

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-399-07-5</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>2/19/07</i>	
1. FROM (Agency or establishment) U.S. Department of Transportation		<p align="center">NOTIFICATION TO AGENCY</p> <p>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.</p>	
2. MAJOR SUBDIVISION Federal Railroad Administration			
3. MINOR SUBDIVISION Office of Railroad Development			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Hill	5. TELEPHONE NUMBER (202) 493-6132	DATE <i>2/12/07</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
<p>6. AGENCY CERTIFICATION</p> <p>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,</p> <p align="center"> <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. </p>			
DATE <i>2/12/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Hill</i>		TITLE Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Office of Railroad Development Records</p> <p>Congress created the Federal Railroad Administration with the passage of the Department of Transportation Act of 1966 (80 Stat. 932) 3 (e) (1). Its purpose is to combine federal government support of rail transportation activities, to provide a unified national policy, to administer and to enforce rail safety laws and regulations, to administer financial assistance for certain railroads, and to conduct research and development to improve intercity ground transportation. An administrator and five associate administrators lead the FRA.</p> <p>The Associate Administrator for Railroad Development plans, organizes, and administers programs for railroad freight and passenger services, railroad research and development, and rail transportation operations, financing, and technology. The two offices reporting to the Associate Administrator for Railroad Development are:</p> <ul style="list-style-type: none"> • The Office of Passenger and Freight Programs develops, implements, and administers policies, plans 	NC1-399-78-2	

and programs to support the viability of rail passenger and rail freight service in the United States.

- **The Office of Research and Development** administers railroad research and development related to improving the safety and efficiency of freight, intercity passenger, and commuter railroad operations. The Office of Research and Development conducts research, development, test, and evaluation projects to support its safety mission and to enhance the railroad system as a national transportation resource. It contributes vital benefits to the safety regulatory processes, to railroad suppliers, to railroads involved in the transportation of freight, to inter-city and commuter passengers, to railroad employees, and to labor organizations.

NOTE: These disposition instructions apply to all the described records regardless of physical media.

If permanent records are on CD-ROM, they must conform to existing standards for transfer to the National Archives and Records Administration (NARA).

If the recordkeeping copy is a permanent record and is maintained in an electronic format, transfer to the NARA in accordance with 36 CFR 1228.270.

If the recordkeeping copy is a temporary record and is maintained in an electronic format, keep the file in the office for the entire retention period in accordance with 36 CFR 1234 sec: 30-32.

1.

National Railroad Passenger Corporation (Amtrak) Records

The Federal Railroad Administration bears a unique responsibility for monitoring Amtrak performance because of the size of annual Federal subsidies.

~~a) Amtrak Grants Records - Record copy~~

*Superseded by DAA-0399-2013-0005/0004
11/8/2016
J. Jones*

~~Records consist of grant agreements, progress reports, financial plans, invoices, accounting reports, correspondence, economic analyses, and operational and financial performance analyses.~~

~~Disposition: Permanent. If paper, close files immediately after close-out of the grant. Keep files in the office at least 1 year after closure, and then transfer to the FRC. Transfer to NARA 10 years after closure. If in an electronic format, transfer to NARA in accordance with~~

~~36 CFR 1228.270, 10 years after closure.~~

b) Amtrak Board Of Director Records - Official Records - Record copy

Disposition: **Permanent.** If paper, close files at the end of the calendar year. Keep files in the office for 3 years after closure, and then transfer to the FRC. Transfer to NARA 10 years after closure. If in an **electronic** format, transfer to NARA in accordance with 36 CFR 1228.270 10 years after closure.

Superseded by:

DAA-0399-2014-0001
DATE (MM/DD/YYYY): item 1
8/25/2016

~~e(1): Electronic mail and word processing system copies — copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

GRS 20, Items 13, 14.

~~Disposition: **Temporary.** Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

~~e(2): Electronic mail and word processing system copies — copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

2.

~~Disposition: **Temporary.** Destroy/delete when dissemination, revision, or updating is completed.~~

Project Case Records

The Project Case Files reflect a complete history of each project from initiation through research, development, design and testing, through completion.

Files include technical characteristics, test and trail results, drawings, specifications and photographs essential to engineering development, technical and progress reports, notice of completion, and correspondence influencing the course of action taken on a project. Also includes Environmental Impact Studies.

Excludes: Contract-related records which are scheduled separately.

a. Record copy

Disposition: ~~Permanent~~. If ~~paper~~, close files upon project completion. Keep files in the office for 3 years after closure, then transfer to FRC. Transfer to NARA 10 years after closure. If in an ~~electronic~~ format, transfer to NARA in accordance with 36 CFR 1228.270, 10 years after closure.

Superseded by:

~~DAA-0399-2014-0001, item 2~~

DATE (MM/DD/YYYY):

8/25/2016

~~b(1). Electronic mail and word processing system copies—copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

GRS 20, Items 13, 14.

~~Disposition: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

3.

~~b(2). Electronic mail and word processing system copies—copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete when dissemination, revision, or updating is completed.~~

Loan records (RIFF Program)

This records series consists of loan records created and managed within the FRA Office of Railroad Development (RDV).

*Superseded by
DAA-0399-2013-0005,
Item 0005*

Files consist of loan applications, loan agreements and related documentation, promissory notes, financial analyses, progress reports, state rail plans, repayment schedules, disbursements, and scope of work.

*JC 11/8/2016
Jansz*

Excludes: Contract-related records which are scheduled separately.

a. Record copy

Disposition: ~~Temporary~~. Close files upon repayment of the loan. Keep files in the office for 1 year after closure, then transfer to the FRC. Destroy 5 years after

~~closure.~~

~~b(1). Electronic mail and word processing system copies — copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

~~b(2). Electronic mail and word processing system copies — copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete when dissemination, revision, or updating is completed.~~

Maps and Drawings

Files consist of maps, drawings, track charts, topographic maps, track layouts, etc.

a) **Aperture cards.** These records contain the actual construction drawings of everything that was built between Boston and Washington, DC from 1978 to 1987 as part of the Northeast Corridor Improvement Project (NEIP).

Excludes studies and report files which are scheduled separately.

Disposition: **Permanent.** Files are closed. Transfer directly to NARA upon approval of this schedule.

b) **Maps.** These records consist of 1:250,000 scale USGS maps and FRA-generated 1:40 aerial maps that show where NEIP rail lines were in the early 1970s and rebuilt sections of the lines for the past 20 years.

Disposition: **Temporary.** Keep files in the office until no longer needed, then transfer to the FRC. Destroy 25 years after closure.

~~e(1). Electronic mail and word processing system copies~~

GRS 20, Items 13, 14.

Superseded by:

DAA-0399-2014-0001,
DATE (MM/DD/YYYY): item 5
8/25/2016

GRS 20, Items 13, 14.

4.

5.

~~—copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

~~e(2): Electronic mail and word processing system copies —copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete when dissemination, revision, or updating is completed.~~

National and Bilateral Agreements

National and bilateral agreements and memorandums of understanding related to joint efforts with other countries and other railroads in the exchange of information and development of various rail technologies such as rail vehicle, tunneling technology, and hardware exchange.

~~a. Record copy~~

~~Disposition: Permanent. Close files upon signing of agreement. If paper, keep files in the office for 3 years after closure, and then transfer to the FRC. Transfer to NARA 10 years after closure. If in an electronic format, transfer to NARA in accordance with 36 CFR 1228.270, 10 years after closure.~~

Superseded by:

DAA-0399-2013-0005,
DATE (MM/DD/YYYY): Item 1.1

3/31/2016

GRS 20, Items 13, 14.

~~b(1). Electronic mail and word processing system copies —copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.~~

~~Disposition: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.~~

~~b(2). Electronic mail and word processing system~~

~~copies — copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~Disposition: **Temporary**. Destroy/delete when dissemination, revision, or updating is completed.~~



Date: June 11, 2007 (revised June 18, 2008)
To: NWML
From: Addie M. Compton, WG 4, NWML (JGC)
Subject: Appraisal of N1-399-07-5

The Department of Transportation, Federal Railroad Administration (FRA), Office of Railroad Development (RDV) submits Job No. N1-399-07-5 to schedule multiple series from two units: the Office of Passenger and Freight Programs and the Office of Research and Development.

The Office of Railroad Development is responsible for Federal investment and assistance to the rail industry as well as the development and implementation of Administration policy concerning intercity rail passenger service and high-speed rail. It sponsors research and development activities to advance science and engineering to improve the technology for railroad safety and work.¹

These records were examined at FRA on April 17, 2007 and May 22, 2007 in the company of FRA records officer Janice Hill, records management officer Sonja Hannah and records officer contractor Michael Duffy. FRA has recently begun to rejuvenate its records management program. The records were reviewed again in light of comments made by Mr. Michael Churgin by Mr. Edward Smith (NWMD) and Mr. Jim Cassedy on December 28, 2007, and further review by Cassedy in March 2008.

Item 1a. Amtrak Grant Records - Record Copy. FRA has been overseeing and monitoring Amtrak grants at least since 1978. However, since 2003, they have taken a more active role: "... Congress instituted new oversight measures as part of Amtrak's FY 2003 appropriations that require DOT to approve Amtrak's allocation of Federal funding. These changes... have divided appropriated funds into designated operating and capital expense accounts, which FRA monitors on a monthly basis."² The series is organized by fiscal year, then by quarter. After considerable review and discussion between FRA, NARA units, and comments from Mr. Michael Churgin, it was determined that this series should be transferred to the National Archives, and retained permanently. It provides essential information on the Federal Government's support for the modern railroad passenger system, as exemplified by Amtrak, for over a third of a century.

Item 1b. Amtrak Board of Director Records - Official Records. FRA is the official record holder for Amtrak Board of Director records. The files are organized by fiscal year. This series is permanent.

Item 2. Project Case Files. These records are organized by project name. A project may consist of one folder or many. These records document the origins, activities, decisions, recommendations and results of projects undertaken by the FRA. Project case files exclude "contract-related records". This series is permanent.

Item 3. Railroad Rehabilitation & Improvement Financing (RRIF) Program Loans. RRIF records include records from both the Office of Passenger and Freight Programs and the Office of Research and Development.

¹ United States Federal Railroad Administration (FRA). "About the FRA." Located at <http://www.fra.dot.gov/us/content/2>, on April 25, 2007.

² United States Federal Railroad Administration (FRA). "About the FRA." Located at <http://www.fra.dot.gov/us/content/274> on April 25, 2007.


The records are organized by fiscal year. Amtrak grant records are excluded, as are "contract-related records". The disposition timetable of destroy after 5 years is adequate for FRA's business needs. This series is temporary.

Item 4a. Maps and Drawings - Aperture Cards. These cards are a unique record of actual construction drawings of projects for the Northeast Corridor Improvement Project (NEIP). The aperture cards span from 1978, the beginning of NEIP, to 1987, when the records were shifted to another medium. The information collected in the aperture cards does not exist anywhere else in FRA, DOT or any other federal agency. This series is permanent and should be immediately transferred to NARA after this schedule goes into effect.

Item 4b. Maps and Drawings - Maps. These maps indicate NEIP rail line changes over time from the 1970s to the 1990s. The maps and drawings are easily duplicated; they are generated in multiple agencies such as the U.S. Geological Service (USGS) as well as FRA. The 25 year retention is adequate for FRA business needs. This series is temporary.

Item 5. National and Bilateral Agreements. This series consists of binding and non-binding agreements with other countries and railroads for the purpose of exchange of information and development of various rail technologies. The records are not duplicated elsewhere in FRA. The office in charge of National and Bilateral Agreements relies upon prior agreements for a variety of business purposes. As a result, the disposition was changed with the approval of Barbara Pelletier, the FRA staff person in charge of National and Bilateral Agreements, Sonya Hannah and Michael Duff. The Agreements are now to be kept until no longer needed, then stored at an FRC. The records would then transfer into the National Archives after three years' storage at an FRC. The compromise addresses the real business uses of these records at FRA and FRA's occasional need for reference. The new disposition also addresses NARA's desire to have schedules closely reflect business processes whenever possible and ensure that these permanent records make their way to NARA custody. The records are currently in two large binders, approximately half to two-thirds of a cubic foot. Accumulation is estimated at no more than one or two cubic inches per year. This series is permanent.

The permanent records have important historical value. FRA has addressed adherence to NARA standards for transferring permanent electronic records. FRA has also provided for appropriate destruction of electronic copies of the records after they are no longer needed for business purposes or for reference. I recommend approval of this schedule.


Addie M. Compton
NWMWN, WNRC
Cross-training NWML