

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-399-07-16	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received Feb. 19, 2007	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Hill	5. TELEPHONE NUMBER (202) 493-6132	DATE 01/19/07	ARCHIVIST OF THE UNITED STATES <i>Alta W...</i>
5. 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 <u>4</u> 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 checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 8-26-07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice M. 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 GRS OR SUPERSEDED JOB CITATION	10.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)
	Contract Management Records This record series includes all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which FRA is a party and which are maintained and used by the agency Contracting Officer (CO), Contracting Officer Technical Representatives (COTRs), and Work Assignment Managers (WAMs) for contract documentation and for performance and financial monitoring and oversight activities. Types of records include the Request for Proposal (RFP), contract and contract modifications, invoices, monthly reports, correspondence, contract deliverables, and evaluation reports. Excludes: Routine procurement records, grants, and final deliverables which are scheduled separately. NOTE: These disposition instructions apply to all the described records regardless of physical media.		

10/15/07 copies sent to Agency, NWMW, NWCTC, NR

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.

Contract records, especially bids and proposals and financial reports, may contain sensitive or confidential business information. As required by 36 CFR 1228.58, such records must be shredded or otherwise definitively destroyed with witness protection.

Contracting Officer (CO) Records

These records contain documents received or generated by FRA Contracting Officers (COs) for contracts managed by FRA staff. Documents include the Request for Proposal (RFP), successful bids and proposals, contract and modifications; drawings or manuals incorporated into the contract by reference; Contracting Officer Technical Representative (COTR) and Work Assignment Manager (WAM) designations; notices to proceed, stop work, or correct deficiencies; and other related documents.

a. Record copy – Contracting Officer records

Disposition: **Temporary**. Close files upon filing of final invoice or completion or termination of the contract. Keep files in the office for 1 year after closure, then retire to the FRC. Destroy 7 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.

Superseded by Job / Item number:

~~DAA-GRS-2013-0003-0001~~

Date (MM/DD/YYYY):

~~6/12/2014~~

1.

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.

Contracting Officer Technical Representative (COTR) Records

2.

These records consist of documents received or generated by a COTR under a contract. Documents include copies of various work assignments/delivery orders under the contract; technical and financial progress reports; performance evaluation board reports; and related correspondence from the CO, WAM, and contractor.

a. Record copy – Contracting Officer Technical Representative records

Disposition: **Temporary.** Close files upon filing of final invoice or completion or termination of the contract. Keep files in the office for 1 year after closure, then retire to the FRC. Destroy 7 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.

Superseded by job / item number:

DAA-GRS-2013-0003-0001

Date (MM/DD/YYYY):

6/12/2014

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

Work Assignment Manager (WAM) Records

3.

These records consist of documents received or generated by a WAM in documenting the day-to-day administration and direction of work assignments under a contract. Documents include Work Assignments, Statements of Work (SOWs), and Level of Effort (LOE) documents; purchase requests; task modifications; work plans; government furnished property or service lists; progress/status reports; monthly financial vouchers and monthly reports; meeting notes; draft deliverables; deliverable review notes; and all related work assignment correspondence.

a. Record copy – Work Assignment Manager records

Disposition: **Temporary.** Close files upon filing of final invoice or completion or termination of the contract. Keep files in the office for 1 year after closure, then retire to the FRC. Destroy 7 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.

Superseded by Job / Item number:

~~DAA-G-25-2013-0003-0001~~
Date (MM/DD/YYYY):

~~6/12/2014~~