

## Request for Records Disposition Authority

Records Schedule Number DAA-0399-2015-0001

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 Correspondence

Internal agency concurrences will be provided No

**Background Information**

Covers all correspondence in any media (media neutral) that is received or sent by the Federal Railroad Administration in any format. These files accumulate as a result of a wide-range of correspondence, inquiries and complaints from public, Congressional staff, media, railroads, state and local government staff, etc, that are received by FRA headquarters and regional offices. FRA headquarters and/or regional offices may decide to keep the official recordkeeping copy within an electronic system. The disposition instructions below are for the record keeping copy, whether paper or electronic.

Not Covered: Non-Safety Related Audits – N1-399-07-02, Item 1a.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0399-2015-0001

Sequence Number	
1	Correspondence – Major
1.1	Correspondence – Major – Senior Staff Disposition Authority Number: DAA-0399-2015-0001-0001
2	Correspondence – All Other Disposition Authority Number: DAA-0399-2015-0001-0002

## Records Schedule Items

Sequence Number	
1	<p><b>Correspondence – Major</b> This series includes both signed controlled and uncontrolled major correspondence. This correspondence significantly documents program activities and is usually processed under special handling control procedures because of the importance of the subject or time requirements of replies. This correspondence may document the development, implementation, and/or administration of plans and policies pertaining to the mission or function of FRA. Records consist of copies of incoming correspondence, FRA's responses, and enclosures. Controlled correspondence is correspondence that requires a record of receipt and a timely reply.</p>
1.1	<p><b>Correspondence – Major – Senior Staff</b> Disposition Authority Number      DAA-0399-2015-0001-0001</p> <p>Major correspondence generated by senior officials* and assistants to those officials. *Senior Staff: Administrator, Deputy Administrator, Executive Director, Assistant and Associate Administrators, Chief Counsels, Chief Financial Officers, Regional Administrators, Deputy Regional Administrators and equivalent, including other officials when acting in those capacities</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?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-399-97-1, Item 3</p> <p><b>Disposition Instruction</b></p> <p>If this item has multiple sections, indicate here records to which this section apply      Electronic Records</p> <p>Cutoff Instruction                      Cut-off inactive records at end of calendar year.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives 5 year(s) after cut-off.</p>

### Additional Information

First year of records accumulation 2008

What will be the date span of the initial transfer of records to the National Archives? From 2008 To 2013

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 GB	10 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

### Disposition Instruction

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

Cutoff Instruction Cut-off inactive records at end of calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut-off.

### Additional Information

First year of records accumulation 2000

What will be the date span of the initial transfer of records to the National Archives? Unknown  
Initial transfer of records, currently dating from 2000 - 2007 will occur in 2022. Series has been transitioned to electronic format since 2008. While agency will endeavor to transfer all records within this series dating 2008 and later electronically, there may be some few that remain in hard copy format during the transition period. Agency will work with NARA to ensure proper transfer of these records at proper intervals (15 years).

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

Unknown

Series has been transitioned to electronic since 2008. While agency will endeavor to transfer all records within this series dating 2008 and later electronically, there may be some few that remain in hard copy format during the transition period. Agency will work with NARA to ensure proper transfer of these records.

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

2

## Correspondence – All Other

Disposition Authority Number DAA-0399-2015-0001-0002

Include incoming and outgoing correspondence. Includes, but is not limited to, the following types of correspondence: Programmatic correspondence generated by all other staff not listed in DAA-0399-2015-0001-0001. • Correspondence – Minor/Routine: Records, such as correspondence, memorandums, forms, reports and other data, documenting day-to-day operations and routine administrative matters. • Correspondence – Complaints: Records include incoming complaint and outgoing correspondence. Includes, but is not limited to, the following types of complaints: - Alleged Violations of laws and regulations: Records related to alleged violations - Items investigated by FRA and item with vague allegations not warranting an investigation - Discrimination Complaints – External: Records related to civil rights violations filed by individuals or groups who allege that their civil rights have been violated by FRA-funded entities. The records include complaints, correspondence, reports, exhibits, notices, depositions, transcripts, and other related documents. - Consumer Complaints: Complaints about mismanagement, gross waste of funds or abuse of authority or government property. May include complaints about specific railroads.

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?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	NC1-399-78-1, Item 27
Disposition Instruction	
Cutoff Instruction	Close inactive records at end of calendar year
Retention Period	Destroy 5 year(s) after closure or when no longer needed for Agency business 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
12/01/2014	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
09/14/2017	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/20/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/22/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist