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| 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 | | NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 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>2/13/08</i> | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> |
| 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 _____ 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, <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| 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 GRS OR SUPERSEDED JOB CITATION | 10.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) |
| | Office of Railroad Development Records 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. 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: <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. [Signature]*

~~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.

~~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.

~~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.~~

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).

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.

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

GRS 20, Items 13, 14.

*Superseded by
DAA-0399-2013-0005,
Item 0005
JC 11/8/2016
Janey*

~~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.

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14.

4.

~~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.

5.

~~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.

~~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.~~

~~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.~~