

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-408-05-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 05/13/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 2500/3A and 3B are active only for records concerning 2016 and earlier agency budget submissions.

All other items remain active.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

1100/1a1 was superseded by N1-408-11-022, item 1a

1100/1a2 was superseded by N1-408-11-022, item 1a

1100/1b was superseded by N1-408-11-022, item 1b

1100/2 was superseded by N1-408-11-022, items 1c1 and 1c2

1320/1a was superseded by N1-408-11-023, item 1a and 1b

1320/3 was superseded by N1-408-11-023, item 1c

1370/1b was superseded by DAA-0408-2012-0001-0007

1370/1a was superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)

1370/1c1 was superseded by DAA-0408-2012-0001-0006

1370/1c2 was superseded by DAA-0408-2012-0001-0005

1370/1d was superseded by GRS 3.1, item 050 (DAA-GRS-2013-0005-0002)

1400/1 was superseded by N1-408-11-010, item 1a

1400/2 was superseded by N1-408-11-010, item 1b

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1400/3 was superseded by N1-408-11-010, item 1c

1430/1 was superseded by DAA-0408-2013-0007-0001

2000/2 was superseded by N1-408-11-006, item 4

2010/1 was superseded by N1-408-11-008, item 1

2010/2 was superseded by N1-408-11-008, item 1

2050/2 was superseded by N1-408-11-003, item 1a

2050/3 was superseded by N1-408-11-003, item 1b

2100/2a1 was superseded by N1-408-11-006, item 1

2100/2a2 was superseded by N1-408-11-006, item 1

2100/2b was superseded by N1-408-11-006, item 2

2130 was superseded by N1-408-11-007, item 1

2150/1a was superseded by N1-408-11-007, item 2

2150/1b was superseded by N1-408-11-007, item 2

2500/1a is superseded by GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)

2500/1b is superseded by GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)

2500/3a is superseded by GRS 1.3, item 010 (DAA-GRS-2015-0006-0001) for records concerning agency 2017 budget submissions and forward

2500/3b is superseded by GRS 1.3, item 010 (DAA-GRS-2015-0006-0001) for records concerning agency 2017 budget submissions and forward

2500/4 is superseded by GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)

2510/1 is superseded by GRS 1.3, item 020 (DAA-GRS-2015-0006-0002)

2510/2 is superseded by GRS 1.3, item 050 (DAA-GRS-2015-0006-0007)

2520 is superseded by GRS 1.3, item 030 (DAA-GRS-2015-0006-0003) and GRS 1.3, item 031 (DAA-GRS-2015-0006-0004)

4900/2 was superseded by N1-408-11-012, item 1b

4900/5a was superseded by N1-408-11-012, item 1e1

4900/5b was superseded by N1-408-11-012, item 1e2

6100/3a was superseded by N1-408-11-012, item 1e1

6100/3b was superseded by N1-408-11-012, item 1e2

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

|   |  |  |   |
|---|--|--|---|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>  |  | <b>JOB NUMBER</b><br>71-408-05-1   |   |
| <b>To:</b> NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001  |  | <b>Date received</b><br>1-5-2005   |   |
| <b>1. FROM (Agency or establishment)</b><br>U.S. Department of Transportation   |  | <b>NOTIFICATION TO AGENCY</b>  |   |
| Federal Transit Administration  |  | 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. |   |
| <b>2. MAJOR SUBDIVISION</b><br>Office of Administration   |  |  |   |
| <b>3. MINOR SUBDIVISION</b><br>Office of Information Technology   |  |  |   |
| <b>4. NAME OF PERSON WITH WHOM TO CONFER</b><br><br>Karen Shaw  | <b>4. TELEPHONE NUMBER</b><br><br>(202) 366-6146   | <b>DATE</b><br>4 10 2008<br>12/30/04   | <b>ARCHIVIST OF THE UNITED STATES</b><br>   |
| <b>6. AGENCY CERTIFICATION</b><br>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>78</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.   |  |  |   |
| <b>DATE</b><br><br>12/30/04   | <b>SIGNATURE OF AGENCY REPRESENTATIVE</b><br>  |  | <b>TITLE</b><br><br>Records Officer, TAD-20 |
| <b>7. ITEM NO</b>   | <b>8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</b>   | <b>9. GRS OR SUPERSEDED JOB CITATION</b>   | <b>10. ACTION TAKEN (NARA USE ONLY)</b>     |
|   | SEE ATTACHED SHEET(S) FOR:<br><br>Federal Transit Administration's Records Disposition Schedule. |  |   |
| LE 4/25/08 Copies sent to agency NWMD, NWME, NW MW, NWCT, & LR  |  |  |   |

## FTA Records Disposition Schedule

Federal Transit Administration (FTA) is one of eleven modal administrations within the US Department of Transportation, headed by an Administrator who is appointed by the President of the United States. FTA is the principal source of Federal financial assistance to America's communities for the planning, development, and improvement of public transportation systems. FTA functions through a Washington, DC headquarters office and ten regional offices which assist transit agencies in all 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, Northern Mariana Islands, and American Samoa.

### GENERAL MANAGEMENT AND ADMINISTRATION

The records described below relate to the Federal Transit Administration (FTA) and the performance of administrative management functions. They result from the development of agency plans, policies, and programs; agency relations with the public and Congress, release of information under the Freedom of Information Act (FOIA) and the Privacy Act, and to other external bodies; administrative support services; and defense planning activities.

| Series      | Code       | Title and Description of Records<br>(All Record Series are media-neutral except where indicated)  | Disposition  | Authority                                   |
|-------------|------------|---|--|---|
| <b>1000</b> | <b>ORG</b> | <b>ADMINISTRATION RECORDS</b>   |  |   |
|             | (1)        | <p><u>Administrative policy and planning files.</u> Documents relating to policy development and the overall planning, coordination, control, and executive direction of the assigned missions of the Agency, that is, the planning, development and improvement of public transportation systems. Specifically, files are accumulated by the Administrator, his/her top-level staff, and heads of regions.</p> <p>(a) <u>Mission correspondence.</u> Determine medium of recordkeeping copy.</p> <p>1. <u>If paper</u></p> | <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year. Transfer to FRC two years after cutoff<br/>Transfer to NARA ten years after cutoff.</p> | <p><b>NC1-408-80-1,<br/>1000 (1)(a)</b></p> |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                        |
|-------------|------------|--|---|----------------------------------|
| <b>1000</b> | <b>ORG</b> | <b>ADMINISTRATION RECORDS</b>  |   |                                  |
|             |            | 2. <u>If electronic.</u><br><br>(b) <u>All other correspondence.</u>   | <b>Permanent</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270.<br><br>Temporary. Cut off at the end of the calendar year. Destroy/delete two years after cutoff. | <b>NC1-408-80-1, 1000 (1)(b)</b> |
|             | (2)        | <u>General correspondence files.</u> Routine correspondence, reports, and related documents pertaining to activities promoting mass transportation development, encouraging transportation, fostering public understanding or agency mission and activities (such as "Dear Colleague" letters and congressional inquiries), and disseminating information to the public. Most of the correspondence relates to funding, responses to letters of support, and fact findings. These records also include Information Action Memorandums, case files with background information, and copies of some regional director correspondence. All documents are converted to pdf files and managed by a correspondence control management system.<br><br>(a) <u>Congressional correspondence</u> | Temporary Cut off at the end of the calendar year. Destroy/delete two years after cutoff.   | <b>New</b>                       |

## FTA Records Disposition Schedule

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[illegible]

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority   |
|-------------|------------|--|---|---|
| <b>1110</b> | <b>ORG</b> | <b>COMMITTEE MANAGEMENT AND CONFERENCE RECORDS</b>   |   |   |
|             |            | (b) <u>Files for Internal FTA Committees.</u>  | Temporary. Cut off when committee is terminated.<br>Destroy/delete two years after cutoff.  | <b>NC1-408-80-1,<br/>1110 (1)(b)</b>  |
|             | (2)        | <p><u>Committee official files.</u> Minutes, agenda, reports, and other papers documenting accomplishments and results of matters assigned to formally established committees, boards, or similar groups.</p> <p>(a) <u>Official files of the committee sponsor, secretariat, or recorder.</u><br/>Determine medium of recordkeeping copy.</p> <p>1 <u>If paper.</u></p> <p>2. <u>If electronic.</u></p> <p>(b) <u>All others.</u></p> | <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year.<br/>Transfer to NARA five years after cutoff.</p> <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270</p> <p>Temporary. Cut off at the end of the calendar year.<br/>Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is later</p> | <p><b>NC1-408-80-1,<br/>1110 (2)(a)</b></p> <p><b>NC1-408-80-1,<br/>1110 (2)(b)</b></p> |



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|-------------|------------|--|---|--|
| <b>1110</b> | <b>ORG</b> | <b>COMMITTEE MANAGEMENT AND CONFERENCE RECORDS</b>   |   |  |
|             | (3)        | <u>Staff and local meeting and conference files.</u> Minutes, agenda, and related documents.   | Folder as part of the office general correspondence files and dispose of accordingly.   | <b>NC1-408-80-1, 1110 (3)</b>  |
|             | (4)        | <u>Committee inventory files.</u> Annual and special inventory reports of FTA committees in existence<br><br>(a) <u>Accumulated by the FTA Committee Management Officer</u><br><br>(b) <u>All others.</u>  | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete five years after cutoff.<br><br>Temporary. Cut off at the end of the calendar year.<br>Destroy/delete two years after cutoff. | <b>NC1-408-80-1, 1110 (4)(a)</b><br><br><b>NC1-408-80-1, 1110 (4)(b)</b> |
| <b>1210</b> | <b>PUB</b> | <b>EXECUTIVE INFORMATION RECORDS</b>   |   |  |
|             | (1)        | <u>Information release files.</u> Records documenting the public releases of information concerning agency activities and accomplishments, consisting of press releases, official speeches, biographies, briefing papers, weekly reports, and news digest.<br><br>(a) <u>Press releases.</u><br><br>1. <u>Record copy.</u> | <b>Permanent.</b> Cut off at the end of the calendar year<br>Transfer to NARA after cutoff in accordance with 36 CFR 1228.270.  | <b>NC1-408-80-1, 1210 (1)(a)1</b>  |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated) | Disposition  | Authority                         |
|-------------|------------|--|--|-----------------------------------|
| <b>1210</b> | <b>PUB</b> | <b>EXECUTIVE INFORMATION RECORDS</b>   |  |                                   |
|             |            | 2. <u>All other copies</u>   | Temporary. Destroy/delete when no longer needed for administrative purposes.   | <b>NC1-408-80-1, 1210 (1)(a)2</b> |
|             |            | (b) <u>Official speeches of the Administrator and the Deputy Administrator.</u>                  |  |                                   |
|             |            | 1. <u>Record copy.</u>   | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270. | <b>NC1-408-80-1, 1210 (1)(b)1</b> |
|             |            | 2 <u>All other copies.</u>   | Temporary. Destroy/delete when no longer needed for administrative purposes.   | <b>NC1-408-80-1, 1210 (1)(b)2</b> |
|             |            | (c) <u>Biographies of the Administrator, Deputy Administrator, and other top officials.</u>      |  |                                   |
|             |            | 1 <u>Record copy.</u>  | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270. | <b>NC1-408-80-1, 1210 (1)(c)1</b> |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                         |
|-------------|------------|---|--|-----------------------------------|
| <b>1210</b> | <b>PUB</b> | <b>EXECUTIVE INFORMATION RECORDS</b>  |  |                                   |
|             |            | 2. <u>All other copies</u>  | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete three years after cutoff.        | <b>NC1-408-80-1, 1210 (1)(c)2</b> |
|             | (2)        | <u>Weekly reports</u> from all regional administrators and FTA offices listing recent past events as well as current and planned events occurring within their regions. These reports are summarized, along with headquarter activities, and sent to the Office of the Secretary. This series also includes legislative or modal reports to the Secretary on Congressional activities and responses to inquiries.   | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete one year after cutoff.           | <b>New</b>                        |
|             | (3)        | <u>News digest</u> issued daily and summarizing transit-related stories collected from various sources.   | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete one year after cutoff.           | <b>New</b>                        |
|             | (4)        | <u>Briefing books and briefing papers.</u> Contain itinerary, background briefing memoranda and reports, program agenda, speeches, biographies of attendees, media advisories, press releases, and background media and political material compiled for events attended by the Administrator, Deputy Administrator, or Secretary. Some files may also contain notes and other records documenting event activities. Determine medium of recordkeeping copy.<br><br>(a) <u>If paper.</u> | <b>Permanent</b> Cut off at the end of the calendar year.<br>Transfer to NARA five years after cutoff. | <b>New</b>                        |

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| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                        |
|-------------|------------|--|--|----------------------------------|
| <b>1210</b> | <b>PUB</b> | <b>EXECUTIVE INFORMATION RECORDS</b>   |  |                                  |
|             |            | (b) <u>If electronic.</u>  | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228 270.       |                                  |
|             | (5)        | <u>Press calls archive</u> Contains requests for information from the press along with the responses.  | Temporary. Cut off at the end of the calendar year. Destroy/delete three years after cutoff  | <b>New</b>                       |
| <b>1220</b> | <b>PUB</b> | <b>PUBLICATION RECORDS</b>   |  |                                  |
|             |            | <u>Internal publication files.</u> Each FTA publication, with supporting case file, if any, maintained by the issuing or controlling office. |  |                                  |
|             | (1)        | <u>Record Copy</u> of each publication.  | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228 270.       | <b>NC1-408-80-1, 1710 (1)(a)</b> |
|             | (2)        | <u>All other copies.</u>   | Temporary. Destroy/delete when no longer needed for administrative purposes  | <b>NC1-408-80-1, 1710 (1)(b)</b> |
|             | (3)        | <u>All related case files.</u>   | Temporary. Cut off at the end of the calendar year. Transfer to FRC four years after cutoff. Destroy/delete ten years after cutoff | <b>NC1-408-80-1, 1710 (1)(c)</b> |
| <b>1230</b> | <b>PUB</b> | <b>VISUALS, EXHIBITS, AND GRAPHICS RECORDS</b>   |  |                                  |
|             |            | <u>Exhibit materials.</u>  | Temporary. Destroy/delete when superseded or obsolete.   | <b>New</b>                       |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|--|
| <b>1240</b> | <b>PUB</b> | <b>PHOTOGRAPHY RECORDS</b>  |  |  |
|             |            | <u>Photo gallery of transit projects</u> mounted on the website   | <b>Permanent</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270   | <b>NC1-408-80-1, Items 1740(1) &amp; 1740(2)</b>                           |
| <b>1320</b> | <b>ADM</b> | <b>DIRECTIVE MANAGEMENT RECORDS</b>   |  |  |
|             |            | <u>Directives case files</u> Official case files for internal FTA directives prescribing policies, organization, or procedures, or providing information essential to the administration or operation of the agency   |  |  |
|             | (1)        | <u>FTA directives containing orders and handbooks</u> , notices that change existing or prescribe new policies, organization, or procedures; notices approved by the Administrator, Deputy Administrator, Associate Administrators, or Deputy Administrators regardless of subject matter<br><br>(a) <u>Record set of directives</u><br><br>(b) <u>All other copies</u> of directives | <b>Permanent.</b> Transfer to NARA after approval of the schedule in accordance with 36 CFR 1228.270. Cut off new directives at the end of the calendar year and transfer to NARA in accordance with 36 CFR 1228.270.<br><br>Temporary Destroy/delete when superseded or obsolete. | <b>NC1-408-80-1, 1320 (1)(a)1</b><br><br><b>NC1-408-80-1, 1320 (1)(a)2</b> |

## FTA Records Disposition Schedule

| Series                 | Code                  | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                            |
|------------------------|-----------------------|--|--|--------------------------------------|
| <b>1320</b>            | <b>ADM</b>            | <b>DIRECTIVE MANAGEMENT RECORDS</b>  |  |                                      |
|                        | (2)                   | <u>Case files for FTA directives.</u> Each case file includes a printed copy of the directive, record of clearance and approvals, and significant background documents.  | Temporary Place in inactive file at the end of the calendar year in which directive is superseded or canceled. Destroy/delete five years after cutoff.                     | <b>NC1-408-80-1, 1320 (1)(a)2</b>    |
|                        | (3)                   | <u>Directives received from non-FTA agencies</u>   | Temporary. Destroy when superseded or obsolete.  | <b>NC1-408-80-1, 1320 (1)(c)</b>     |
| <del><b>1330</b></del> | <del><b>ADM</b></del> | <del><b>FREEDOM OF INFORMATION ACT (FOIA) RECORDS</b></del>  |  |                                      |
|                        | (1)                   | <del><u>FOIA files.</u> Files created in response to requests for information under the FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.</del> |  |                                      |
|                        | (a)                   | <del><u>Correspondence and supporting documents</u> (Excluding the official file copy of the records requested if filed herein).</del>   |  |                                      |
|                        | 1.                    | <del><u>Granting access to all the requested records.</u></del>  | <del>Temporary Cut off at the end of the calendar year in which reply was sent. Destroy/delete two years after cutoff.</del>   | <del><b>GRS 14 Item 11a(1)</b></del> |
|                        | 2.                    | <del><u>Responding to requests for nonexistent records;</u> to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees</del>   | <del>Temporary. Cut off at the end of the calendar year in which reply was sent. Destroy/delete two years cutoff or, if appealed, as authorized under Item 1330 (2).</del> | <del><b>GRS 14 Item 11a(2)</b></del> |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                 |
|-------------|------------|---|--|---------------------------|
| <b>1330</b> | <b>ADM</b> | <b>FREEDOM OF INFORMATION ACT (FOIA) RECORDS</b>  |  |                           |
|             |            | 3 <u>Denying access to all or part of the records requested.</u>  | Temporary Cut off at the end of the calendar year in which reply was sent. Destroy/delete six years after cutoff or, if appealed, as authorized under Item 1330 (2).   | <b>GRS 14 Item 11a(3)</b> |
|             |            | (b) <u>Official file copy of requested records.</u>   | Dispose of in accordance with the disposition instruction for the related records, or in accordance with the related FOIA request, whichever is later  | <b>GRS 14 Item 11b</b>    |
|             | (2)        | <u>FOIA appeals files</u> Files created in responding to administrative appeals under FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents which may include the official file copy of records under appeal or copy thereof.<br><br>(a) <u>Correspondence and supporting documents</u> (excluding the official file copy of the records under appeal if filed herein). | Temporary. Cut off at the end of the calendar year in which case is closed. Destroy/delete six years after final determination by agency, six years after the time at which a requestor could file suit, or three years after final adjudication by courts, whichever is later | <b>GRS 14 Item 12a</b>    |

## FTA Records Disposition Schedule

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority   |
|-----------------|----------------|--|--|---|
| <del>1330</del> | <del>ADM</del> | <del><b>FREEDOM OF INFORMATION ACT (FOIA) RECORDS</b></del>  |  |   |
|                 |                | (b) <u>Official file copy of records under appeal</u>  | Dispose of in accordance with the disposition instruction for the related records, or in accordance with the related FOIA request, whichever is later.   | <b>GRS 14 Item 12b</b>                                      |
|                 | (3)            | <p><u>FOIA control files</u>. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester</p> <p>(a) <u>Registers or listing</u>.</p> <p>(b) <u>Other files</u>.</p> | <p>Temporary Destroy/delete six years after date of last entry.</p> <p>Temporary. Cut off at the end of the calendar year of final action or final adjudication by the courts, whichever is later. Destroy/delete six years after cutoff</p> | <p><b>GRS 14 Item 13a</b></p> <p><b>GRS 14 Item 13b</b></p> |
|                 | (4)            | <u>FOIA reports files</u> . Recurring reports and one-time information requirements relating to agency implementation of the FOIA, including annual reports to Congress.   | Temporary Cut off at the end of the calendar year. Destroy/delete two years after cutoff.  | <b>GRS 14 Item 14</b>                                       |
|                 | (5)            | <u>FOIA administrative files</u> . Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.   | Temporary Cut off at the end of the calendar year. Destroy/delete two years after cutoff   | <b>GRS 14 Item 15</b>                                       |



| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-----------------|----------------|---|--|--|
| <del>1340</del> | <del>ADM</del> | <del><b>PRIVACY ACT RECORDS</b></del>   |  |  |
|                 | (1)            | <p><u>Privacy Act requests files</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records</p> <p>(a) Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein).</p> <p>1. <u>Granting access to all the requested records.</u></p> <p>2. <u>Responding to requests for nonexistent records</u>, to requesters who provide inadequate descriptions and to those who fail to pay agency reproduction fees.</p> <p>a. <u>Requests not appealed</u></p> <p>b. <u>Requests appealed</u></p> | <p>Temporary. Cut off at the end of the calendar year in which reply was sent. Destroy/delete two years after cutoff.</p> <p>Temporary Cut off at the end of the calendar year in which reply was sent. Destroy/delete two years after cutoff</p> <p>Temporary Destroy/delete as authorized under Item 1340(2)</p> | <p><b>GRS 14 Item 21a(1)</b></p> <p><b>GRS 14 Item 21a(2)(a)</b></p> <p><b>GRS 14 Item 21a(2)(b)</b></p> |

**FTA Records Disposition Schedule**

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-----------------|----------------|---|--|--|
| <del>1340</del> | <del>ADM</del> | <del><b>PRIVACY ACT RECORDS</b></del>   |  |  |
|                 |                | 3 <u>Denying access to all or part of the records requested.</u><br><br>a. <u>Requests not appealed.</u><br><br>b. <u>Requests appealed.</u><br><br>(b) <u>Official file copy of requested records.</u>   | Temporary. Cut off at the end of the calendar year in which reply was sent. Destroy/delete five years after cutoff.<br><br>Temporary. Destroy/delete as authorized under Item 1340(2).<br><br>Dispose of in accordance with disposition instructions for the related records or in accordance with the related Privacy Act request, whichever is later | <b>GRS 14 Item 21a(3)(a)</b><br><br><b>GRS 14 Item 21a(3)(b)</b><br><br><b>GRS 14 Item 21b</b> |
|                 | (2)            | <u>Privacy Act amendment case files</u> Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g)<br><br>(a) <u>Requests to amend agreed to by agency.</u> Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. | Dispose of in accordance with disposition instructions for the related subject individual's record or four years after agency's agreement to amend, whichever is later   | <b>GRS 14 Item 22a</b>   |

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority              |
|-----------------|----------------|---|--|------------------------|
| <del>1340</del> | <del>ADM</del> | <del><b>PRIVACY ACT RECORDS</b></del>   |  |                        |
|                 |                | (b) <u>Requests to amend refused by agency.</u> Includes individual requests to amend and to review refusal to amend, copies of agency's replies thereto, statement or disagreement, agency justification for refusal to amend a record, and related materials.   | Dispose of according to disposition instructions for the individual's record; four years after final determination by agency; or three years after final adjudication by the courts, whichever is later. | <b>GRS 14 Item 22b</b> |
|                 |                | (c) <u>Appealed requests to amend.</u> Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.   | Dispose of in accordance with disposition instructions for related subject individual's record or three years after final adjudication by the courts, whichever is later.                                | <b>GRS 14 Item 22c</b> |
|                 | (3)            | <u>Privacy Act accounting of disclosure files.</u> Files maintained under the provision of U.S.C. 552a(c) or an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable. | Dispose of in accordance with disposition instructions for the related subject individual's records, or five years after the disclosure for which the accountability was made, whichever is later.       | <b>GRS 14 Item 23</b>  |
|                 | (4)            | <u>Privacy Act control files</u> Files maintained for control purposes in responding to requests including registers and similar records listing date, nature of request, and name and address of requester<br><br>(a) <u>Registers or listings</u>   | Temporary. Cut off at the end of the calendar year in which last entry is made.<br>Destroy/delete five years after cutoff.   | <b>GRS 14 Item 24a</b> |

## FTA Records Disposition Schedule

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                |
|-----------------|----------------|--|--|--------------------------|
| <del>1340</del> | <del>ADM</del> | <del><b>PRIVACY ACT RECORDS</b></del>  |  |                          |
|                 |                | (b) <u>Other files</u>   | Temporary Cut off at the end of the calendar year in which final action by the agency or final adjudication by courts occurs, whichever is later<br>Destroy/delete five years after cutoff | <b>GRS 14 Item 24b</b>   |
|                 | (5)            | <u>Privacy Act reports files.</u> Recurring reports and one-time information requirements relating to agency implementation, including annual reports to Congress of the United States, the Office of Management and Budget, and the Report on New Systems   | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete two years after cutoff   | <b>GRS 14 Item 25</b>    |
|                 | (6)            | <u>Privacy Act general administrative files.</u> Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routing correspondence, and related records   | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete two years after cutoff.  | <b>GRS 14 Item 26</b>    |
| <del>1350</del> | <del>ADM</del> | <del><b>RECORDS MANAGEMENT RECORDS</b></del>   |  |                          |
|                 | (1)            | <u>Descriptive inventories, disposal authorizations, schedules, and reports.</u><br><br>(a) <u>Basic documentation of records description and disposition programs</u> , including SF 115, Request for Records Disposition Authority, SF 135, Records Transmittal and Receipt, SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation<br><br>1 <u>SF 115s that have been approved by NARA.</u> | Temporary Cut off at the end of the fiscal year in which authority is superseded<br>Destroy/delete two years after cutoff  | <b>GRS 16 Item 2a(1)</b> |

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                |
|-----------------|----------------|--|---|--------------------------|
| <del>1350</del> | <del>ADM</del> | <del><b>RECORDS MANAGEMENT RECORDS</b></del>   |   |                          |
|                 |                | 2. <u>Other records.</u>   | Temporary Cut off at the end of the fiscal year in which the related records are destroyed, or after the related records are transferred to the National Archives of the United States, whichever is applicable<br>Destroy/delete six years after cutoff. | <b>GRS 16 Item 2a(2)</b> |
|                 |                | (b) <u>Routine correspondence and memoranda.</u>   | Temporary Cut off at the end of the fiscal year.<br>Destroy/delete two years after cutoff   | <b>GRS 16 Item 2b</b>    |
|                 | (2)            | <u>Statistical reports of records holdings</u> including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer. |   |                          |
|                 |                | (a) <u>Records held by offices that prepare reports on agency-wide records holdings.</u>   | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff  | <b>GRS 16 Item 4a</b>    |
|                 |                | (b) <u>All other offices.</u>  | Temporary. Cut off at the end of the fiscal year<br>Destroy/delete one year after cutoff.   | <b>GRS 16 Item 4b</b>    |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority   |
|-------------|------------|--|---|---|
| <b>1370</b> | <b>ADM</b> | <b>INFORMATION TECHNOLOGY AND STATISTICAL RECORDS</b>  |   |   |
|             | (1)        | <p><u>National Transit Database files</u> Contains data on every urban mass transit system which receives grants from the Federal government</p> <p>(a) <u>Inputs</u>. Information added to the database from yearly reports</p> <p>(b) <u>Master files</u>. Summary data for each transit system including services, equipment, infrastructure, population served, employees, customers, safety, security, ADA compliance, sources and amount of revenue.</p> <p>(c) <u>Outputs</u></p> <p>1. <u>Summaries and Trends Reports</u>. All data summarized annually for the entire nation</p> <p>2. <u>Transit System Profiles</u>.</p> | <p>Temporary. Cut off at the end of the fiscal year.<br/>Destroy/delete three years after cutoff.</p> <p><b>Permanent</b>. Cut off at the end of the fiscal year<br/>Transfer to NARA two years after cutoff in accordance with 36 CFR 1228 270</p> <p><b>Permanent</b>. Cut off at the end of the fiscal year<br/>Transfer to NARA two years after cutoff in accordance with 36 CFR 1228.270.</p> <p>Temporary. Cut off at the end of the fiscal year.<br/>Destroy/delete when no longer needed.</p> | <p><b>N1-408-95-2, 1A</b></p> <p><b>N1-408-95-2, 1B</b></p> <p><b>New</b></p> |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority              |
|-------------|------------|--|--|------------------------|
| <b>1370</b> | <b>ADM</b> | <b>INFORMATION TECHNOLOGY AND STATISTICAL RECORDS</b>  |  |                        |
|             |            | <del>3. Other reports including Security Reports, Safety Reports, ADA Compliance Reports, Fuel Consumption Reports, Congressional performance Report, and ad hoc reports.</del><br><br>(d) <u>Documentation</u> such as data systems specifications, file specifications, codebooks, record layouts, and user guides | See 2940(2)<br><br><b>Permanent.</b> Cut off at the end of the fiscal year. Transfer to NARA along with the master files in accordance with 36 CFR 1228.270. | <b>N1-408-95-2, 1C</b> |
|             | (2)        | <u>Apportionment books</u> documenting decisions on adjustments or nonfunding. Records are also published in the Federal Register.   | Temporary. Cut off at the end of the fiscal year. Transfer to FRC three years after cutoff. Destroy/delete five years after cutoff.                          | <b>New</b>             |
| <b>1400</b> | <b>CIV</b> | <b>CIVIL RIGHTS RECORDS</b>  |  | <b>New</b>             |
|             |            | <u>General and administrative records</u> Congressional relations, budget files, strategic plan, briefing papers, and Letters of Findings. Chronological files arranged by program area and then by region and section   |  |                        |
|             | (1)        | <u>Correspondence.</u>   | Temporary. Cut off at the end of the fiscal year. Transfer to FRC three years after cutoff. Destroy/delete ten years after cutoff.                           |                        |
|             | (2)        | <u>Blank Civil Rights-administered program forms.</u>  | Temporary Destroy/delete when superseded or obsolete.  |                        |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|------------|
| <b>1400</b> | <b>CIV</b> | <b>CIVIL RIGHTS RECORDS</b>   |  |            |
|             | (3)        | <u>Congressional inquiries, finance and budget reports, strategic plans, and briefing papers</u>  | Temporary. Cut off at the end of the fiscal year Transfer to FRC five years after cutoff. Destroy/delete ten years after cutoff  |            |
| <b>1410</b> | <b>CIV</b> | <b>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS</b>  |  | <b>New</b> |
|             |            | The Department of Transportation's (DOT) DBE Program seeks to ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs and to create a level playing field on which DBEs can compete fairly for DOT-assisted contracts. The FTA Office of Civil Rights is responsible for monitoring FTA recipients' DBE programs and ensuring their compliance with DOT's DBE Regulations found at 49 CFR Part 26. | .  |            |
|             | (1)        | <u>Compliance Reviews</u> Records of onsite compliance reviews of transit agencies.<br><br>(a) <u>Final Report</u> , which includes letters of findings, responses, quarterly reports, agency reviews, and comments<br><br>(b) <u>Working files, background materials, transitory correspondence.</u>   | Temporary. Cut off at the end of the fiscal year in which case is closed and report is finalized. Destroy/delete ten years after cutoff<br><br>Temporary. Cut off at the end of the fiscal year in which case is closed and report is finalized. Destroy/delete one year after cutoff. |            |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority  |
|-------------|------------|---|---|------------|
| <b>1410</b> | <b>CIV</b> | <b>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS</b>  |   | <b>New</b> |
|             | (2)        | <u>Complaint files</u> Contains complaint letter and transit system response.   | Temporary. Cut off at the end of the fiscal year in which case is closed or transferred. Transfer to FRC three years after cutoff. Destroy/delete ten years after cutoff.                       |            |
|             | (3)        | <u>Annual goals</u> . Each transit agency which receives Federal funding is required to report on how the funds will be spent and how much is eligible for DBE companies. Contains correspondence with regional offices regarding the interpretation of regulations.                              | Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff.  |            |
|             | (4)        | <u>Semi-annual report</u> . Reports on the achievement of annual goals which are entered into the TEAM system.  | Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff.  |            |
| <b>1420</b> | <b>CIV</b> | <b>AMERICANS WITH DISABILITIES ACT (ADA) RECORDS</b>  |   | <b>New</b> |
|             |            | The Americans with Disabilities Act of 1990 prohibits discrimination and ensures equal opportunity and access for persons with disabilities. The FTA Office of Civil Rights is responsible for civil rights compliance and monitoring to ensure non-discriminatory provision of transit services. |   |            |
|             | (1)        | <u>Complaint Investigation files</u> . Contains correspondence, response, letters of finding, and legal and other responsive documents relating to complaints from the public. Includes cases investigated jointly with the Department of Justice.  | Temporary. Cut off at the end of the fiscal year in which the case is closed. Transfer to FRC three years after cutoff, or earlier if volume warrants. Destroy/delete eight years after cutoff. |            |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority  |
|-------------|------------|---|---|------------|
| <b>1420</b> | <b>CIV</b> | <b>AMERICANS WITH DISABILITIES ACT (ADA) RECORDS</b>  |   | <b>New</b> |
|             | (2)        | <u>Letters of finding</u> Rulings on allegations of discrimination by transit systems.<br><br>(a) <u>The signed pdf file.</u><br><br>(b) <u>All other copies</u> , including documents in Word, html, and paper.  | <br><br><b><u>Permanent.</u></b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270.<br><br>Temporary. Destroy/delete when no longer needed. |            |
|             | (3)        | <u>Oversight binders.</u> Records of onsite compliance reviews of accessibility issues, including all details of the review, attachments, findings, quarterly reports, correspondence Attachments include publications from investigated system, sample forms, and other submissions. | Temporary. Cut off at the end of the calendar year in which report is completed or case is closed. Destroy/delete ten years after cutoff.   |            |
|             | (4)        | <u>Background/working files.</u> Created by the contractor who conducts investigations.   | Temporary. Cut off at the end of the calendar year in which corresponding report is completed or case is closed. Destroy/delete one year after cutoff.  |            |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|------------|
| <b>1430</b> | <b>CIV</b> | <b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS</b>   |  | <b>New</b> |
|             |            | The Federal Transit Laws, 49 U.S.C. 5332(b), provide that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act." This applies to employment and business opportunities. The FTA's Office of Civil Rights helps FTA recipients develop, implement, and monitor an effective EEO Program to ensure that recipients do not discriminate against any employees or applicants for employment because of race, color, religion, sex, disability, age or national origin. |  |            |
|             | (1)        | <u>Internal EEO files</u> Contains notes of interviews with complainant and alleged discriminator, witness records and statements, and forms such as ADR mediation and intake   | Temporary. Cut off at the end of the fiscal year in which case is closed. Transfer to FRC three years after cutoff.<br>Destroy five years after cutoff |            |
|             | (2)        | <u>Special Emphasis Program records</u> . Documenting participation in several committees which focus on the celebration of the achievements of minority groups and cultural history, including Martin Luther King Jr. Day, historically black colleges and universities, Asian-Pacific American initiatives by FTA staff, and also demonstrating the participation of ethnic groups in FTA programs. These reports are forwarded to the DOT Office of Civil Rights which aggregates the information and reports to the White House. These records also include background files such as reports from other offices in FTA.   | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete four years after cutoff.   |            |
|             | (3)        | <u>Requests for funding</u> . Inquiries and requests for funding from the public relating to programs no longer in force  | Temporary. Cut off at the end of the calendar year<br>Destroy/delete after cutoff.   |            |

## FTA Records Disposition Schedule

| Series | Code | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority  |
|--------|------|--|---|------------|
| 1440   | CIV  | <b>TITLE VI/ENVIRONMENTAL JUSTICE (Title VI/EJ) RECORDS</b>  |   | <b>New</b> |
|        | (1)  | <u>Oversight Title VI compliance review binders.</u> Contains correspondence, draft reports, progress reports, final reports, findings, and supporting evidence relating to discretionary compliance reviews.  | Temporary Cut off at the end of the fiscal year in which report is completed.<br>Destroy/delete ten years after cutoff.   |            |
|        | (2)  | <u>Title VI Complaint Investigation Files.</u> Contains original complaint, witness statements, correspondence with the transit system against which the complaint was filed, and letters of closure to the complainant.   | Temporary. Cut off at the end of the fiscal year in which case is closed. Destroy/delete five years after cutoff.   |            |
|        | (3)  | <u>Technical assistance.</u> Reference requests from transit system officials, other agencies, or the public on how to interpret or comply with Title VI regulations. Includes responses and presentations.  | Temporary Cut off at the end of the fiscal year. Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is later.   |            |
|        | (4)  | <p><u>Outreach.</u> Contains records of presentations, meetings, and conferences attended or sponsored by FTA staff. Files also include logistical arrangements.</p> <p>(a) <u>Proceedings of conferences sponsored by FTA.</u></p> <p>(b) <u>All other records.</u></p> | <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year. Transfer to NARA three years after cutoff.</p> <p>Temporary Cut off at the end of the fiscal year.<br/>Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is later</p> |            |

| Series | Code | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority  |
|--------|------|---|---|------------|
| 1440   | CIV  | <b>TITLE VI/ENVIRONMENTAL JUSTICE (Title VI/EJ) RECORDS</b>   |   | <b>New</b> |
|        | (5)  | <u>Policy development</u> Records created during internal discussions of revisions to the Title VI circular   | Temporary. Cut off at the end of the fiscal year in which the circular is published<br>Destroy/delete after next revision   |            |
|        | (6)  | <p><u>Cooperative agreements.</u> FTA administers interagency cooperative grants funded by FHWA to high schools with predominantly minority attendance for teacher's education, field trips, etc.</p> <p>(a) <u>Final report.</u></p> <p>(b) <u>All other records</u> Requests for proposals to conduct research on topics and with funds designated by Congress, applications, award letters, progress reports, evaluations.</p> | <p><b><u>Permanent.</u></b> Cut off at the end of the fiscal year in which project is closed. Transfer to NARA five years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year in which project is closed.<br/>Destroy/delete five years after cutoff.</p> |            |

### FTA Records Disposition Schedule

| Series | Code | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority |
|--------|------|---|--|-----------|
| 1900   | ADM  | <b>CONTINUITY OF OPERATIONS PLAN (COOP)<br/>EMERGENCY PREPAREDNESS</b>  |  |           |
|        | (1)  | <p><u>Defense readiness planning files</u> Records documenting the administration of defense readiness and Homeland defense plans and programs including consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans, duplicates of each plan and directive issued with related background papers; and related correspondence.</p> <p>(a) <u>Record copy of emergency plan and Continuity of Operations plan</u> Determine medium of recordkeeping copy.</p> <p>1. <u>If paper.</u></p> <p>2. <u>If electronic.</u></p> | <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year in which plan is superseded. Transfer to NARA five years after cutoff.</p> <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year in which plan is superseded. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270</p> | New       |

| Series | Code | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority      |
|--------|------|---|---|----------------|
| 1900   | ADM  | <b>CONTINUITY OF OPERATIONS PLAN (COOP)<br/>EMERGENCY PREPAREDNESS</b>  |   |                |
|        |      | <p>(b) <u>Consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans</u> Determine medium of recordkeeping copy.</p> <p>1. <u>If paper</u></p> <p>2. <u>If electronic.</u></p>  | <p><b>Permanent</b> Cut off at the end of the calendar year. Transfer to NARA five years after cutoff</p> <p><b>Permanent</b> Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228 270</p> | New            |
|        |      | <p>(c) <u>All other records</u> including duplicates.</p>   | <p>Temporary. Cut off at the end of the calendar year in which a new plan or directive is issued. Destroy/delete three years after cutoff.</p>  | GRS 18 Item 27 |
|        | (2)  | <p><u>Operations and Emergency test files</u> Copies of emergency plans and directives, other than those described in (1) above Records accumulating from emergency alert Homeland defense tests; instructions to participants, staffing assignments, messages, etc</p> | <p>Temporary. Cut off at the end of the calendar year. Destroy/delete three years after cutoff</p>  | GRS 12 Item 28 |

## FTA Records Disposition Schedule

| <b><u>LAW AND LEGAL MATTERS RECORDS</u></b>   |            |   |   |                                  |
|---|------------|---|---|----------------------------------|
| The records described below are developed in the course of the legal work of the agency, including the provision of legal counsel and advice on matters pertaining to agency functions; the administration of agency legislative, enforcement, rules drafting and interpretation, rules codification, tort claims, and contract appeals programs, and the conduct of litigation in which the agency is involved or has an interest. |            |   |   |                                  |
| Series  | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority                        |
| <b>2000</b>   | <b>LAW</b> | <b>LAW AND LEGAL RECORDS</b>  |   |                                  |
|   | (1)        | <u>General correspondence files.</u> Correspondence, reports, and other records maintained by legal offices reflecting the development and accomplishment of policies, programs, and processes governing all phases of assigned legal responsibilities, but EXCLUDING files described elsewhere in this paragraph   | Temporary. Cut off at the end of the calendar year. Transfer to FRC 15 years after cutoff. Destroy/delete 25 years after cutoff | <b>New</b>                       |
|   | (2)        | <u>Washington and regional transmittal files</u> and non-codified items such as notices of meetings, delegations of authority, organizational statements, and similar material  | Temporary. Destroy/delete when no longer needed for reference.  | <b>NC1-408-80-1, 2100 (1)(c)</b> |
| <b>2010</b>   | <b>LAW</b> | <b>OPINIONS RECORDS</b>   |   | <b>New</b>                       |
|   |            | <u>Opinions</u> Opinions of Chief Counsel pertaining to requirements of Federal statutes, regulations, and directives as they affect FTA, FTA recipients, and their programs. Records consist of legal interpretations of the provisions and requirements of Federal statutes, regulations, and directives as they affect FTA, FTA recipients, and their programs. Interpretations respond to requests for information about what various Federal statutes, regulations, and directives may require. Determine medium of recordkeeping copy |   |                                  |
|   | (1)        | <u>If paper.</u>  | <b><u>Permanent.</u></b> Cut off at the end of the calendar year. Transfer to NARA 30 years after cutoff                        |                                  |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                     |
|-------------|------------|--|---|-------------------------------|
| <b>2010</b> | <b>LAW</b> | <b>OPINIONS RECORDS</b>  |   |                               |
|             | (2)        | <u>If electronic.</u>  | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer physical custody to NARA five years after cutoff in accordance with 36 CFR 1228 270. Transfer legal custody to NARA 30 years after cutoff |                               |
| <b>2050</b> | <b>LAW</b> | <b>LEGISLATIVE RECORDS</b>   |   |                               |
|             | (1)        | <u>Records pertaining to legislation involving FTA and its grantees, including both crosscutting legislation and legislation specifically directed at the Department of Transportation and its modal administrations. Records include drafts and working papers.</u>   | Temporary. Cut off at the end of the calendar year. Destroy/delete eight years after cutoff.  | <b>New</b>                    |
|             | (2)        | <u>Legislative history files.</u> Case files compiled by the Legislative Staffs on enacted legislation, Congressional resolutions, Executive Orders, and proclamations of interest to FTA, consisting of draft proposals, supporting papers, and comments reflecting FTA's position, and related indexes   | Temporary. Review annually. Destroy/delete when outdated, obsolete, or no longer needed for reference.  | <b>NC1-408-80-1, 2050 (1)</b> |
|             | (3)        | <u>Legislative reference files.</u> Copies of proposed and enacted legislation, Executive Orders, and proclamations accumulated for information purposes.  | Temporary. Review annually. Destroy/delete when outdated, obsolete, or no longer needed for reference.  | <b>NC1-408-80-1, 2050 (3)</b> |
| <b>2100</b> | <b>LAW</b> | <b>RULES AND REGULATIONS RECORDS</b>   |   |                               |
|             | (1)        | <u>Rules docket working files.</u> Working files relating to creation of a new or amendment of an existing regulation Each file contains some or all of the following documents: proposal, notice of proposed rulemaking, written material received from the public in response to the notice, reports of proceedings such as oral arguments or formal public hearings | Temporary. Cut off at the end of the calendar year in which rule is issued Transfer to FRC five years after cutoff. Destroy/delete 25 years after cutoff  | <b>New</b>                    |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                               |
|-------------|------------|--|---|---|
| <b>2100</b> | <b>LAW</b> | <b>RULES AND REGULATIONS RECORDS</b>   |   |   |
|             | (2)        | <p><u>General rulemaking dockets.</u></p> <p>(a) <u>Dockets relating to substantive rules</u> that attract great public or industry attention and response, signify an advance in technology, have significant impact on mass transit transportation, or signify a major development in the history of the agency, AS SELECTED BY THE OFFICE OF CHIEF COUNSEL (TCC). Determine medium of recordkeeping copy.</p> <p>1. <u>If paper</u></p> <p>2 <u>If electronic</u></p> | <p><b><u>Permanent</u></b> Cut off at the end of the calendar year in which file is closed Transfer to FRC five years after cutoff<br/>Transfer to NARA 25 years after cutoff</p> <p><b><u>Permanent.</u></b> Cut off at the end of the calendar year in which file is closed. Transfer physical custody to NARA five years after cutoff in accordance with 36 CFR 1228.270. Transfer legal custody to NARA 25 years after cutoff</p> | <b>NC1-408-80-1,<br/>2100 (1)(a)(1)</b> |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                           |
|-------------|------------|---|--|-------------------------------------|
| <b>2100</b> | <b>LAW</b> | <b>RULES AND REGULATIONS RECORDS</b>  |  |                                     |
|             |            | (b) <u>Unselected dockets</u>   | Temporary. Cut off at the end of the calendar year in which file is closed. Transfer to FRC five years after cutoff Destroy /delete 25 years after cutoff. | <b>NC1-408-80-1, 2100 (1)(a)(2)</b> |
|             |            | <del>(3) <u>Charter Bus Rulemaking Committee records.</u> Established under the Federal Advisory Committee Act (FACA). Records include member lists and meeting packets which comprise minutes, notes, summaries, agendas, and reports.</del>   | <del><b>Permanent.</b> Cut off when Commission is terminated Transfer to the National Archives after cutoff in accordance with 36 CFR 1228.270.</del>      | <del><b>GRS 2 Item 2a</b></del>     |
| <b>2130</b> | <b>LAW</b> | <b>INTERPRETATION RECORDS</b>   |  |                                     |
|             |            | Records consisting of legal interpretations of the provisions and requirements of Federal statutes, regulations, and directives as they affect FTA, FTA recipients and their programs Interpretations respond to requests for information about what various Federal statutes, regulations, and directives may require. | Temporary. Cut off at the end of the calendar year. Destroy/delete 15 years after cutoff   |                                     |
| <b>2150</b> | <b>LAW</b> | <b>ENFORCEMENT RECORDS</b>  |  | <b>New</b>                          |
|             |            | Records pertaining to enforcement actions involving Buy America, Charter Bus, School Bus, and Federal Claims Collection laws and regulations, Civil Rights (ADA, DBE, Title VI).  |  |                                     |
|             | (1)        | <u>Final decision</u> Determine medium of recordkeeping copy<br><br>(a) <u>If paper.</u>  | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to FRC ten years after cutoff Transfer to the National Archives 20 years after cutoff. |                                     |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                     |
|-------------|------------|---|--|-------------------------------|
| <b>2150</b> | <b>LAW</b> | <b>ENFORCEMENT RECORDS</b>  |  |                               |
|             |            | (b) <u>If electronic.</u>   | <b>Permanent.</b> Cut off at the end of the calendar year. Transfer to the National Archives after cutoff in accordance with 36 CFR 1228.270 |                               |
|             | (2)        | <u>All other records</u> including drafts, background material, and correspondence.   | Temporary Cut off at the end of the calendar year Destroy/delete 20 years after cutoff.  |                               |
| <b>2200</b> | <b>LAW</b> | <b>CONTRACTS AND PROCUREMENT</b>  |  |                               |
|             | (1)        | <u>Contract appeal bid protest files.</u> Briefs, decisions, correspondence and other documents compiled by legal offices in appeals by contractors from decisions on disputed questions by contracting officers. | Temporary Cut off at the end of the calendar year in which final action is taken or decision is made Destroy/delete ten years after cutoff.  | <b>NC1-408-80-1, 2240 (1)</b> |
|             | (2)        | <u>Correspondence</u> and information concerning contract authority, contract compliance, claims, including the provisions of legal advice.   | Temporary Cut off at the end of the calendar year in which final action is taken or decision is made Destroy/delete ten years after cutoff.  | <b>New</b>                    |
|             | (3)        | <u>Debarment and Suspension Files</u>   | Temporary. Cut off at the end of the calendar year in which final action is taken or decision is made. Destroy/delete ten years after cutoff | <b>New</b>                    |
|             | (4)        | <u>Third Party Procurement Files</u>  | Temporary. Cut off at the end of the calendar year in which final action is taken or decision is made. Destroy/delete ten years after cutoff | <b>New</b>                    |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                        |
|-------------|------------|--|--|----------------------------------|
| <b>2210</b> | <b>LAW</b> | <b>TORT CLAIMS-PERSONAL PROPERTY CLAIMS</b>  |  |                                  |
|             |            | <u>Tort claims and personal property claims files</u> Case files consisting of reports, vouchers, witness statements, legal decisions, and related material pertaining to claims by or against the Government resulting from FTA transactions, <b>OTHER</b> than litigation cases.   |  |                                  |
|             | (1)        | <u>Cases relating to claims approved for payment.</u>  | Temporary Cut off at the end of the fiscal year.<br>Destroy/delete after Government Accountability Office (GAO) site audit or three years after cutoff, whichever is sooner. | <b>NC1-408-80-1, 2250 (1)(a)</b> |
|             | (2)        | <u>All others.</u>   | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff.  | <b>NC1-408-80-1, 2240 (1)(b)</b> |
| <b>2220</b> | <b>LAW</b> | <b>LITIGATION RECORDS</b>  |  |                                  |
|             |            | <u>Litigation action files.</u> Working files consisting of correspondence, pleadings, depositions, transcripts, legal research, briefs, background information, filings, and related materials pertaining to court actions arising out of transportation tort and civil contract claims cases and other agency activities such as personnel actions, EEO and MSPB cases covering such topics as environmental law, safety, drug and alcohol testing, FTA requirements, planning, and the National Historical Preservation Act |  |                                  |
|             | (1)        | <u>Cases selected by TCC because of historical value or legal significance</u> , that is, cases that significantly interpret basic FTA statutes and regulations, reflect significant developments in the history of FTA programs, or are of considerable Congressional or public interest Determine medium of recordkeeping copy   |  |                                  |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated) | Disposition  | Authority                        |
|-------------|------------|--|--|----------------------------------|
| <b>2220</b> | <b>LAW</b> | <b>LITIGATION RECORDS</b>  |  |                                  |
|             |            | (a) <u>If paper.</u>   | <b>Permanent.</b> Place in inactive file upon close of case. Cut off inactive files at the end of the calendar year. Transfer to FRC ten years after cutoff. Transfer to NARA 20 years after cutoff.   | <b>NC1-408-80-1, 2260 (1)(a)</b> |
|             |            | (b) <u>If electronic.</u>  |  |                                  |
|             |            | 1. <u>Recordkeeping copy</u>   | <b>Permanent.</b> Move to inactive file upon close of case. Cut off inactive files at the end of the calendar year. Transfer physical custody to NARA after cutoff in accordance with 36 CFR 1228.270. Transfer legal custody to NARA 20 years after cutoff. | <b>NC1-408-80-1, 2260 (1)(a)</b> |
|             |            | 2. <u>Agency copy.</u>   | Temporary Move to inactive file upon close of case. Cut off inactive files at the end of the calendar year. Destroy/delete ten years after cutoff.   | <b>New</b>                       |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                        |
|-------------|------------|--|---|----------------------------------|
| <b>2220</b> | <b>LAW</b> | <b>LITIGATION RECORDS</b>  |   |                                  |
|             | (2)        | <u>Personnel Actions</u> . Merit System Protection Board and EEO appeals, grievance hearings, and labor relation records   | Temporary Cut off at the end of the calendar year in which employee leaves Transfer to FRC ten years after cutoff<br>Destroy/delete 20 years after cutoff.                                    | <b>New</b>                       |
|             | (3)        | <u>All other cases</u>   | Temporary Place in inactive file upon close of case Cut off inactive files at the end of the calendar year Transfer to FRC three years after cutoff.<br>Destroy/delete ten years after cutoff | <b>NC1-408-80-1, 2260 (1)(b)</b> |
| <b>2230</b> | <b>LAW</b> | <b>ADA COORDINATION WITH DOJ</b>   |   | <b>New</b>                       |
|             |            | <u>Quarterly Meeting records</u> regarding ADA enforcement against FTA grantees. Coordination is governed by a Memorandum of Understanding with the Department of Justice. |   |                                  |
|             | (1)        | <u>Minutes, correspondence</u> , and other related records.  | Temporary. Cut off at the end of the calendar year.<br>Destroy/delete ten years after cutoff, or when no longer needed for reference, whichever is later                                      |                                  |
|             | (2)        | <u>Individual files on non-litigation ADA matters</u>  | Temporary Cut off at the end of the calendar year.<br>Destroy/delete ten years after cutoff, or when no longer needed for reference, whichever is later                                       |                                  |

## FTA Records Disposition Schedule

### FINANCIAL MANAGEMENT RECORDS

The records described below are accumulated in connection with the financial management of FTA. The records disposition standards provided apply to records generated in the development and execution of FTA programs and activities relating to budget formulation, presentation, and administration; accounting matters, including payroll and pay administration; financial reporting; and auditing.

Exception Regardless of the retention period specified, records relating directly to unsettled claims by or against the United States, current or pending litigation or investigation, and exceptions taken by the GAO, will not be disposed of until final settlement or clearance of the matter.

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority   |
|-------------|------------|---|--|---|
| <b>2500</b> | <b>FIN</b> | <b>BUDGET RECORDS</b>   |  |   |
|             | (1)        | <p><u>General correspondence files</u> Site files, correspondence, reports, and related materials accumulated in the course of the budget and fiscal program activities, including policy formulation and implementation, preparation and justification of estimates, apportionment, reporting, and related matters affecting agency expenditures, but EXCLUDING files described elsewhere in this schedule.</p> <p>(a) <u>Agency office responsible for administering budget</u></p> <p>(b) <u>All other offices</u></p> | <p>Temporary. Cut off at the end of the fiscal year. Transfer to FRC if volume warrants. Destroy/delete five years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year. Destroy/delete five years after cutoff, or when no longer needed for reference, whichever is sooner.</p> | <p><b>NC1-408-80-1, 2500 (1)(a)</b></p> <p><b>NC1-408-80-1, 2500 (1)(b)</b></p> |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|--|
| <b>2500</b> | <b>FIN</b> | <b>BUDGET RECORDS</b>   |  |  |
|             | (2)        | <u>Reimbursable agreements files</u> Case files relating to reimbursable agreements entered into with other agencies to furnish supplies, equipment, and services relating to transportation, consisting of memorandum of agreement; project implementation orders, obligation, expenditure, and billing documents; and related correspondence  | Temporary. Cut off at the end of the period of performance covered by agreement<br>Transfer to FRC four years after cutoff Destroy/delete 15 years after cutoff.   | <b>NC1-408-80-1, 2500 (2)</b>  |
|             | (3)        | <u>Annual budget estimate files</u> . Record copies of annual estimates files, comprised of appropriation language sheets, charts, narrative statements, related schedules and data, copies of Congressional hearings, and related committee reports and legislation<br><br>(a) <u>Record copies of estimates consisting of appropriation statements, related schedules, and data prepared, consolidated, or maintained at the agency level</u><br><br>(b) <u>Copies prepared or consolidated at lower level.</u> | Temporary Cut off at the end of the budget fiscal year.<br>Transfer to FRC five years after cutoff, or when electronic versions are available Destroy /delete 25 years after cutoff<br><br>Temporary. Cut off at the end of the fiscal year funded by the budget Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is sooner. | <b>NC1-408-80-1, 2500 (3)(a)</b><br><br><b>NC1-408-80-1, 2500 (3)(b)-(d)</b> |
|             | (4)        | <u>Budget Working files</u> . Working papers, cost statements, and other data accumulated in preparation of projected fiscal programs and annual budget estimates and for budget review purposes, including duplicates of papers included in file copies of budget estimates described in item (3).   | Temporary. Cut off at the end of the fiscal year funded by the budget. Destroy/delete one year after cutoff, or when no longer needed for reference, whichever is later  | <b>NC1-408-80-1, 2500 (4)</b>  |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                     |
|-------------|------------|--|---|-------------------------------|
| <b>2500</b> | <b>FIN</b> | <b>BUDGET RECORDS</b>  |   |                               |
|             | (5)        | <u>Spring preview.</u>   | Temporary Cut off at the end of the fiscal year. Destroy/delete one year after cutoff.  | <b>NC1-408-80-1, 2500 (5)</b> |
|             | (6)        | <u>Special studies note books</u><br><br>(a) <u>Note books associated with an audit or investigation.</u><br><br>(b) <u>All other note books.</u>  | Temporary. Cut off at the end of the fiscal year in which findings are reported. Destroy/delete one year after cutoff.<br><br>Temporary Cut off when audit or investigation is concluded. Destroy/delete one year after cutoff, or when no longer needed for reference, whichever is sooner | <b>NC1-408-80-1, 2500 (6)</b> |
| <b>2510</b> | <b>FIN</b> | <b>BUDGET POLICY RECORDS</b>   |   |                               |
|             | (1)        | <u>Budget administration files</u> Apportionment and reapportionment schedules, staffing authorizations, allotment advices, supporting documents, and related correspondence documenting the administration and execution of the approved operating budget | Temporary. Cut off at the end of the fiscal year to which materials relate Transfer to FRC five years after cutoff. Destroy/delete ten years after cutoff.  | <b>NC1-408-80-1, 2500 (7)</b> |
|             | (2)        | <u>Budget supporting documentation</u> Staffing authorizations, allotment advices, supporting documents, and related correspondence documentation.   | Temporary Cut off at the end of the fiscal year in which records become inactive. Destroy/delete five years after cutoff, or when no longer needed for reference, whichever is sooner.  | <b>New</b>                    |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                     |
|-------------|------------|---|--|-------------------------------|
|             | (3)        | <u>Records pertaining to no-year appropriations and construction programs</u>   | Temporary Cut off at the end of the fiscal year in which records become inactive<br>Destroy/delete five years after cutoff                               | <b>New</b>                    |
| <b>2520</b> | <b>FIN</b> | <b>BUDGETARY REPORT RECORDS</b>   |  | <b>NC1-408-80-1, 2510 (1)</b> |
|             |            | <u>Budgetary report files.</u> Periodic reports on the status of fiscal programs, such as the Summary Fiscal Status Report, or equivalents, and supporting narratives.  | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is later |                               |
| <b>2610</b> | <b>FIN</b> | <b>STRATEGIC PLANNING AND PROGRAM REVIEW RECORDS</b>  |  | <b>New</b>                    |
|             |            | <u>Performance Accountability Reports.</u> Responses to annual requests from OST, which include supporting documents that contain statistical and program data to prove that FTA programs have met targets or measured goals. | Temporary Cut off at the end of the fiscal year<br>Destroy/delete ten years after cutoff.  |                               |
| <b>2700</b> | <b>FIN</b> | <b>ACCOUNTING RECORDS</b>   |  | <b>NC1-408-80-1, 2700 (1)</b> |
|             |            | <u>Policy files.</u> In-house policies and procedures for accounting transactions and activities which follow Financial Accounting Advisory Board policies and Department of Treasury guidelines                              | Temporary. Destroy/delete when superseded or obsolete  |                               |
| <b>2710</b> | <b>FIN</b> | <b>GENERAL FINANCIAL RECORDS</b>  |  |                               |
|             | (1)        | <u>Contract files</u>   |  |                               |
|             |            | (a) <u>Vouchers and invoices</u> Scanned into the Delphi Accounting System maintained at the Department level, and routed to COTRs for approval   | Temporary Destroy after data have been entered into the system and verified as correct.  | <b>GRS 20 Item 2a(4)</b>      |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                       |
|-------------|------------|--|---|---------------------------------|
| <b>2710</b> | <b>FIN</b> | <b>GENERAL FINANCIAL RECORDS</b>   |   |                                 |
|             |            | (b) <u>Contractor files</u> Contain agreements, payments, and accounting status reports showing payments and balance. Files are audited by the IG office and GAO before closeout. Copies are also maintained by COTRs, and the record copy is maintained by the Procurement Office.                                | Temporary. Cut off at the end of the fiscal year in which the contract is closed.<br>Destroy/delete three years after cutoff. | <b>New</b>                      |
|             | (2)        | <u>Interagency agreement files</u> Contain agreements, background information and supporting documents which are entered into the accounting system. Files are audited by the IG office and GAO before closeout. Copies are also maintained by COTRs, and the record copy is maintained by the Procurement Office. | Temporary. Cut off at the end of the year in which agreement expires. Destroy/delete immediately after cutoff.                | <b>New</b>                      |
|             | (3)        | <u>Financial statements</u> . Prepared monthly for all of FTA's appropriations and for the Federal Highway Trust Fund. Statements are consolidated at the Department level annually; reviewed and audited; submitted to OMB, Treasury, GAO, Congress; and stored in the Delphi Accounting System.                  | Temporary. Cut off when annual report is finalized.<br>Destroy/delete three years after cutoff.                               | <b>New</b>                      |
|             | (4)        | <u>Passenger transportation (individual) files</u> . Documents reflecting reimbursements to individuals, consisting of copies of travel orders, per diem vouchers, hotel reservations, and supporting papers relating to official travel of officers, employees, dependents, and others authorized to travel.      |   |                                 |
|             |            | <del>(a) <u>Travel administrative office files</u></del>   | <del>Temporary. Cut off at the end of the fiscal year. Destroy/delete six years after cutoff.</del>                           | <del><b>GRS 9 Item 1c</b></del> |
|             |            | (b) <u>All other records</u> .   | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff.                                 | <b>New</b>                      |

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                     |
|-----------------|----------------|---|--|-------------------------------|
| <del>2710</del> | <del>FIN</del> | <del><b>GENERAL FINANCIAL RECORDS</b></del>   |  |                               |
|                 |                | (c) <u>Obligation copies</u>  | Temporary Destroy/delete when funds are obligated  | <b>GRS 9 Item 1d</b>          |
| <b>2730</b>     | <b>ADM</b>     | <b>PAYROLL RECORDS</b>  |  |                               |
|                 | (1)            | <u>Time and attendance report files.</u> Time and attendance documents used in payroll preparation and processing.  | Temporary Cut off at the end of the fiscal year<br>Destroy/delete after GAO audit, or six years after cutoff, whichever is sooner.   | <b>GRS 2 Item 8</b>           |
|                 | (2)            | <u>Leave application and overtime and/or holiday work approval and authorization files.</u> Applications for leave, such as OPM Form 71, and related papers, including copies of military orders and certificates of attendance, DOT F 3500.1, Overtime and/or Holiday Work, or equivalent and related papers | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete after GAO audit, or six years after cutoff, whichever is sooner  | <b>GRS 2 Item 7</b>           |
| <b>2940</b>     | <b>GRT</b>     | <b>GRANT PROGRAM RECORDS</b>  |  |                               |
|                 | (1)            | <u>Grant program audit files.</u> Work papers, reference data, and other documents prepared/collected by audit staffs in connection with the performance of audits, including preliminary and final audit reports.  | Temporary. Cut off at the end of the fiscal year in which the project is closed financially<br>Destroy/delete ten years after cutoff | <b>NC1-408-80-1, 2940 (1)</b> |
|                 | (2)            | <u>Oversight Reviews:</u><br><br>(a) <u>Triennial Review</u> Reports relating to the review and evaluation of grantees that receive Federal funds under 49 U S C 5307 These reviews are performed at least once every three years Determine medium of recordkeeping copy.                                     |  | <b>New</b>                    |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority |
|-------------|------------|--|---|-----------|
| <b>2940</b> | <b>GRT</b> | <b>GRANT PROGRAM RECORDS</b>   |   |           |
|             |            | <p>1 <u>If paper</u></p> <p>2. <u>If electronic.</u></p> <p>(b) <u>State Management Review</u> Reports that assess the State's implementation and management of the Elderly and Persons with Disabilities Program and the Nonurbanized Area Formula Program to ensure that they are being administered in accordance with FTA's requirements and are meeting program objectives.</p> <p>(c) <u>Financial Management Review</u>. Reports that assess the grantee's financial management systems in order to determine whether they met the standards of the Common Rule (49 CFR Part 18.20).</p> <p>(d) <u>Financial Capacity Assessment Review</u>. Reports of selected grantees involved in major capital investment projects who are subject to an assessment of their financial capability to meet Full Funding Grant Agreement obligations and maintain their existing transit operations.</p> | <p><b><u>Permanent</u></b> Cut off at the end of the fiscal year Transfer to the FRC three years after cutoff. Transfer to NARA ten years after cutoff.</p> <p><b><u>Permanent</u></b>. Cut off at the end of the calendar year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270.</p> <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC three years after cutoff Destroy/delete ten years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year Transfer to the FRC five years after cutoff. Destroy/delete ten years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year Transfer to the FRC five years after cutoff Destroy/delete ten years after cutoff</p> |           |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority |
|-------------|------------|---|---|-----------|
| <b>2940</b> | <b>GRT</b> | <b>GRANT PROGRAM RECORDS</b>  |   |           |
|             |            | <p>(e) <u>Procurement Review</u>. Reports ensuring that grantees meet the requirements and standards of the common rule on administrative requirements for grants, 49 CFR Part 18.36, as it specifically applies to procurements</p> <p>(f) <u>Safety and Security Review</u>. Reports that investigate the operations of the grantee for any conditions that appear to create a serious hazard of death or injury especially to patrons of the transit service</p> <p>(g) <u>Project Management Oversight Reports</u>. Reports that monitor the grantee's management and technical process for ensuring projects are adequately staffed and properly managed in accordance with acceptable engineering principles and requirements.</p> <p>(h) <u>Drug and Alcohol Audit</u>. Reports ensuring that transit systems are properly conducting the necessary testing and reporting. The FTA must have the capability to conduct in-depth and detailed audits of transit systems' and contractors' drug and alcohol testing program. These regulations apply to operators, maintenance, CDL operators dispatchers, and armed security</p> <p>(i) <u>Civil Rights Review</u>. Reports that determine compliance with the following four areas: Title VI of the Civil Rights Act of 1964, EEO, DBE, and the ADA of 1990.</p> | <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC six years after cutoff. Destroy/delete ten years after cutoff</p> <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC three years after cutoff. Destroy/delete ten years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC six years after cutoff. Destroy/delete ten years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC three years after cutoff. Destroy/delete ten years after cutoff</p> <p>Temporary. Cut off at the end of the fiscal year. Transfer to the FRC three years after cutoff. Destroy/delete ten years after cutoff.</p> |           |

## FTA Records Disposition Schedule

| <b><u>TRAINING RECORDS</u></b>  |                |   |  |                        |
|---|----------------|---|--|------------------------|
| The records described below are accumulated as a result of agency training programs and activities. They fall into two general groups-- records that reflect the planning, direction, and conduct of training programs; and records relating to the progress and proficiency of the individual trainee. Excluded from the provisions of this paragraph are records of completion of training courses filed in official personnel folders. |                |   |  |                        |
| Series  | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority              |
| <del>3000</del>   | <del>ADM</del> | <del><b>TRAINING - GENERAL RECORDS</b></del>  |  |                        |
|   |                | <del>General correspondence files. Correspondence, reports, and related documents reflecting the development and administration of agency programs relating to executive, supervisory, and managerial training. Records include Form 182, request for training. This also includes general employee development and EXCLUDES files described elsewhere below.</del> |  |                        |
|   | (1)            | Office of Personnel Management training. Contains correspondence relating to the development and availability of training.  | Temporary. Cut off at the end of the fiscal year in which the training program was completed. Destroy/delete five years after cutoff | GRS 1 Item 29a(1)      |
|   | (2)            | Requests for out-of-agency training.  | Temporary. Cut off at the end of the fiscal year. Destroy/delete five years after cutoff   | GRS 1 Item 29b         |
| <b>3100</b>   | <b>ADM</b>     | <b>TRAINING – PROGRAM RECORDS</b>   |  |                        |
|   | (1)            | Training program files. Correspondence, reports, course quotas, schedules, and related materials created in the establishment of specific technical, management, and specialized training programs and courses of instruction, unless scheduled elsewhere in this schedule.   | Temporary. Cut off at the end of the fiscal year in which course is no longer given. Destroy/delete five years old after cutoff      | NC1-408-80-1, 3100 (1) |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|--|
| <b>3100</b> | <b>ADM</b> | <b>TRAINING - PROGRAM RECORDS</b>   |  |  |
|             | (2)        | <u>Training manuals and related instructional directives.</u><br><br>(a) <u>Record copies</u> maintained by the issuing or controlling office<br><br>(b) <u>All other copies.</u>   | Temporary. Cut off at the end of the calendar year in which materials are superseded or become obsolete.<br>Destroy/delete five years after cutoff.<br><br>Temporary. Destroy/delete when superseded | <b>NC1-408-80-1, 3100 (2)(a)</b><br><br><b>NC1-408-80-1, 3100 (2)(b)</b> |
|             | (3)        | <u>Individual employee training files.</u> Case files containing applications, schedules, certificates, reports of attendance and progress, and related documents by operating offices reflecting the training of individual employees retained in other offices. | Temporary. Cut off at the end of the fiscal year in which employee separates or transfers. Destroy/delete one year after cutoff.   | <b>NC1-408-80-1, 3100 (3)</b>  |

## FTA Records Disposition Schedule

| <b><u>PERSONNEL MANAGEMENT RECORDS</u></b>   |            |   |  |                           |
|--|------------|---|--|---------------------------|
| The records described below relate to the development and operation of the agency's human resource management. They are generated by the Human Resource office in the development of agency personnel policies, standards, and procedures and the performance of personnel operations and services, and, where indicated, by operating offices in the supervision of employees. Records of local Boards of United States Office Personnel Management Examiners are EXCLUDED from the provisions of this paragraph. |            |   |  |                           |
| Series   | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                 |
| <b>3200</b>  | <b>ADM</b> | <b>PERSONNEL – GENERAL RECORDS</b>  |  |                           |
|  | (1)        | <del>General correspondence files. Correspondence, reports, and related materials accumulated in the administration of agency personnel management activities including recruitment, placement, career development, employee relations, employee recognition, position classification, salary and wage administration, military personnel management, and occupational safety, but EXCLUDING files described elsewhere below.</del> | <del>Temporary. Cut off at the end of the fiscal year.<br/>Destroy/delete three years after cutoff.</del>  | <del>GRS 1 Item 3</del>   |
|  | (2)        | Personnel management project files. Case files resulting from studies, surveys, and/or personnel management activities and functions  | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff.  | NC1-408-80-1,<br>3200 (2) |
|  | (3)        | Personnel management project working files. Background material, notes, rough drafts, interim and progress report summarized in final reports, and related papers.  | Temporary. Cut off at the end of the fiscal year in which final action is taken, or in which report is completed, if no final action is taken. Destroy/delete six months after cutoff. | NC1-408-80-1,<br>3200 (3) |

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-----------------|----------------|---|--|--|
| <del>3210</del> | <del>ADM</del> | <del><b>PERSONNEL PROGRAM RECORDS</b></del>   |  |  |
|                 | (1)            | <u>Official personnel folders.</u> Case files documenting official employment history, excluding documents maintained as temporary records described in item (2) below.<br><br>(a) <u>Folders of employees transferred to another agency</u><br><br>(b) <u>Folders of separated employees (includes consultants)</u>  | Follow instructions in Federal Personnel Manual.<br><br>Transfer to inactive file on separation, 30 days after separation, transfer to National Personnel Records Center, St. Louis, Missouri, except in those cases provided for in Chapter 293, Federal Personnel Manual   | <b>GRS 1 Item 1a</b><br><br><b>GRS 1 Item 1b</b>   |
|                 | (2)            | <u>Temporary materials in official personnel folders.</u><br><br>(a) <u>All copies of correspondence and forms maintained on the left side of the Official Personnel Folder</u> in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.<br><br>(b) <u>Immigration and Naturalization Service Form I-9.</u> | Temporary. Destroy/delete when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF.<br><br>Temporary. Cut off at the end of the fiscal year in which employee separates from service or transfers to another agency Destroy/delete three years after cutoff. | <b>GRS 1 Item 10a</b><br><br><b>GRS 1 Item 10b</b> |

## FTA Records Disposition Schedule

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority   |
|-----------------|----------------|--|---|---|
| <del>3210</del> | <del>ADM</del> | <del><b>PERSONNEL PROGRAM RECORDS</b></del>  |   |   |
|                 | (3)            | <del>Unofficial personnel folders. Employee folders maintained outside personnel offices consisting of materials pertaining to individual employees of the operating offices</del>   | <del>Temporary. Review annually and destroy superseded or obsolete documents, or destroy/delete file relating to an employee within 1 year after separation or transfer</del>   | <del><b>GRS 1 Item 18a</b></del>  |
| 3300            | ADM            | <b>EMPLOYEE RECORDS</b>  |   |   |
|                 | (1)            | <u>Appointment files</u> Correspondence and letters offering appointments to potential employees.<br><br>(a) <u>Appointments accepted.</u><br><br>(b) <u>Offers of temporary or excepted appointments declined</u><br><br>(c) <u>Offers of appointments declined by individuals whose names were received from OPM certificates of eligible.</u><br><br>(d) <u>All other offers of appointment declined.</u> | Temporary. Destroy after hiring process is complete.<br><br>Temporary File inside applications and cut off at the end of the calendar year. Destroy/delete two years after cutoff.<br><br>Temporary. Return to OPM with reply and application.<br><br>Temporary Destroy/delete immediately. | <del><b>GRS 1 Item 4a</b></del><br><br><b>NC1-408-80-1, 3300 (1)(b)</b><br><br><b>GRS 1 Item 4b(1)</b><br><br><b>GRS 1 Item 4b(3)</b> |
|                 | (2)            | <u>Certificate files</u> Requests for certificates of eligible and certificates of eligible for appointment  | Temporary. Destroy/delete two years after date of certificate   | <del><b>GRS 1 Item 5</b></del>  |

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority                            |
|-----------------|----------------|---|---|--------------------------------------|
| <del>3300</del> | <del>ADM</del> | <del><b>EMPLOYEE RECORDS</b></del>  |   |                                      |
|                 | (3)            | <del>Internal promotions plan files. Announcements, bids, copies of registers, and selection papers maintained by personnel offices</del>   | <del>Temporary. Destroy/delete upon receipt of OPM report of inspection or when two years old, whichever is earlier, providing requirements of Federal Personnel Manual are observed.</del> | <del>GRS 1 Item 32</del>             |
|                 | (4)            | <del>Promotion plan announcement files. Copies of promotion plan position vacancy notices maintained by operating offices.</del>  |   |                                      |
|                 |                | <del>(a) Notices containing qualifications and requirements standards.</del>  | <del>Temporary. Destroy/delete when canceled or superseded.</del>   | <del>GRS 1 Item 7a(1)</del>          |
|                 |                | <del>(b) All others.</del>  | <del>Temporary. Destroy/delete 30 days after expiration date.</del>   | <del>NC1-408-80-1, 3300 (6)(b)</del> |
| 3310            | ADM            | <b>JOB RETENTION RECORDS</b>  |   | NC1-408-80-1, 3350 (2)               |
|                 |                | <u>Reemployment right files</u> Documents maintained to establish reemployment rights of individuals on overseas and other assignments.   | Temporary. Destroy/delete one year after employee is reemployed or after the employee's reemployment rights expire, whichever is applicable   |                                      |
| <del>3400</del> | <del>ADM</del> | <del><b>EMPLOYEE PERFORMANCE RECORDS</b></del>  |   | <del>GRS 1 Item 9</del>              |
|                 |                | <del>Performance rating board files. Duplicate case files of performance rating board official reviews, copies of which have been forwarded to the Office of Personnel Management</del> | <del>Temporary. Cut off at the end of the fiscal year in which case is closed. Destroy/delete one year after cutoff</del>   |                                      |

## FTA Records Disposition Schedule

| Series          | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                           |
|-----------------|----------------|--|---|-------------------------------------|
| <del>3410</del> | <del>ADM</del> | <del><b>EMPLOYEE RECOGNITION AND INCENTIVES RECORDS</b></del>  |   |                                     |
|                 | (1)            | <del><u>Incentive awards files.</u> Case files documenting an employee suggestion or superior performance award.</del>   | <del>Temporary. Destroy/delete two years after approval or disapproval.</del>   | <del><b>GRS 1 Item 12a(1)</b></del> |
|                 | (2)            | <del><u>Incentive awards report files.</u> Awards program reports, including copies of feeder reports prepared within FTA, and agency copies of summary reports to the OST.</del>  | <del>Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff.</del>                                       | <del><b>GRS 1 Item 13</b></del>     |
| <b>3500</b>     | <b>ADM</b>     | <b>POSITION CLASSIFICATION RECORDS</b>   |   |                                     |
|                 |                | <u>Position descriptions.</u>  |   |                                     |
|                 | (1)            | <u>Record copies maintained by personnel office.</u>   | Temporary. Destroy/delete five years after position is abolished or description superseded  | <b>NC1-408-80-1, 3500 (1)(a)</b>    |
|                 | (2)            | <u>All others.</u>   | Temporary. Destroy/delete after position is abolished or description superseded   | <b>NC1-408-80-1, 3500 (1)(b)</b>    |
| <del>3600</del> | <del>ADM</del> | <del><b>ATTENDANCE AND LEAVE RECORDS</b></del>   |   | <del><b>GRS 2 Item 8</b></del>      |
|                 |                | <del><u>Employee time, attendance, and leave files.</u> Applications for leave, time and attendance reports, overtime and holiday work reports, daily time records, and related materials, EXCEPT those used in payroll activities [item 2730(2)].</del> | <del>Temporary. Cut off at the end of the fiscal year. Destroy/delete after GAO audit or six years after cutoff, whichever is sooner.</del> |                                     |

| <b><u>GRANT PROGRAM RECORDS</u></b>  |            |  |   |                          |
|--|------------|--|---|--------------------------|
| The records described below related to all aspects of FTA grant programs not covered by the previous administrative records schedules. They include grant applications, project files, budgets, correspondence, certifications, and closeout material. |            |  |   |                          |
| Series   | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                |
| <b>4800</b>  | <b>GRT</b> | <b>MANAGERIAL TRAINING PROGRAM</b>   |   |                          |
|  |            | The records described below relate to the administration of a program which provides fellowships for the training of personnel employed in managerial, technical, and professional positions in the public transportation field.   |   |                          |
|  | (1)        | <del>Rejected grant application files. Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant applications.</del>   | <del>Temporary. Cut off at the end of the fiscal year in which grant is denied. Destroy/delete three years after cutoff.</del>                              | <del>GRS 3 Item 13</del> |
|  | (2)        | Grant project files. Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of individual grants; allocation of funds; and project budgets. Arranged by state, then by project number | Temporary. Cut off at the end of the fiscal year in which project is closed. Transfer to FRC two years after cutoff. Destroy/delete five years after cutoff | NC1-408-80-1, 4800 (2)   |
|  | (3)        | Grant control files. Indexes, registers, logs, or other records relating to control of assigning numbers of identifying projects, applications, and grants.  | Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff   | NC1-408-80-1, 4800 (3)   |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority                 |
|-------------|------------|---|---|---------------------------|
| <b>4900</b> | <b>GRT</b> | <b>UNIVERSITY RESEARCH AND TRAINING</b>   |   |                           |
|             |            | The records described below relate to the administration of a program which provides grants to public and private institutions of higher learning to assist in establishing or carrying on comprehensive research in the problem of transportation in urban areas. This includes research in system design, public preferences, allocation of resources, and the legal, aesthetic, and financial aspects of urban transportation. |   |                           |
|             | (1)        | <del>Rejected grant application files. Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant applications.</del>  | <del>Temporary. Cut off at the end of the fiscal year in which grant is denied. Destroy/delete three years after cutoff.</del>                        | <del>GRS 3 Item 13</del>  |
|             | (2)        | <u>Grant project files.</u> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds and project budgets.   | Temporary. Cut off at the end of the fiscal year in which project is closed. Transfer to FRC after cutoff<br>Destroy/delete three years after cutoff. | NC1-408-80-1,<br>4900 (2) |
|             | (3)        | <u>Grant control files.</u> Indexes, registers, logs, and other records relating to control of assigning numbers or identifying projects applications and grants.   | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff.   | NC1-408-80-1,<br>4900 (3) |
|             | (4)        | <del>Correspondence and/or subject files relating to routine operations and daily activities in administration of a grant program</del>   | <del>Temporary. Cut off at the end of the fiscal year.<br/>Destroy/delete two years after cutoff.</del>   | <del>GRS 3 Item 14</del>  |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority   |
|-------------|------------|--|---|---|
| <b>4900</b> | <b>GRT</b> | <b>UNIVERSITY RESEARCH AND TRAINING</b>  |   |   |
|             | (5)        | <p><u>Final product files.</u> Published reports and studies that are the final product of a grant</p> <p>(a) <u>Record copy</u></p> <p>(b) <u>All other copies.</u></p>   | <p><b>Permanent.</b> Cut off at the end of the fiscal year in which project is completed and closed Transfer physical custody to NARA after cutoff in accordance with 36 CFR 1228.270. Transfer legal custody to NARA ten years after cutoff.</p> <p>Temporary. Cut off at the end of the fiscal year in which project is closed. Destroy/delete three years after cutoff</p> | <p><b>NC1-408-80-1, 4900 (5)a</b></p> <p><b>NC1-408-80-1, 4900 (5)b</b></p> |
| <b>6100</b> | <b>GRT</b> | <b>RESEARCH AND DEVELOPMENT RECORDS</b>  |   |   |
|             |            | The records described below relate to the administration of research and development projects in all phases of urban mass transportation needs, the improvement of mass transportation service, or the contribution of such service toward meeting urban transportation needs at a minimum cost. |   |   |

## FTA Records Disposition Schedule

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority                     |
|-------------|------------|---|--|-------------------------------|
| <b>6100</b> | <b>GRT</b> | <b>RESEARCH AND DEVELOPMENT RECORDS</b>   |  |                               |
|             | (1)        | <u>Research and development project files.</u> Case files maintained by offices responsible for research and development functions reflecting a complete history of each project or task from initiation through research, development, design, and testing to completion. Consists of project authorization documents; project approval packages; general correspondence; technical characteristics; test and trial results; drawings, and specifications. | Temporary. Transfer to closed project file upon completion or termination<br>Cut off closed files at the end of the fiscal year<br>Transfer to FRC one year after cutoff. Destroy/delete 15 years after cutoff                                   | <b>NC1-408-80-1, 6100 (2)</b> |
|             | (2)        | <u>Research and development project working and control files.</u> Copies of documents essentially duplicated in project case files; preliminary sketches, drawings, specifications, photographs, and other working papers determined not to be of sufficient value to incorporate into project case files; and related project control and progress control records.   | Temporary. Destroy/delete upon completion or cancellation of project   | <b>NC1-408-80-1, 6100 (2)</b> |
|             | (3)        | <u>Final product files.</u> Published reports and studies.<br><br>(a) <u>Record copy.</u>   | <b><u>Permanent.</u></b> Cut off at the end of the fiscal year in which project is completed and closed. Transfer physical custody to NARA after cutoff in accordance with 36 CFR 1228.270 Transfer legal custody to NARA ten years after cutoff | <b>New</b>                    |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|------------|
| <b>6100</b> | <b>GRT</b> | <b>RESEARCH AND DEVELOPMENT RECORDS</b>   |  |            |
|             |            | (b) <u>All other copies</u>   | Temporary. Cut off at the end of the fiscal year in which project is closed.<br>Destroy/delete three years after cutoff  |            |
| <b>7100</b> | <b>TPE</b> | <b>ENVIRONMENTAL ASSESSMENTS</b>  |  | <b>New</b> |
|             |            | The records described below document research related to environmental assessments for public transportation projects. FTA and the Federal Highway Administration (FHWA) develop joint environmental procedures for statements and assessments required for these projects. |  |            |
|             | (1)        | <u>Project review files.</u><br><br>(a) <u>Final environmental impact statements</u><br><br>(b) <u>Technical support reports, documents, and background materials.</u>  | Temporary. Cut off at the end of the fiscal year in which project is completed or the grant is closed.<br>Destroy/delete three years after cutoff.<br><br>Temporary. Cut off at the end of the fiscal year in which the grant is closed.<br>Destroy/delete three years after cutoff. |            |
|             | (2)        | <u>Environmental assessments.</u> Analyses, technical reports, narratives, background materials, and other reports and data relating to projects that are not large enough to require full environmental impact statements  |  |            |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition   | Authority |
|-------------|------------|---|---|-----------|
| <b>7100</b> | <b>TPE</b> | <b>ENVIRONMENTAL ASSESSMENTS</b>  |   |           |
|             |            | (a) <u>Unique projects reflecting unusual circumstances that may set precedent or are otherwise noteworthy</u>  | Temporary. Cut off at the end of the fiscal year in which a finding of no significant impact (FONSI) is reached<br>Transfer to FRC three years after cutoff. Destroy/delete ten years after cutoff. |           |
|             |            | (b) <u>All other projects</u>   | Temporary. Cut off at the end of the fiscal year in which a finding of no significant impact (FONSI) is reached.<br>Destroy/delete three years after cutoff.  |           |
|             | (3)        | <u>Documented categorical exclusion.</u> Reviews of projects that do not require an environmental impact assessment or statement. Records include background materials and a checklist. | Temporary. Cut off at the end of the fiscal year in which the exclusion is approved. Destroy/delete three years after cutoff.   |           |
|             | (4)        | <u>FHWA/FTA joint procedures and guidance</u> Drafts and background materials for jointly developed environmental procedures which are published in the Federal Register.               | Temporary. Cut off at the end of the fiscal year in which the final rule is published<br>Transfer to FRC three years after cutoff. Destroy/delete ten years after cutoff.                           |           |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority  |
|-------------|------------|---|--|------------|
| <b>7200</b> | <b>TPE</b> | <b>TRANSPORTATION PLANNING OVERSIGHT</b>  |  | <b>New</b> |
|             |            | The records described below document Agency's oversight of the transportation planning process in order to ensure compliance with Federal regulations and that proper planning procedures have been followed when funds are advanced for new transit projects. Transportation planners analyze information on existing and future travel patterns, problems, and needs; develop and evaluate alternative solutions to meet these needs; and develop short- and long-range plans and programs to implement transportation improvements. Transportation planners work for and with a variety of stakeholders including local, regional, and state governments and agencies; transportation planning, funding, and operating entities, and the private sector. Transportation planners are further engaged in a number of technical analyses, including travel forecasting; capital, operations, and maintenance costing, environmental, social, land use, and other impacts analyses; project, program, and systems performance measurement and evaluation; and financial planning. |  |            |
|             | (1)        | <u>Chronological Correspondence Files.</u>  | Temporary. Cut off at the end of the fiscal year.<br>Destroy/delete five years after cutoff. |            |
|             | (2)        | <u>New Starts/Small Starts Project Files</u> include initial proposal and supporting arguments, such as cost models, status reports, capital costs estimates, ridership forecasts, checklists, financial plan, and land use proposals; evaluation and analysis reports, responses; worksheets; project management oversight reports; correspondence, and technical reviews and comments.  |  |            |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority |
|-------------|------------|--|---|-----------|
| <b>7200</b> | <b>TPE</b> | <b>TRANSPORTATION PLANNING OVERSIGHT</b>   |   |           |
|             |            | (a) <u>Projects under construction.</u>  | Temporary Cut off at the end of the fiscal year in which project is completed. Transfer to FRC three years after cutoff. Destroy/delete ten years after cutoff. |           |
|             |            | (b) <u>Projects not undertaken</u>   | Temporary. Cut off at the end of the fiscal year in which decision is made. Destroy/delete five years after cutoff.   |           |
|             |            | (c) <u>New Starts Reports</u> and other reports to Congress.   | <b>Permanent.</b> Cut off at the end of the fiscal year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270                                       |           |
|             |            | (d) <u>Other reports</u> such as trend analyses and cost analyses, which are incorporated into Reports to Congress, guidance, or other products. | Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff, or when no longer needed for reference, whichever is later.          |           |
|             |            | (e) <u>Guidance and instruction manuals</u> for project planning and development, policy development, travel demand forecasting, etc.            | Temporary Destroy/delete when superseded or obsolete.   |           |

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority |
|-------------|------------|--|---|-----------|
| <b>7200</b> | <b>TPE</b> | <b>TRANSPORTATION PLANNING OVERSIGHT</b>   |   |           |
|             | (3)        | <p><u>Metropolitan/Statewide Planning Information Files</u> document the evaluation of Statewide and Metropolitan Area transportation needs at the broadest level in order to ensure that transportation decisions made by state and local officials occur in a comprehensive and inclusive manner. Jointly with FHWA, FTA administers metropolitan planning (49 USC § 5303) and statewide planning (49 USC § 5304) grant programs to fund the multimodal transportation planning efforts of metropolitan planning organizations and state departments of transportation. TPE reviews planning documents to ensure that proper procedures and processes will be followed while the proposed project is implemented.</p> <p>(a) <u>Project files.</u></p> <p>(b) <u>Deliverables</u> from such projects as Transit at the Table, Public Transportation Participation Pilot Program, and Alternative Transportation in Parks and Public Lands. Records may include final reports, case studies, and notebooks and curriculum materials developed under grants to the National Transit Institute at Rutgers, the Center for Transit-Oriented Development, and others</p> <p>(c) <u>Certification Review Handbook.</u></p> | <p>Temporary. Cut off at the end of the year in which the project is completed. Transfer to FRC three years after cutoff. Destroy/delete 15 years after cutoff.</p> <p><b><u>Permanent.</u></b> Cut off at the end of the fiscal year. Transfer annually to NARA after cutoff in accordance with 36 CFR 1228.270.</p> <p>Temporary. Destroy/delete when superseded.</p> |           |

**FTA Records Disposition Schedule**

| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)  | Disposition  | Authority |
|-------------|------------|---|--|-----------|
| <b>7200</b> | <b>TPE</b> | <b>TRANSPORTATION PLANNING OVERSIGHT</b>  |  |           |
|             |            | <p>(d) <u>Planners Seminar</u></p> <ol style="list-style-type: none"> <li>1. <u>Logistical arrangements</u> and other planning and preparation records.</li> <li>2. <u>Seminar</u> materials including agendas, proceedings, etc</li> </ol> <p>(e) <u>Certification Review Database</u> which provides a compendium of Federal findings of compliance with planning requirements. The database is organized into thirteen topics and several subtopics. Each Metropolitan Planning Organization (MPO) that covers an area with a population over 200,000 is reviewed and rated according to how well it meets applicable Federal regulations. The reviews are conducted by a team from FTA and FHWA, which issues a Certification Report for each MPO during every four year cycle. These detailed reports contain a summary of findings, descriptions of the systems and factors affecting them, and commendations for good practices, recommendations for improvement, and corrective actions needed to address important issues. Access is provided through a checklist, which links to the Certification Reports.</p> <ol style="list-style-type: none"> <li>1. <u>Inputs</u> consist of Certification Reports. Determine medium of recordkeeping copy</li> </ol> | <p>Temporary. Cut off at the end of the seminar. Destroy/delete two years after cutoff</p> <p>Temporary. Cut off at the end of the seminar. Destroy/delete ten years after cutoff.</p> |           |



| Series      | Code       | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                     |
|-------------|------------|--|--|-------------------------------|
| <b>7200</b> | <b>TPE</b> | <b>TRANSPORTATION PLANNING OVERSIGHT</b>   |  |                               |
|             |            | <p>a <u>If paper</u></p> <p>b <u>If electronic</u></p> <p>2. <u>Master Files</u>.</p> <p>3. <u>Outputs</u> include reports used to track trends over time, conduct research, and other ad hoc reports.</p> <p>4. <u>Documentation</u> such as user guides.</p>                               | <p><b><u>Permanent</u></b>. Transfer to NARA after schedule is approved</p> <p><b><u>Permanent</u></b>. Cut off at the end of the fiscal year in which report is received. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270.</p> <p>Retain onsite indefinitely.</p> <p>Temporary. Destroy/delete when no longer needed.</p> <p>Temporary Destroy/delete when superseded or obsolete.</p> |                               |
| <b>8100</b> | <b>GRT</b> | <b>TECHNICAL STUDIES</b>   |  |                               |
|             |            | The records described below relate to the administration of projects to states and local public bodies and agencies for the planning, engineering, designing, and evaluation of public transportation projects, and for other technical studies  |  |                               |
|             | (1)        | <u>Grant project files</u> . Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grant; allocation of funds and project budgets | Temporary. Cut off at the end of the fiscal year in which project is closed. Transfer to FRC after cutoff. Destroy/delete seven years after cutoff.  | <b>NC1-408-80-1, 8100 (1)</b> |

### FTA Records Disposition Schedule

| Series      | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition  | Authority                       |
|-------------|----------------|--|--|---------------------------------|
| <b>8100</b> | <b>GRT</b>     | <b>TECHNICAL STUDIES</b>   |  |                                 |
|             | (2)            | <u>Grant control files</u> Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants, such as transportation plans, TIP, STIP, work program, job access plans, and planning certification.                     | Temporary Cut off at the end of the fiscal year.<br>Destroy/delete three years after cutoff.   | <b>NC1-408-80-1, 8100 (2)</b>   |
|             | <del>(3)</del> | <del><u>Correspondence and/or subject files</u> relating to routine operations and daily activities in administration of the grant program.</del>  | <del>Temporary Cut off at the end of the fiscal year.<br/>Destroy/delete two years after cutoff.</del>   | <del><b>GRS 3 Item 14</b></del> |
|             | (4)            | <u>Final product files</u> . Record copy of published reports, studies, or any other final grant product. Determine medium of recordkeeping copy.<br><br>(a) <u>If paper</u> .<br><br>(b) <u>If electronic</u> .   | <br><br><b>Permanent.</b> Cut off at the end of the fiscal year. Transfer to NARA seven years after cutoff<br><br><b>Permanent.</b> Cut off at the end of the fiscal year. Transfer to NARA after cutoff in accordance with 36 CFR 1228.270. | <b>New</b>                      |
| <b>9000</b> | <b>GRT</b>     | <b>CAPITAL AND OPERATING ASSISTANCE PROGRAM RECORDS: Sections 5307, 5309, 5310, and 5311</b>   |  |                                 |
|             | (1)            | <u>Grant case files</u> . Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grant, allocation of funds and project budgets. |  |                                 |

| Series      | Code           | Title and Description of Records<br>(All Record Series are media neutral except where indicated)   | Disposition   | Authority                         |
|-------------|----------------|--|---|-----------------------------------|
| <b>9000</b> | <b>GRT</b>     | <b>CAPITAL AND OPERATING ASSISTANCE PROGRAM RECORDS: Sections 5307, 5309, 5310, and 5311</b>   |   |                                   |
|             |                | (a) <u>Operating assistance grants</u>   | Temporary Cut off at the end of the fiscal year in which grant is closed Transfer to FRC after cutoff Destroy/delete seven years after cutoff.    | <b>NC1-408-80-1, 9000 (1)(a)</b>  |
|             |                | (b) <u>Capital assistance grants.</u>  |   |                                   |
|             |                | 1. <u>Vehicle procurement grants.</u>  | Temporary. Cut off at the end of the fiscal year in which grant is closed. Transfer to FRC after cutoff. Destroy/delete seven years after cutoff. | <b>NC1-408-80-1, 9000 (1)(b)1</b> |
|             |                | 2 <u>Construction grants</u> Under Title 46, U.S.C., Section 5309 (major capital investment or New Starts) for construction of new fixed guideway systems or extensions to existing fixed guideway systems. Proposed projects must complete the planning and project development process, as described in Section 5303-5306 and Section 5309 of Title 49, U.S.C. | Temporary. Cut off at the end of the fiscal year in which grant is closed. Transfer to FRC after cutoff. Destroy/delete ten years after cutoff.   | <b>NC1-408-80-1, 9000 (1)(b)2</b> |
|             | <del>(2)</del> | <del>Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.</del>   | <del>Temporary Cut off at the end of the fiscal year Destroy/delete two years after cutoff.</del>   | <del><b>GRS 3 Item 14</b></del>   |
|             | (3)            | <u>Grant control files.</u> Indexes, registers, logs, or other records relating to control of assigning project numbers identifying projects, applications, and grants.  | Temporary. Cut off at the end of the fiscal year. Destroy/delete three years after cutoff.  | <b>NC1-408-80-1, 9000 (3)</b>     |