

Request for Records Disposition Authority

Records Schedule Number **DAA-0399-2014-0004**

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 **Mission-Related Training**

Internal agency concurrences will be provided **No**

Background Information

This record series includes a variety of records, including course plans, forms, checklists, tests, employee test results, and other material relating to the testing, certification, qualification, licensing, classification, or career development of FRA and non-FRA personnel (such as State Inspectors). Training covers the technical disciplines (Hazardous Materials, Motive Power and Equipment, Operating Practices, Signal and Train Control, and Track) as well as other specialized training.

Other records included in this records series are the development, implementation, and monitoring of a formal on-the-job training program for new safety inspectors and inspector trainees. FRA's eight (8) regions are responsible for actual implementation of the on-the-job training program.

Routine administrative training is covered by the GRS.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 0 | 4 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0399-2014-0004

| Sequence Number | |
|-----------------|--|
| 1 | Training – Course Materials Disposition Authority Number: DAA-0399-2014-0004-0001 |
| 2 | Training – Rosters/Individual Records Disposition Authority Number: DAA-0399-2014-0004-0002 |
| 3 | On-the-job Training (OJT) Disposition Authority Number: DAA-0399-2014-0004-0003 |
| 4 | Training – Reports Disposition Authority Number: DAA-0399-2014-0004-0004 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Training – Course Materials</p> <p>Disposition Authority Number DAA-0399-2014-0004-0001</p> <p>The records are agency-sponsored record copies of manuals, syllabuses, textbooks and other training aids used in instructing FRA and non-FRA employees, including State personnel. Records may consist of working files generated during the training development phase, training workgroup meeting notes, correspondence, memoranda, training participation surveys and other records relating to the availability and execution of the program</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off files when course is superseded or terminated</p> <p>Retention Period Destroy 10 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Training – Rosters/Individual Records</p> <p>Disposition Authority Number DAA-0399-2014-0004-0002</p> <p>Records documenting attendance or participation at FRA-sponsored training activities, indicating the employee's name, employee identification number, course, grade, or related training information. The employee's training record includes but is not limited to examination results, individual training plans, certificates, and licenses.</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</p> |

| | | |
|---|---|---|
| 3 | electronic format(s) other than e-mail and word processing? | |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off at end of calendar year |
| | Retention Period | Destroy 10 year(s) after cutoff or when employee separation or transfer occurs, whichever is sooner |
| | Additional Information | |
| | GAO Approval | Not Required |
| | On-the-job Training (OJT) | |
| | Disposition Authority Number | DAA-0399-2014-0004-0003 |
| | The program is for trainees & journey level inspectors and consists primarily of self-study and one-on-one tutelage with experienced inspectors. Includes discipline manuals, forms, correspondence, scheduling, and other records relating to the availability and execution of the program. | |
| | 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 |
| 4 | Disposition Instruction | |
| | Cutoff Instruction | Cut off at end of calendar year in which certification is received |
| | Retention Period | Destroy 10 year(s) after cutoff or when employee separation or transfer occurs, whichever is sooner |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Training – Reports | |
| | Disposition Authority Number | DAA-0399-2014-0004-0004 |
| | Includes, but is not limited to, status reports on new trainees & inspectors; recertification status of existing employees. | |
| | 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

Cut off at end of calendar year

Retention Period

Destroy 3 year(s) after cutoff or when no longer
needed for administrative, legal, or audit purposes
occurs, whichever is later

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 |
|------------|------------------------|------------------|---|--|
| 09/05/2014 | Certify | Kim Toone | Records Management Officer | Department of Transportation - Federal Railroads Administration |
| 11/22/2016 | Submit for Concurrence | Jim Cassidy | Appraiser | National Archives and Records Administration - Records Management Services |
| 11/23/2016 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 11/28/2016 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 12/01/2016 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |