

## Request for Records Disposition Authority

Records Schedule Number           DAA-0399-2012-0002  
Schedule Status                    Modified Approved Version

Agency or Establishment           Federal Railroad Administration  
Record Group / Scheduling Group   Records of the Federal Railroad Administration  
Records Schedule applies to       Agency-wide  
Schedule Subject                   Emergency Preparedness Planning and Disaster Recovery (DR)  
Internal agency concurrences will be provided   **No**

Background Information            The Federal Railroad Administration (FRA) performs an important role in assisting the U.S. Department of Transportation (DOT) in fulfilling its responsibilities under the National Response Framework which governs the conduct of Federal emergency response efforts to natural and manmade disasters. FRA primarily serves as a communications conduit between the rail industry and the DOT before, during and after crisis events, particularly as it pertains to the safety of rail shipments of hazardous materials.

NOTE: This schedule does not cover grants that can be used to repair and rehabilitate railroad infrastructure due to natural or man-made disasters. Emergency Preparedness plans submitted by the railroads are covered under N1-399-08-12/14

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	3	2	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0399-2012-0002

Sequence Number	
1	Emergency & Disaster Preparedness – Plans Disposition Authority Number: DAA-0399-2012-0002-0001
2	Emergency & Disaster Preparedness – Exercise Files – FRA wide reports Disposition Authority Number: DAA-0399-2012-0002-0002
3	Emergency & Disaster Response
3.1	Emergency & Disaster Response – Catastrophic Disasters Disposition Authority Number: DAA-0399-2012-0002-0003
3.2	Emergency & Disaster Response – Other Presidential Declared Emergencies Disposition Authority Number: DAA-0399-2012-0002-0004
3.3	Emergency & Disaster Response – Local FRA Emergencies: Disposition Authority Number: DAA-0399-2012-0002-0005

## Records Schedule Items

Sequence Number								
1	<p><b>Emergency &amp; Disaster Preparedness – Plans</b></p> <p>Disposition Authority Number      <b>DAA-0399-2012-0002-0001</b></p> <p>Plans used for the continued operation in times of an emergency or disaster. Includes charts, plans, (Continuity of Operations (COOP) Plan, Pandemic, and Family Support Plan, etc.), evacuation shelter information, emergency relocation and the vital records protection program files.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Inactive</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>No</b></p> <p>Inactive Status Explanation            <b>This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001</b></p> <p><b>Disposition Instruction</b></p> <p>If this item has multiple sections, indicate here records to which this section apply                      <b>Non-electronic Textual Records</b></p> <p>Cutoff Instruction                        <b>Close Files when superseded or canceled.</b></p> <p>Transfer to the National Archives for Accessioning                      <b>Transfer to the National Archives 15 year(s) after closure.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation    <b>2000</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?                      <b>Unknown To be determined.</b></p> <p>How frequently will your agency transfer these records to the National Archives?                      <b>Unknown To be determined.</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td><b>Electronic/Digital</b></td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	<b>Electronic/Digital</b>		
	Estimated Current Volume	Annual Accumulation						
<b>Electronic/Digital</b>								

Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Close files when superseded or canceled.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 3 year(s) after closure**

**Additional Information**

First year of records accumulation **2000**

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2008**

How frequently will your agency transfer these records to the National Archives? **Unknown  
As plans are updated**

**Emergency & Disaster Preparedness – Exercise Files – FRA wide reports**

Disposition Authority Number **DAA-0399-2012-0002-0002**

**Contains consolidated or comprehensive reports reflecting FRA-wide results of exercises conducted under continuity of operations plans.**

Final Disposition **Permanent**

Item Status **Inactive**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Inactive Status Explanation **This item is inactive because it was superseded by New Disposition Authority Number: DAA-GRS-2016-0004-0001**

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**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply

**Non-electronic Textual Records**

Cutoff Instruction

Close files when report has been completed. Cut-off at the end of the calendar year.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cut-off

**Additional Information**

First year of records accumulation **2000**

What will be the date span of the initial transfer of records to the National Archives?

**Unknown**  
To be determined.

How frequently will your agency transfer these records to the National Archives?

**Unknown**  
To be determined.

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	1 Cubic feet	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply

**Electronic Records**

Cutoff Instruction

Close files when report has been completed. Cutoff files at the end of the calendar year.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 3 year(s) after cutoff

**Additional Information**

3	<p>What will be the date span of the initial transfer of records to the National Archives? <b>From 2012 To 2013</b></p>
	<p>How frequently will your agency transfer these records to the National Archives? <b>Every 1 Years</b></p>
	<p><b>Emergency &amp; Disaster Response</b> This series includes records that document FRA's response to disasters or emergencies. FRA actively monitors freight and passenger railroad operations as they prepare and/or implement response and recovery plans during emergency or crisis situations by remaining in close contact with the railroad's operations centers. This ensures that the DOT is aware of a railroad's ability to resume normal operations following an event or condition and to ascertain the need for and potential ability to assist in any larger recovery effort. Records include, but are not limited to, damage surveys, inspection reports, correspondence, interagency documentation, and administrative support documents.</p>
3.1	<p><b>Emergency &amp; Disaster Response – Catastrophic Disasters</b></p>
	<p>Disposition Authority Number <b>DAA-0399-2012-0002-0003</b></p>
	<p>Includes records documenting disasters of an extraordinary nature (i.e., major natural disasters such as floods, earthquakes, and hurricanes, as well as man-made disasters) and FRA's involvement in such disasters These records have long-term, post-event reviews, lessons learned, and potential historical interest.</p>
	<p>Final Disposition <b>Permanent</b></p>
	<p>Item Status <b>Active</b></p>
	<p>Is this item media neutral? <b>Yes</b></p>
	<p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b></p>
	<p><b>Disposition Instruction</b></p>
	<p>If this item has multiple sections, indicate here records to which this section apply <b>Electronic Records</b></p>
	<p>Cutoff Instruction <b>Cut off when all activity has ceased for the particular operations area.</b></p>
	<p>Transfer to the National Archives for Accessioning <b>Transfer to the National Archives 3 year(s) after closure</b></p>
	<p><b>Additional Information</b></p>

What will be the date span of the initial transfer of records to the National Archives? **From 2012 To 2013**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**As needed - Depends on the frequency of the event.**

#### Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Cut off when all activity has ceased for the particular operations area.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after closure**

#### Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**Initial records would be from Hurricane Katrina 2005**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**As needed - Depends on the frequency of the event.**

### 3.2 **Emergency & Disaster Response – Other Presidential Declared Emergencies**

Disposition Authority Number **DAA-0399-2012-0002-0004**

**Includes records documenting short-term federal emergencies requiring FRA assistance to supplement federal, state and local efforts to save lives, protect property, or to lessen or avert the threat of a catastrophe.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

#### Disposition Instruction

Cutoff Instruction **Close upon completion of all restoration activities.**

3.3	Retention Period	Destroy 10 year(s) after closure
	Additional Information	
	GAO Approval	Not Required
	<b>Emergency &amp; Disaster Response – Local FRA Emergencies:</b>	
	Disposition Authority Number	DAA-0399-2012-0002-0005
	Includes emergencies occurring in or near FRA facilities (i.e. flooding, fire, etc.) affecting the ability to conduct agency business. Also includes Emergency Preparedness and Situational Awareness messages.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Close upon completion of all clean up and restoration activities.
	Retention Period	Destroy 3 year(s) after closure
	Additional Information	
GAO Approval	Not Required	



## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
08/06/2012	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
11/05/2013	Return for Revision	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
11/07/2013	Submit For Certification	Tracey Schut	Records Analyst	Department of Transportation - Federal Railroad Administration
11/08/2013	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
12/05/2013	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
12/11/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
12/11/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
12/13/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist