

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-399-08-12	
To National Archives & Records Administration 8601 Adelphi Road College Park, MD 20740-6001		Date Received <i>6/23/08</i>	
1 FROM (Agency or establishment) Federal Railroad Administration		NOTIFICATION TO AGENCY	
2 MAJOR SUB DIVISION Office of Railroad Safety		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Kim Toone	5 TELEPHONE 202-493-6132	DATE <i>3 Aug 12</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 <u>11</u> page(s) are not needed now for the business of 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, is not required is attached, or has been requested.			
<i>revised</i> DATE <i>5/14/12</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kim Toone</i>		TITLE RECORDS OFFICER Federal Railroad Administration
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>Under the executive direction of the Administrator, the Office of Railroad Safety (RRS) plans, organizes, coordinates and administers railroad safety practices in the railroad industry and states RRS also enforces all Federal laws and related regulations designed to promote the safety of railroads</p> <p>This schedule supersedes RRS schedule NCI-399-78-1</p> <p>NOTE: The Railroad Safety Information System (RSIS) is covered under N1-399-08-04. The Post Accident Toxicological Testing System (PATTS) is covered under N1-399-08-09 ATIP/TRIP-IS is covered under schedule N1-399-08-10 Several small subsystems are covered under Electronic Models & Expert Systems (N1-399-08-05) and Electronic Bulletin Boards (N1-399-08-06)</p>		

1 **Accidents/Investigations:**

- a **Major Accident/Incidents Investigations** Investigation and supporting documents for accidents determined to be major according to the Federal Railroad Administration's (FRA) criteria Duplicate copies should be offered to Department of Transportation (DOT) library

Disposition **Permanent** Close files at end of calendar year

If paper Transfer to FRC 5 years after closure Transfer to National Archive and Record Administration (NARA) 15 years after closure

If electronic Transfer to NARA 15 years after closure

Includes but not limited to

- *Investigation Reports of Major Accidents/Incidents* Numerically, by report number Published reports and supporting documentation of major collisions, derailments and incidents (Superseded Job NC1-399-78-1/11)
- *Investigation Reports of Railroad and Railroad Contract Employee Fatalities* Numerically, by report number Published reports of collisions, derailments and incidents resulting in railroad employee or railroad contract employee fatalities (Superseded Job NC1-399-78-1/10)

- b **Minor Accidents/Incidents** Preliminary investigations of accidents determined not to be major according to FRA's criteria (Superseded Job NC1-399-78-1/12)

Disposition **Temporary.** Close files upon FRA's findings Cutoff files at end of calendar year Destroy or delete 5 years after cutoff

Includes but not limited to

- *Minor Accidents* Filed alphabetically by shipper or carrier Inspector's Reports, inspections, requests for inspections, photographs, incident reports, and other materials related to the inspection of carriers, shippers, equipment operations, and chemical classifications The inspections determine if the regulations have been violated (Superseded Job NC1-399-78-1/21)

- 2 **Amtrak Train Operations:** Covers qualification testing, maintenance or repairs to cross-country, regional (low speed) Amtrak trainsets and associated safety reviews, inspections or audits Trainset exceeding 125 mph are scheduled under "High-Speed Train Operations "

Disposition **Permanent** Close files at end of calendar year

If paper Transfer to FRC 5 years after closure Transfer to NARA 15 years after closure

If electronic Transfer to NARA 15 years after closure

- 3 **Approvals:** Requests by the railroad to operate in a specific manner that does not conform to various regulations, FRA's response, and documentation supporting that response

Disposition **Temporary** Close files upon FRA's response Cutoff files at end of calendar year Destroy or delete 10 years after cutoff

Includes but not limited to

- *Approval to Transport Portable Tanks* Documentation between FRA and rail carriers regarding transportation of portable tanks loaded with certain hazardous materials in trailer-on-flatcar/container-on-flatcar (TOFC/COFC) service per 49 Code of Federal Regulation (CFR) Section 174.63
- *Extended Haul Operations* Provisions for freight railroads to receive inspection relief per 49 CFR Section 232.213 to include filing notices for designation of trains and related correspondence
- *High Speed Grade Crossings* Requests seeking FRA authority for proposed warning/barrier system to address the protection of highway traffic and high speed trains per 49 CFR Section 213.347
- *One Time Movements (OTMs) - Hazardous Materials Requests* Requests from railroads/shippers to move tank cars that are leaking or otherwise do not conform to the hazardous materials regulations FRA issues approvals on a case-by-case basis
- *One Time Movements (OTMs) - Others Requests* Requests seeking FRA authority for one time movement of damaged, non-compliant, defective equipment (freight and passenger locomotives/cars)
- *One time Movement Approvals - Tank Cars Exceeding Gross Rail Load* Requests seeking FRA approval for operation of certain tank cars in hazardous materials service that exceed 263,000 pounds or 286,000 pounds gross rail load (GRL) per 49 CFR Section 179.13

4 **Audits:** Audits by FRA to determine railroad's compliance with various regulations, FRA's findings, and documentation supporting those findings

a Routine Audits / Case Files Case files not deemed to be of significant value

Disposition **Temporary.** Close files upon FRA's response Cutoff files at end of calendar year
Destroy or delete 3 years after cutoff

b Specialized/Focused Audits / Case Files Case files of significant value because the case attracts substantial national media attention, results in a Congressional investigation, or results in substantive changes in agency policies, procedures, and guidance Files may consist of correspondence, memoranda, reference/background materials and supporting working papers

Disposition **Temporary.** Close files upon FRA's response Cutoff files at end of calendar year
Destroy or delete 10 years after cutoff

c Audit Reports Report includes description of significant problems, abuses, and deficiencies, audit recommendations for corrective actions

Disposition **Permanent** Close files at end of calendar year Transfer to NARA 15 years after closure

- 5 **Carrier Operations Files**: Alphabetically, by carrier Incoming and outgoing correspondence, memoranda, time table, timetable special instructions, operations rule books, and any amendments thereto submitted by the railroads This file relates to the operating rules and practices of the railroads as required by 49 CFR Section 217.7 (Superseded Job N1-399-78-1/20)

Disposition **Temporary**. Cutoff files at end of calendar year Destroy or delete 10 years after cutoff

- 6 **Dockets**: Numerically by docket number Office of Chief Counsel maintains official copy of the published docket Safety's docket files contain additional background information

Disposition **Temporary**. Close files 1 year after expiration date, or 2 years after authorized decision (i.e. Railroad Safety Board decision), or when new plan submitted or plan becomes obsolete, whichever is later Cutoff files at end of calendar year

If paper Transfer to FRC 1 years after cutoff Destroy 30 years after cutoff

If electronic Delete 30 years after cutoff

Includes but not limited to

- *Block Signal Applications* Carrier letters, Federal Register notices, investigation reports, brief, public comments, and Railroad Safety Board decision letters and other records related to modification or discontinuance of rail signal or train control systems (Superseded Job N1-399-78-1/24)
- *Positive Train Control (PTC) Implementation Plans (PTCIP)* A PTCIP, as required by 49 CFR Section 236.1011, which must be reviewed and approved by FRA, describes a railroad's plan for complying with the installation of mandatory PTC systems governed by 49 CFR Part 236, Subpart I This series includes all associated documentation (e.g., carrier's petition for approval, Federal Register notices, public comments as applicable, supporting materials, associated correspondence and all associated submissions) Associated submissions include Notice of Product Intent, implementation schedules, narratives, rules, technical documentation, relevant excerpts of agreements that an individual railroad will use to complete mandatory PTC implementation and any Requests for Amendment. Also includes PTCIP Annual Report submitted by the railroads detailing the current status of the PTC implementation
- *Positive Train Control (PTC) Development Plans (PTCDP)* A PTCDP, as required by 49 CFR Section 236.1013, which must be reviewed and approved by FRA, provides sufficient information to determine whether the PTC system proposed for installation by the railroad can meet the requirements for PTC systems governed by 49 CFR Part 236, Subpart I This series includes all associated documentation (e.g., carrier's petition for approval, Federal Register notices, public comments as applicable, supporting materials, associated correspondence and all associated submissions) Associated submissions include Type Approval, narratives, technical documentation, and any Requests for Amendment
- *Positive Train Control (PTC) Safety Plans (PTCSP)* A PTCSP, as required by 49 CFR Section 236.1015, which must be reviewed and approved by FRA, provides the information necessary to

certify that the as-built PTC system fulfills the required functions and is in compliance with the requirements of a PTC system governed by 49 CFR Part 236, Subpart I. This series includes all associated documentation (e.g., carrier's petition for approval, Federal Register notices, public comments as applicable, supporting materials, associated correspondence, System Certification, and all associated submissions). Associated submissions include hazard log, risk assessment, hazard analysis, verification and validation procedures, concept of operations, training programs, operations and maintenance manual, configuration plan, any Requests for Amendment, and any other documentation associated with a specific product (i.e., system, subsystem or component subject to the requirements of 49 CFR Part 236, Subpart I).

- *Product Safety Plans (PSP)* A PSP, as required by 49 CFR Section 236.907, which must be reviewed and approved by FRA and which identifies a railroad's processor-based signal and train control system product governed by 49 CFR Part 236, Subpart H. This series includes all associated documentation (e.g., carrier's petition for approval, Federal Register notices, public comments as applicable, supporting materials, associated correspondence and all associated submissions). Associated submissions include Notice of Product Development, Informational Filing, associated waiver of other CFR requirements, Product Failure Reports, and any other documentation associated with a specific product (i.e., system, subsystem or component subject to the requirements of 49 CFR Part 236, Subpart H).
- *Railroad Safety Program Plans (RSPP)* Arranged by railroad and docket number of an RSPP, as required by 49 CFR Section 236.905, which identifies a railroad's processor-based signal and train control system safety criteria as governed by 49 CFR Part 236, Subpart H. This series includes all associated documentation (e.g., carrier's petition for approval, Federal Register notice, public comment as applicable, supporting material, associated correspondence, etc.).
- *Rules, Standards, and Instructions Files* Carrier letters, Federal Register notices, public comments, Railroad Safety Board decision letters, and other records related to railroads' requests for waiver from Federal requirements of the rules, standards, and instructions for the installation, maintenance and repair of railroad signal systems (Part 236), grade crossing signal system safety standards and instructions (Part 234) or of the reporting requirements (Part 233). (Superseded Job NC1-399-78-1/25)
- *Special Approval Proceedings* Cases requiring agency consent for special approval under railroad safety regulations.
- *Special Permits* Cases requiring agency consent for special approval for railroad transport of hazardous materials that otherwise do not conform to the hazardous materials regulations to railroad transport of hazardous materials. Also includes fitness reviews. Pipeline and Hazardous Materials Safety Administration (PHMSA) maintains the official copy.
- *Waiver Petitions* Copies of incoming and outgoing correspondence, investigation reports, briefs, and Railroad Safety Board decision letters, relating to safety standards, equipment standards, operating procedures, and other topics. Includes comments from corporations, companies, and employee unions. (Superseded Job NC1-399-78-1/28)

7 **DOT Crossing Inventory:** Documentation regarding the assignment of crossing inventory numbers

Disposition **Temporary** Cutoff files at end of calendar year

If paper Transfer to FRC 3 years after closure Destroy 30 years after closure

If electronic Delete 30 years after closure

8 **Emergency Orders, Compliance Agreements Compliance Orders, Railworthiness**

Directives, and Safety Advisories: Emergency orders, compliance agreements, compliance orders, railworthiness directives, safety advisories, amendments and associated documentation relating to railroad personnel, inspection requirements, structural deficiencies, and expected or required actions associated with necessary compliance

(Superseded Job NC1-399-78-1/5)

Disposition **Permanent** Close files at end of calendar year

If paper Transfer to FRC 5 years after closure Transfer to NARA 20 years after closure

If electronic Transfer to NARA 20 years after closure

9 **Equipment:**

a Calibration Records certification for devices that are calibrated by vendor according to NIST standards

Disposition **Temporary** Destroy or delete when superseded, obsolete, or no longer needed for agency business

b Safety Appliance and Design Files (Sample Car Inspections) Arranged by Motor Power and Equipment Division (MP&E) issued control number File includes memoranda, correspondence, and drawings relating to the regulations concerning design and safety appliance arrangement of railroad cars (Superseded Job NC1-399-78-1/18)

Disposition **Temporary** Close files when car has reached end-of-life
Destroy or delete 15 years after closure

c Locomotive Files Memoranda, correspondence, forms, drawings, test data, minutes of meetings, and engineering reports relating to the safety appliances, inspection, and testing locomotives and passenger cars The tests determine whether any special restrictions are necessary for the safe operation of the locomotives, they are used in legal cases Also includes information from the field For steam locomotives includes: Boiler specification cards, calculations and repair/alteration records for locomotives, and correspondence between FRA and railroads (Superseded Job NC1-399-78-1/19)

Disposition **Temporary** Close files when locomotive has reached end-of-life
Destroy or delete 15 years after closure

10 **Forensic Records:** Review and analyze tank car behavior in accidents Includes photos of accidents, damage assessments and conclusions

Disposition **Temporary** Close files when review has been completed
Destroy or delete 10 years after closure

- 11 **Geometry Inspection Vehicle Program File (ATIP):** Memoranda, personal notes, incoming and outgoing correspondence, survey sheets, regulations, and other materials related to the use of geometry inspection vehicles for the inspection of track geometry Does not cover the ATIP system which is scheduled under N1-399-08-10 (Superseded Job NC1-399-78-1/23)

Disposition **Temporary** Cutoff files at end of calendar year or when a new report is filed (for reports that are submitted less frequently than yearly) Destroy or delete 5 years after cutoff

- 12 **High-Speed Train Operations:** Covers initial qualifications, follow-up testing, maintenance or repairs, specifications and continued operation Includes Amtrak Tier II High-speed Trainsets (exceeding 125 mph), Maglev, Florida Overland Express, California high speed, Japanese Bullet train, etc

Disposition **Permanent** Close files at end of calendar year

If paper Transfer to FRC 5 years after closure Transfer to NARA 15 years after closure

If electronic Transfer to NARA 15 years after closure

- 13 **National Transportation Safety Board (NTSB) Recommendations:** Safety recommendations received from the National Transportation Safety Board, FRA's response and associated documentation (Superseded Job NC1-399-78-1/14)

Disposition **Permanent** Close files after FRA's response

If paper Transfer to FRC 15 years after closure Transfer to NARA 30 years after closure

If electronic Transfer to NARA 30 years after closure

- 14 **Plans:** Plans submitted and/or developed by railroads to comply with various regulations are reviewed and/or approved by FRA Any plans that require public comment are scheduled under "Dockets"

Disposition **Temporary** Close files when new plan submitted or plan becomes obsolete Destroy or delete 5 years after closure

Includes but not limited to

- *Continuous Welded Rail (CWR) Program Plans* Plans containing written procedures addressing the installation, adjustment, maintenance and inspection of CWR, inspection of CWR joints, and a training program for the application of those procedures Includes Fracture Reports and associated documentation
- *Drug and Alcohol – Random Plan Files by Railroad or Region* Industry random testing plans FRA is required to approve or disapprove these railroad employer plans
- *Emergency Preparedness Plans* Emergency Preparedness Plans submitted by passenger railroads and railroads hosting passenger train service 49 CFR Section 239 203 requires passenger railroads and all railroads hosting passenger train service to maintain its plan and all revisions Includes FRA's approvals and supporting documentation of FRA's concurrence of railroads' Emergency Preparedness Plans
- *Fire Safety Analysis Files* General correspondence, data and reports related to fire safety material requirements of 49 CFR Section 238 103 and 238 603, Appendix B (Test Methods and Performance Criteria for the Flammability and Smoke Emission Characteristics)

- *Highway-Rail Grade Crossing Action Plans* Plans submitted by the ten (10) states with the most highway-rail grade crossing collision, on average, over the past three (3) years outlining State highway-rail grade crossing action plans as required by 49 CFR Section 234.11. Includes FRA's approvals
- *Operations Testing Plans* Plan containing written procedures addressing operational tests and inspections required under 49 CFR Section 217.9. Includes FRA's comments
- *Railroad On-Track Safety Programs* Railroad on-track safety programs submitted by railroads. 49 CFR Part 214 requires programs to cover roadway worker protection and internal monitoring. Includes FRA's approvals and supporting documentation of FRA's concurrence of railroad's Training Plan
- *Railroad Training Plans* Railroad training plans submitted by railroads and railroad contractors. 49 CFR Part 243 requires training plans to cover all Federal regulations, rules, and orders affecting railroad safety for all safety-related railroad employee. Includes FRA's approvals and supporting documentation of FRA's concurrence of railroad's Training Plan
- *Software Management Control Plans (SMCP)* Plans developed by the railroads for its signal and train control systems as required by 49 CFR Section 236.18. Includes FRA's comments on plan

15 **Railroad Merger Records:** Safety Integration Plans, Environmental Impact Statements and associated documentation concerning the merger of railroads

Disposition **Permanent** Close files after FRA's response

If paper Transfer to FRC 5 years after closure Transfer to NARA 15 years after closure

If electronic Transfer to NARA 15 years after closure

16 **Reports – Carrier/Railroad:** Reports submitted by the railroad/carrier required by various regulations. Any reports that are subsequently investigated are scheduled under "Accidents/Investigations/Violations"

Disposition **Temporary** Cutoff files at end of calendar year or when a new report is filed (for reports that are submitted less frequently than yearly) Destroy or delete 5 years after cutoff

Includes but not limited to

- *Excess Hours of Service Reports* Monthly reports submitted by railroads per 49 CFR Section 228.19 demonstrating their requirement to monitor excess hours of service
- *Signal System Five-Year Reports* Carrier reports submitted to FRA per 49 CFR Section 233.9 identifying signal and train control "inventory" on their system properties

17 **State Rail Safety Participation Program:** The Rail Safety Act of 1970 (Public Law 91-458) authorized the States to work with the Federal Railroad Administration to enforce Federal railroad safety regulations. In 1992, the State Safety Participation regulations (49 CFR, Part 212) were revised thereby

allowing the States to participate in all five of the safety disciplines (track, signal and train control, motive power and equipment, operating practices, and hazmat) State programs generally emphasize planned, routine compliance inspections, however, States may undertake additional investigative and surveillance activities consistent with overall program needs and individual State capabilities Excludes training records

a Certification Letter Letter issued to State Inspector after completion of FRA training program

Disposition **Temporary** Close files upon separation of inspector from the program Destroy 3 years after closure

~~b Participant Agreements Multi year agreements for participation in FRA's State Participation Inspection Program (Covered under N1-399-07-12, Item 1a)~~

~~e Training/Equipment Loan Agreements (Covered under N1-399-07-12, Item 1a)~~

18 **Subject Files:** Memoranda, correspondence, statutes, regulations, oversight reviews, strategy documents, white papers and other research that provide a comprehensive review of the subject (Superseded Job NC1-399-78-1/6, 7, 8, 26 & 29)

Disposition **Temporary** Close files when case closes or when subject becomes obsolete or superseded Destroy or delete when records are no less than 10 years old but no more than 30 years old

19 **Train Horn Rule:**

a Quiet Zone Applications: Applications to establish a quiet zone under 49 CFR Section 222.39(b) and related correspondence used by FRA to make a determination

Disposition **Temporary** Close files at end of calendar year
If paper Transfer to FRC 5 years after closure Destroy 30 years after closure
If electronic Delete 30 years after closure

b Quiet Zone Improvement Plans Plan to remedy quiet zone non-compliance

Disposition **Temporary** Close files at end of calendar year
If paper Transfer to FRC 5 years after closure Destroy 30 years after closure
If electronic Delete 30 years after closure

c Quiet Zone Notifications Quiet Zone notifications and other information required by 49 CFR Section 222.43 and 222.47

Disposition **Temporary** Close files when terminated, superseded or obsolete Destroy or delete 10 years after closure

d Quiet Zone Risk Review Notification Annual notification to the public authority of the quiet zone risk index for the preceding calendar year per under 49 CFR Section 222.51

Disposition **Temporary** Close files at end of calendar year Destroy or delete 10 years after closure

e Quiet Zone Terminations Quiet Zone terminations under 49 CFR Section 222.51

Disposition **Temporary** Close files at end of calendar year Destroy or delete 10 years after closure

f New Supplemental or Alternative Safety Measures New supplemental or alternative safety measures under 49 CFR Section 222.55

Disposition **Temporary** Close files at end of calendar year
If paper Transfer to FRC 5 years after closure Destroy 30 years after closure
If electronic Delete 30 years after closure

g Wayside Horn Notifications Wayside horn notifications under 49 CFR Section 222.59

Disposition **Temporary** Close files when terminated, superseded or obsolete Destroy or delete 10 years after closure

20 Violations:

a Declined enforcement Violation case files that Chief Counsel declines to enforce and/or prosecute

Disposition **Temporary** Close files upon return of case file Cutoff files at end of calendar year Destroy or delete 1 year after cutoff

b Regional Warning Letters Regional Administrator sends an individual railroad employee a warning letter

Disposition **Temporary** Cutoff files at end of calendar year Destroy or delete 30 years after cutoff

c Reports/Investigations Covers violations reports and subsequent investigations, remedial actions by the railroad, and associated documentation

Disposition **Temporary.** Close files upon FRA's findings Cut off files at end of fiscal year in which case is closed or when fine or settlement amount has been paid, whichever is later Delete 3 years after cut off

Includes but not limited to

- *False Proceed Signal Failures/Reports* Arranged by annual sequential file number Carrier reports to FRA of signal system failures This series includes carrier reports, investigation reports, and associated documentation
- *Hazardous Materials Violations/Incident Investigations* Memorandum reports for any assigned investigation activity, other than complaint investigations, involving hazardous materials (e.g., NRC reports, 5800.1 reports or OTM reports)

- *Highway-Rail Grade Crossing Warning Systems Failures/Reports* Arranged by annual sequential file number Carrier reports to FRA of activation failures, partial activations and false activations, includes carrier reports, investigation reports and associated documentation