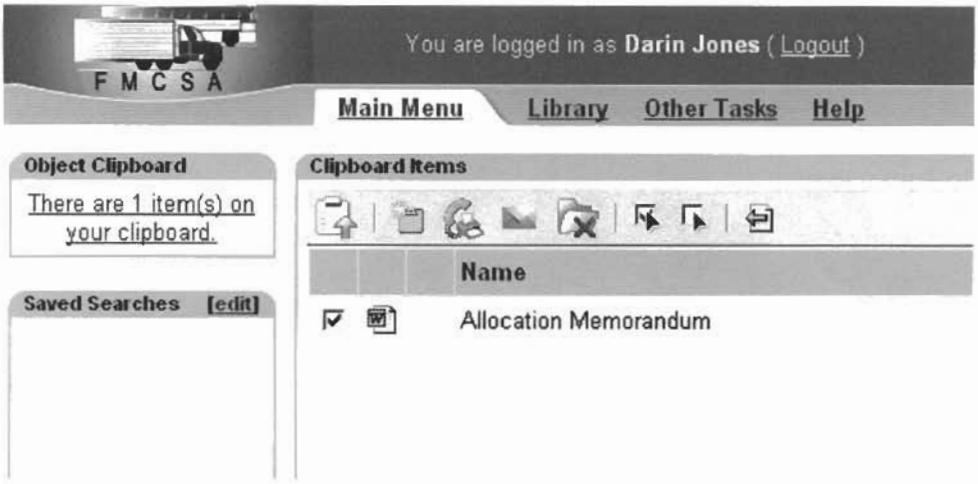
DISTRIBUTION OF EXECUTED DOCUMENTS TO HQ – STATE PROGRAMS DIVISION

To ensure efficient processing of executed/approved documents between FMCSA Division Offices and headquarters State Programs Division, the following procedures shall be followed.

- After locating the item to e-mail in the Library, click on the box at the far left hand side of that item to select it.
- Click on the "Copy to Clipboard" icon ( ) located in the top left of the search screen.



- The selected item will appear in the left hand column of the Main Menu under "Object Clipboard."
- Click on the "Object Clipboard" to arrive at the Clipboard screen.



- Select the item you would like to e-mail, and click the e-mail icon ( ) located on the top menu.

The following screen will open.

- Select the recipient(s) from the Recipient List and click the ">" arrow. For headquarters State Programs Division, please use the MCSAPTeam address.

  If the recipient is not identified in your Recipient List, go to User Entered to add the recipient to your list. Remember to "Add User" to save user and e-mail address for future use.
- Message Details – Provide information to identify the e-mail, as you would with any routine e-mail message in MS Outlook.
- Attachment Options – Select "*Attachment as EDMS URL*"
- Click on the "Send E-mail" button at the bottom of the screen.

ADDITIONAL INFORMATION & GUIDANCE

For additional information and assistance you may wish to visit the EDMS training Web site at http://152.122.44.92/etraining/index.html.