

Request for Records Disposition Authority

Records Schedule Number DAA-0399-2014-0001

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 Railroad Policy & Development

Internal agency concurrences will be provided No

Background Information Railroad Policy & Development

The Office of Railroad Policy and Development is responsible for working with stakeholders to develop cohesive goals and policies for maintaining and improving the U.S. freight and passenger rail networks, as well as for managing a portfolio of grant and loan investments that contributes to achieving these following goals:

- Evaluating and monitoring Federal grants and loans to ensure successful project development and delivery
- Conducting research and developing applied science to ensure the U.S. remains on the cutting edge of rail technology
- Establishing parameters and methodologies for conducting national, regional, and state rail planning activities
- Analyzing and reporting on rail industry conditions and trends
- Developing technical assistance and guidance materials for current and future grantees or loan recipients

Not Covered: Grants & Loans (DAA-0399-2013-0005) and Final Deliverables (N1-399-07-13)

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	2	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0399-2014-0001

Sequence Number	
1	Amtrak – Board of Directors Disposition Authority Number: DAA-0399-2014-0001-0001
2	Project Case Records – Completed Disposition Authority Number: DAA-0399-2014-0001-0002
3	Project Case Records – Cancelled Disposition Authority Number: DAA-0399-2014-0001-0003
4	Environmental Records Disposition Authority Number: DAA-0399-2014-0001-0004
5	Maps Disposition Authority Number: DAA-0399-2014-0001-0005
6	Subject Files Disposition Authority Number: DAA-0399-2014-0001-0006
7	Analysis Records
7.1	Analysis Records – Landmark Disposition Authority Number: DAA-0399-2014-0001-0007
7.2	Analysis Records – Routine Disposition Authority Number: DAA-0399-2014-0001-0008

Records Schedule Items

Sequence Number							
1	<p>Amtrak – Board of Directors</p> <p>Disposition Authority Number DAA-0399-2014-0001-0001</p> <p>Records consist of grant agreements, progress reports, financial plans, invoices, accounting reports, correspondence, economic analyses, and operational and financial performance analyses. (Superseded Job: N1-399-07-05, Item 1b)</p> <p>Final Disposition Permanent</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 N1-399-07-05, Item 1b</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Item is media neutral. This section provides disposition instructions for those records in hardcopy format.</p> <p>Cutoff Instruction Close files at end of calendar year.</p> <p>Transfer to Inactive Storage Transfer Paper Records to FRC 3 years after closure.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after closure</p> <p>Additional Information</p> <p>First year of records accumulation 1995</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2004</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p> <table border="1"><thead><tr><th></th><th>Estimated Current Volume</th><th>Annual Accumulation</th></tr></thead><tbody><tr><td>Electronic/Digital</td><td>MB</td><td>MB</td></tr></tbody></table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital	MB	MB
	Estimated Current Volume	Annual Accumulation					
Electronic/Digital	MB	MB					

Paper	12 Cubic feet	2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Maintain electronic records for 15 years. Transfer to the National Archives 15 years after closure.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after closure.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2015**

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

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

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Project Case Records – Completed

Disposition Authority Number **DAA-0399-2014-0001-0002**

The Project Case Files reflect a complete history of each project from initiation through research, development, design and testing, through completion. Files

include technical characteristics, test and trail results, drawings, specifications and photographs essential to engineering development, technical and progress reports, notice of completion, and correspondence influencing the course of action taken on a project. Also includes Environmental Impact Studies. Excludes: Contract-related records. (Superseded Job: N1-399-07-05, Item 2a & NC1-399-78-4, Item 11)

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

GRS or Superseded Authority Citation N1-399-07-05, Item 2a
NC1-399-78-4, Item 11

Disposition Instruction

Cutoff Instruction Close files upon project completion. Cutoff files at end of calendar year.

Transfer to Inactive Storage Transfer to FRC 3 years after cutoff.

Retention Period Destroy 15 year(s) after cutoff

Additional Information

GAO Approval Not Required

Project Case Records – Cancelled

Disposition Authority Number DAA-0399-2014-0001-0003

Information related to cancelled or unsuccessful projects.

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 upon project cancellation. Cutoff files at end of calendar year.

Retention Period Destroy 7 year(s) after cutoff

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4	Additional Information	
	GAO Approval	Not Required
	Environmental Records	
	Disposition Authority Number	DAA-0399-2014-0001-0004
	These records cover Environmental Impact Statement (EIS) not incorporated into the project case file. Files consist of correspondence, studies, and documents regarding environmental reviews constituting the administrative record. (Superseded Job: N1-399-07-18, Item 1a)	
	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
	GRS or Superseded Authority Citation	N1-399-07-18, Item 1a
	Disposition Instruction	
	Cutoff Instruction	Close files upon project completion. Cutoff files at end of calendar year.
	Transfer to Inactive Storage	Transfer to FRC 3 years after cutoff.
	Retention Period	Destroy 20 year(s) after cutoff
5	Additional Information	
	GAO Approval	Not Required
	Maps	
	Disposition Authority Number	DAA-0399-2014-0001-0005
	These records consist of 1:250,000 scale USGS maps and FRA -generated 1:40 aerial maps that show where NEIP rail lines were in the early 1970s and rebuilt sections of the lines for the past 20 years. (Superseded Job: N1-399-07-05, Item 4b)	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Physical Maps
	Do any of the records covered by this item currently exist in	No

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electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-399-07-05, Item 4b

Disposition Instruction

Cutoff Instruction Close files when no longer needed for agency business

Retention Period Destroy 25 year(s) after closure

Additional Information

GAO Approval Not Required

Subject Files

Disposition Authority Number DAA-0399-2014-0001-0006

Memoranda, correspondence, statutes, regulations, oversight reviews, strategy documents, white papers and other research that provide a comprehensive review of the subject. Excludes FRA publications, completed projects, and contract related materials. Includes research data sets. (Superseded Job: NC1-399-78-4, Item 9 & NC1-399-78-4, Item 10)

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

GRS or Superseded Authority Citation NC1-399-78-4, Item 9
NC1-399-78-4, Item 10

Disposition Instruction

Cutoff Instruction Close files when subject becomes obsolete or superseded

Retention Period Destroy between 10 year(s) and 30 year(s) after closure

Additional Information

GAO Approval Not Required

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Analysis Records

7.1

Documents generated during an analysis including data source, reference materials, analysis methods, drafts, notes, correspondence, questionnaires, and other working papers. Types of analysis include: economic, trend, and statistical.

Analysis Records – Landmark

Disposition Authority Number **DAA-0399-2014-0001-0007**

Analysis work product files that support Federal officials in determining significant policy-making decisions. Also includes analysis mandated by Congress on programs within the purview of FRA or drafted by FRA, cases that attract national news media attention, and cases resulting in a congressional investigation. Includes Strike Impact Analysis for Class I Railroad and Amtrak and Port lockouts.

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

If this item has multiple sections,
indicate here records to which
this section apply **Non-electronic Textual Records**

Cutoff Instruction **Close files upon analysis completion. Cutoff files at
end of calendar year.**

Transfer to Inactive Storage **Transfer to FRC 3 years 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 2008 To 2010**

How frequently will your agency
transfer these records to the
National Archives? **Unknown
As accumulated**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	.5 Cubic feet

Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction

Close files upon analysis completion. Cutoff files at end of calendar year.

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 2008 To 2010

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

Unknown
As produced

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	.5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

7.2

Analysis Records – Routine

Disposition Authority Number DAA-0399-2014-0001-0008

Work product files that are routine in nature and do not have significant precedential or historic value

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 upon analysis completion. Cutoff files at end of calendar year.
Retention Period	Destroy 7 year(s) after cutoff
Additional Information	
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
10/21/2013	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
10/22/2015	Return for Revision	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
10/23/2015	Submit For Certification	Tracey Schut	Records Analyst	Department of Transportation - Federal Railroad Administration
10/26/2015	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
08/16/2016	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
08/23/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/23/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/25/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist