

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

U.S. Department of Transportation (DOT)

2. MAJOR SUBDIVISION

Research and Special Programs Administration

3. MINOR SUBDIVISION

Volpe National Transportation Systems Center

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

William Boucher, Rec Mgmt Spec 617-494-2067

LEAVE BLANK (NARA use only)

JOB NUMBER

NI-467.94.2

DATE RECEIVED

4.18.94

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

3-10-95

ARCHIVIST OF THE UNITED STATES

Gudy Lukamp Petersen

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;

is attached; or

has been requested.

DATE

8/4/93

SIGNATURE OF AGENCY REPRESENTATIVE

Donald Budman
Donald Budman

TITLE

Chief, Administrative Services

ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

VNTSC PROGRAM RECORDS as described in the attachment.

Copies sent to agency, NSR, NN-E, NNS, NNT, NSL, NCF, NIA 3/1/95

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NUMBER
 NI-467-942

PAGE
 1 OF 8

7. ITEM	10. ACTION 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED
	<p><u>Introduction</u></p> <p>This schedule covers the historically valuable research and development project files produced and maintained by the Volpe National Transportation Systems Center (VNTSC) and its contractors. This Center is charged with developing integrated systems approaches to critical transportation issues, especially those that transcend individual modes of transportation. The program or project files are valuable for the evidence they provide on the Volpe Center itself, but even more so for their informational content on the multiplicity of modes of transportation that affect the nation as a whole, its citizens, its defense, and its commerce. Major subject areas include the scientific research and development of new transportation technologies; the modernization of the nation's aging transportation infrastructure; research and analysis relating to energy conservation; transportation safety; and environmental pollution.</p> <p>This schedule provides a broad mandate for the retirement of archival research and development project materials to the FRC for eventual transfer to the National Archives. It does not obviate the need for specific and detailed written descriptions of each project having records retired to the FRC. The description of each such project should be understandable to the lay person and must include the name of the office or unit creating the records, the official name of the project, and a narrative summary of the project and its significance. For each project, information will be provided about the names of principal researchers; the relationship of the project to the mission of the facility and to that of the contracting agency or office; significant milestones, such as large increases or decreases in resources, or changes in emphasis; research methodology, procedures, and techniques; controversial aspects, if any; relationship to other VNTSC projects; and potential value to historians or other researchers. Details about the location of other records relating to the project will also be included. NARA will review this information when records are sent to the FRC, as well as when records are transferred to archival custody.</p> <p>1. Permanent Research and Development Project Records. These records cover various phases of a project from initiation to termination. The records consist of, but are not strictly limited to, reports and correspondence relating to project documentation, including data relating to reimbursable funds and to any contracting out by VNTSC; project planning and approval documents, including research proposals (from within DOT and from other agencies); project design and change records, including specifications and drawings; technical program plans; invention, patent, and copyright information; committee and</p>	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NUMBER

N7-467-94-2

PAGE

2 OF 3

7. ITEM	10. ACTION 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED
	<p>board reviews; experimental set up and methodology records; experimental set-up and methodology records; test controls, instructions, and results; observational and experimental data; and processing and analysis documentation. Because of the variety of materials that comprise research and development project and program files, these records are created in a multiplicity of formats, including textual, electronic, cartographic, micro-graphic, drawings, and photographs. Information on what formats are used for what types of data within each project will be part of the description required to accompany the request for retirement of the records to the FRC. This description will, of course, include the volume and details of each documentary format to be retired.</p> <p>VNTSC will make the initial determination of which project records have adequate historical and technical significance to merit transfer to the National Archives for permanent retention. This decision will be made by knowledgeable scientists, engineers and other researchers, in conjunction with the records manager and with NARA archivists. Permanent project files may include a variety of archival information, such as showing the development of new and significant technologies or techniques; documenting new and significant methodologies and materials; being the subject of Congressional investigation or widespread public knowledge and interest; resulting in judicial decisions or legislative activities pertaining to the Transportation functions and activities; resulting in significant changes in the functions of DOT or of other agencies contracting with VNTSC; leading to major changes in one or more modes of transportation; or relating to critical environmental, health, and safety issues.</p> <p>a. Textual records (exclusive of electronic, audiovisual, and cartographic media) deemed by appropriate personnel within criteria noted above.</p> <p style="text-align: center;"><i>Transfer</i></p> <p><u>Permanent</u>. Cut off files after termination of the project. Transfer to FRC when non-current. Give to NARA ten years after transfer. Note: Attach a description of each project to SF135. Description must include the name of the office creating the records; project name or title; and narrative summary of the project and its significance.</p> <p>b. Electronic records, including raw data, on magnetic tape or cartridge, and deemed to have permanent value according to the criteria noted above.</p> <p><u>Permanent</u>. Transfer along with systems documentation to the National Archives immediately after termination of project. Tape or cartridge must meet NARA technical formatting standards. Note: Attach a description of</p>	<p style="text-align: right;"><i>See page 2a</i></p>

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

NI-467-94-2

PAGE

2a OF 3

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION

10. ACTION
TAKEN (NARA
USE ONLY)

b. Electronic records, including raw data, on magnetic tape or cartridge, and deemed to have permanent value according to the criteria noted above

Permanent. Prior to preparing a tape or cartridge to meet NARA technical formatting standards, attach a description of the project to SF 258 and sent to NARA. Description must include the name of the office creating the records; project name or title; and a narrative summary of the project and its significance. After reviewing the information about the project, NARA will appraise the electronic records covering the project and decide if permanent or temporary retention is warranted. NARA will notify the agency of its decision. If permanent retention is warranted, then within 6 months of notification, the agency will transfer electronic media that meet NARA's technical formatting standards, along with systems documentation.

7. ITEM	10. ACTION	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED
		<p>project to SF 258 before sending to NARA. Description must include the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.</p> <p>c. Motion picture and videotape records, including raw data, deemed to have permanent value according to the criteria noted above.</p> <p style="text-align: right;"><i>Transfer</i></p> <p><u>Permanent</u>. Send to FRC two years after cut off. 0-10 to NARA ten years after retirement. Note: Attach a description of the project to SF 135. Description must include the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.</p> <p>d. Photographic records, including raw data, deemed to have permanent value according to the criteria noted above.</p> <p style="text-align: right;"><i>Transfer</i></p> <p><u>Permanent</u>. Send to FRC two years after cut off. 0-10 to NARA ten years after retirement to FRC. Note: Attach a description of project to SF 258 before sending to NARA. Description must include the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.</p> <p>e. Drawings, maps, and charts deemed to have permanent value according to their criteria noted above.</p> <p style="text-align: right;"><i>Transfer</i></p> <p><u>Permanent</u>. Send to FRC two years after cut off. 0-10 to NARA ten years after retirement to FRC. Note: Attach a description of project to SF 258 before sending to NARA. Description must include the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.</p> <p>2. Non-permanent R&D Project Records. These records include documentation similar to that described for item 1, but which relate to projects (or parts of projects) that do not have historical or archival value.</p> <p>Disposition: Not authorized. Separate schedules are required.</p> <p><u>A MEMORANDUM OF JUSTIFICATION IS ATTACHED</u></p>	