

**The Office of the Associate Administrator for Innovation,
Research and Education (DIR)**

The Office of the Associate Administrator for Innovation, Research and Education shapes and advances the United States transportation research, engineering and education agenda for the Secretary of Transportation and the President by:

- Performing strategic planning
- Conducting system-level assessments and policy research
- Facilitating government, university and industry partnerships
- Fostering innovative inter/multi-modal research, education and safety training
- Disseminating information on departmental, national and international transportation research, technology and education activities
- Managing department-wide strategic (inter/multi modal) transportation research, education and technology programs.

This schedule applies to all formats and media in which records are created and maintained at the "agency", including paper, microfilm, and electronic. Every effort will be made to transfer permanent records to NARA electronically in accordance with NARA standards applicable at the time of transfer. If the transfer of records in an electronic format is not feasible, NARA and the "agency" will negotiate, prior to transfer, alternative media, formats, and/or physical arrangement that meet the needs for continued preservation and use.

This office generates the records below:

1. University Research and Transportation Center Files. This series of records was previously reviewed and scheduled under disposition schedule NCI-398-79-2. The schedule provided for disposal of these records under General Records Schedule 19, which no longer exists. The records currently on file are from 1987 to 2001. The University program files have changed significantly to warrant a new disposition request as shown below:
 - A. Grant files. Grants are awarded for the purpose of conducting research and education activities at universities. Documents are similar to contracts in that they are a legal agreement with original signatures of the RSPA Administrator and the grantee, including, but not limited to: grantee budgets and payment records, progress reports on grant activity, and correspondence.

Disposition: Temporary. Close Grant Files when all grant activities are completed. Cut off closed files at the end of fiscal (or calendar) year. Transfer to a records storage facility in accordance with 36 CFR 1220, 1222, and 1228 one year after cut-off date. Destroy case files seven years after cut-off. [Supercedes NC1-398-79-2, Item 2]

B. Grant Research Reports. Copies of reports on research resulting from grants. Stored separately from the grant files. A full set of these reports are also retained at National Transportation Libraries. Current volume is 36 feet. Annual accumulation is 6 feet.

Disposition:

- i. Record Copy: Permanent. Transfer one copy of previous report to NARA. Thereafter, send a copy of each final report to the National Archives and Records Administration as it is produced for permanent retention.
- ii. Other copies: Temporary. Distribute in accordance to distribution plan. Destroy other copies when no longer needed for reference.

[Supercedes NC1-398-79-2, Item 5]

C. Grant Program Promotional Brochures.

- i. Promotional brochures produced by Institutions receiving grants.

Disposition: Temporary. Destroy when no longer needed for reference.

- ii. Promotional Brochures produced by DIR.

Disposition:

- a. Record Copy: Permanent. Transfer one copy of current brochure to NARA. Thereafter, send a copy of each subsequent edition of promotional brochures to NARA for permanent retention.
- b. Other copies: Temporary. Distribute in accordance to distribution plan. Destroy other copies when no longer needed for reference.

D. General Grant Administration Files. Correspondence, reports, financial tracking and audits directly related to the grants program.

Disposition: Temporary. Retain for 2 years then destroy (GRS 3-14).

[Supercedes NC1-398-79-2, Item 1]

2. Office Correspondence Files. Copies of travel vouchers, procurement requests, personnel actions, position descriptions, performance appraisals, awards and credit card expenditure transaction receipts.

Disposition: Temporary. Retain for 2 years then destroy (GRS 23-1).

3. Controlled Correspondence Administrative Record Copies.

Disposition: Temporary. Destroy or delete when 2 years old, or 2 years after the date of latest entry, whichever is applicable (GRS 23-8)

4. National Science and Technology Council (NTSC) Committee on Technology and the Committee's Subcommittee on Transportation Research and Development (R&D) Records. Established by President Clinton in November 1993, the Council was a principal means for the President to coordinate science, space and technology policies across the Federal Government. The Deputy Secretary of Transportation has chaired the Council's Committee on Technology and the subcommittee on Transportation R&D since their inception. Also, the Associate Administrator for Innovation, Research and Education for DOT/RSPA has served as the Executive Director. Provide technological and scientific support to the Deputy Secretary. This Committee Chair is now an appointee from the Department of Commerce. Current status of the committee is currently unknown. Current volume is 5 feet. No further accumulation of records is foreseen.

A. Record Copy of memos, minutes, national plans and strategies, terms of reference (bylaws and charter information)

Disposition: Permanent. Transfer to a records storage facility in accordance with 36 CFR Parts 1220, 1222, and 1228. Transfer legal and physical custody to the National Archives and Records Administration 5 years after transfer to records storage center.

B. All other copies (of item 4A above)

Disposition: Temporary. Destroy when 3 years old

C. Publications prepared by the Department of Transportation for the NSTC, its Committee and Subcommittee:

- 1) Accessibility for Aging and Transportation-Disadvantaged Population-Implementation Plan
- 2) Comparison of International Transportation R&D Expenditures and Priorities
- 3) National Research and Development Plan for Aviation Safety, Security, Efficiency and Environmental Compatibility
- 4) Transportation Science and Technology Strategy
- 5) Transportation Technology Plan
- 6) Review of Federal Programs for Wire System Safety
- 7) Public/Private Partnership II: Engines for Innovation in Transportation

- 8) National Transportation Science and Technology Strategy
- 9) Public/Private Partnerships: Implications of Innovation in Transportation
- 10) Partnership to Promote Enhanced Freight Movement at Ports and Intermodal Terminals
- 11) Partnership to Promote Enhanced Freight Movement and International Border Gateways
- 12) National Transportation Strategic Research Plan
- 13) Surface Transportation/Research and Technology Assessment
- 14) Intermodal Cargo Transportation/Industry Best Security Practices

Disposition:

i. Record Copy: Permanent. Transfer one copy of each publication listed above to the National Archives and Records Administration when no longer needed for Committee Business. In the future, transfer one record copy of publications prepared by DOT for NSTC when no longer needed for current Committee business.

ii. Other Copies. Temporary. Destroy when no longer needed for reference.

5. Research and Technology Coordinating Council (RTCC). Established in 1994 by DOT Order 1120.39. The Associate Administrator for Innovation, Research and Education is the chairperson. The council establishes research and development policy for the Department of Transportation.

A. Record Copies of memos, minutes, and official correspondence

Disposition: Permanent. Transfer to NARA 5 years after termination of committee.

B. All other copies (of 5A above)

Disposition: Temporary. Destroy when 3 years old

6. Other publications prepared by the Office of Innovation, Research and Education:

A. Department of Transportation (DOT)

- 1) University Research and Education Plan
- 2) Serving Rural America
- 3) Traffic Incident Report
- 4) Transportation and Global Climate Change

B. Research and Special Programs Administration (RSPA)

- 1) Department of Transportation's Research and Development Plan
- 2) Medium to Heavy Duty Vehicle R&D Strategic Plan
- 3) A Report to Congress: Surface Transportation Research and Development Plan

C. Research and Technology Coordinating Council (RTCC)

- 1) Effective Global Transportation in the 21st Century:
A Vision Document

Disposition:

1. Record Copy: Permanent. Transfer one copy of each publication listed above to the National Archives and Records Administration when no longer needed for Committee Business. In the future, transfer one record copy of publications prepared by DOT for NSTC when no longer needed for current Committee business.

2. Other Copies. Temporary. Destroy when no longer needed for reference.

7. Word Processing and Electronic Mail Records. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

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

Disposition: Destroy/delete within 180 days after the record keeping copy has been produced.

B. Copies used for dissemination, revision, or updating that is maintained in addition to the record keeping copy.

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

8. Office of the Associate Administrator for Innovation, Research and Education (DIR) World Wide Web Site.

Maintained by the Department of Transportation, the DIR's web site consists of information on the Grants Program, location and links to current University Transportation Centers, and rules and regulations governing the program. The informational portion of the web site can be found in printed copies of DIR documents.

Disposition: Temporary. Delete or destroy when no longer needed for reference or administrative use by DOT.