

Request for Records Disposition Authority

Records Schedule Number DAA-0399-2013-0004

Schedule Status Approved

Agency or Establishment Federal Railroad Administration

Record Group / Scheduling Group Records of the Federal Railroad Administration

Records Schedule applies to Agency-wide

Schedule Subject Organization Information - Directives, Delegations and Organization Assessments

Internal agency concurrences will be provided No

Background Information This series encompasses three sub-series of records:

Directives: Establishes or changes policies, organization, methods, or procedures; requires action or impose workload; or gives information essential to the administration or operation of the FRA.

Delegations: Documents when a delegation of authority is implemented.

Organization Assessments: Documents organizational realignments and changes in functional responsibilities of the agency. These records include reorganization studies or proposals initiated to design an efficient organizational framework.

Supersedes schedule N1-399-07-15 & N1-399-07-24

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	3	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0399-2013-0004

Sequence Number	
1	Directives
1.1	Directives – Unpublished Disposition Authority Number: DAA-0399-2013-0004-0001
1.2	Directives – Published – Notices/Policy Memoranda Disposition Authority Number: DAA-0399-2013-0004-0002
1.3	Directives – Published – All Others Disposition Authority Number: DAA-0399-2013-0004-0003
2	Delegation of Authority
2.1	Delegation of Authority – Administrator/Deputy Administrator Disposition Authority Number: DAA-0399-2013-0004-0004
2.2	Delegation of Authority – All Others Disposition Authority Number: DAA-0399-2013-0004-0005
3	Organization Assessments
3.1	Organization Assessments - Implemented – Final Report Disposition Authority Number: DAA-0399-2013-0004-0006
3.2	Organization Assessments - Implemented – Other Files Disposition Authority Number: DAA-0399-2013-0004-0007
3.3	Organization Assessments – Not Implemented Disposition Authority Number: DAA-0399-2013-0004-0008

Records Schedule Items

Sequence Number	
1	<p>Directives Directives are written documents which establish or change policies, organization, methods, or procedures; require action or impose workload; or give information essential to the administration or operation of the FRA. Directives include: Orders, Manuals or Handbooks, Supplements to DOT/OST Directives, Notices, and Policy Memoranda.</p>
1.1	<p>Directives – Unpublished</p> <p>Disposition Authority Number DAA-0399-2013-0004-0001</p> <p>Any type of directive that was not published.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-399-07-15, Item 1c</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Close files upon decision to not issue. Cutoff files at the end of the calendar year.</p> <p>Retention Period Destroy 3 year(s) after cutoff or when no longer needed for administrative purposes occurs, whichever is later</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Directives – Published – Notices/Policy Memoranda</p> <p>Disposition Authority Number DAA-0399-2013-0004-0002</p> <p>Notices are used for one-time or short-term (six months or less) instructions and information. Policy Memoranda are used to issue guidance for programs relating to their area of responsibility. Agency-wide policy memoranda are issued as Directives-Orders.</p> <p>Final Disposition Temporary</p>

1.3	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Close files when expired, obsolete or superseded. Cutoff files at end of the calendar year.
	Retention Period	Destroy 3 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Directives – Published – All Others	
	Disposition Authority Number	DAA-0399-2013-0004-0003
	Consist of official file copies, directives, background materials, and other papers related to the development of FRA directives, including changes that are authorized issuances and used as a primary means of issuing policy instructions and procedures.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-399-07-15, Item 1a
	Disposition Instruction	
	Cutoff Instruction	Close files when superseded. Cutoff files at end of the calendar year.
	Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning 1 year(s) after cutoff
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
	Additional Information	
	First year of records accumulation	1970

What will be the date span of the initial transfer of records to the National Archives? From 1970 To 1998

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

- 2 Delegation of Authority
The order of delegation of authority is established in a FRA directive. This record series covers documentation on when delegation of authority is implemented. Individuals are identified by name not by title or position.
- 2 1 Delegation of Authority – Administrator/Deputy Administrator
Disposition Authority Number DAA-0399-2013-0004-0004
Contains record copy of delegations of authority from the agency Administrator and Deputy Administrator that assigned others responsibility for mission-related programs and authorized them to take actions on their behalf.
- Final Disposition Permanent
- Item Status Active
- Is this item media neutral? Yes
- Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No
- Disposition Instruction
- Cutoff Instruction Close files when delegation expires. Cutoff files at the end of the calendar year.
- Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 1 year(s) after cutoff

	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2013 To 2014
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
2.2	Delegation of Authority -- All Others	
	Disposition Authority Number	DAA-0399-2013-0004-0005
	Includes delegations issued to authorize individuals to act on their supervisor's behalf during their absence or for a specific activity.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Close files when delegation expires. Cutoff files at end of calendar year.
	Retention Period	Destroy 3 year(s) after cutoff or when obsolete or superseded occurs, whichever is later
	Additional Information	
	GAO Approval	Not Required
3	Organization Assessments	
	Organization or reorganization plans or studies that examine the establishment of and changes in the organization, mission, functions, relationships, and delegations of authority. Types of records include organizational and functional charts, staff studies, minutes of staff meetings, and related correspondence.	
3.1	Organization Assessments - Implemented -- Final Report	
	Disposition Authority Number	DAA-0399-2013-0004-0006

Final report of agency organization or reorganization plan or study that was implemented.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-399-07-24, Item 1a(1)

Disposition Instruction

Cutoff Instruction Close files upon completion of the plan or study. Cutoff files at end of calendar year.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 1 year(s) after cutoff

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2012 To 2012

How frequently will your agency transfer these records to the National Archives? Unknown
Frequency depends on how often an org assessment is done.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

3.2

Organization Assessments - Implemented – Other Files

Disposition Authority Number DAA-0399-2013-0004-0007

Work files supporting documentation of agency organization or reorganization plan or study that was implemented.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered No

by this item currently exist in
electronic format(s) other than e-
mail and word processing?

GRS or Superseded Authority Citation N1-399-07-24, Item 1a(2)

Disposition Instruction

Cutoff Instruction Close files upon completion of the plan or study.

Retention Period Destroy 5 year(s) after closure or when obsolete or
superseded occurs, whichever is later

Additional Information

GAO Approval Not Required

Organization Assessments – Not Implemented

Disposition Authority Number DAA-0399-2013-0004-0008

Documentation of agency organization or reorganization plan or study that was not
implemented.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered No

by this item currently exist in
electronic format(s) other than e-
mail and word processing?

GRS or Superseded Authority Citation N1-399-07-24, Item 1b

Disposition Instruction

Cutoff Instruction Close file when study is completed or cancelled.

Retention Period Destroy 5 year(s) after closure

Additional Information

3.3

GAO Approval

Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/29/2013	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
11/22/2013	Return for Revision	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
11/25/2013	Submit For Certification	Tracey Schut	Records Analyst	Department of Transportation - Federal Railroad Administration
11/25/2013	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
03/25/2015	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
03/25/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/25/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/26/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist