REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER
399-08-1

To NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001

Date received

1 FROM (Agency or establishment)
U S Department of Transportation

2 MAJOR SUBDIVISION
Federal Railroad Administration

3 MINOR SUBDIVISION
Office of Financial Management and Administration

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Michele Geary	(202) 493-6129	May 19, 2011	Withdrawn

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 __8__ page(s) are not needed now for the business for 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
9/16/09		Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Correspondence Records This records series includes copies of all correspondence received by the Agency and entered into the Controlled Correspondence Management (CCM) system This refers to (1) substantive correspondence that significantly documents program activities and was processed under special handling control procedures because of the importance of the correspondence, time requirements of replies, or was received from offices of special interest to the Agency, and (2) general correspondence files, reading files, or other transitory information files maintained by program offices to document the common activities and management of the program Throughout the Federal Railroad Administration (FRA), the official file copies of all controlled correspondence (for retention and dispositioning purposes) are held by the administrative staff of the program office originating the control response		

NOTE: These disposition instructions apply to all the described records regardless of physical media

If permanent records are on CD-ROM, they must conform to existing standards for transfer to the National Archives and Records Administration (NARA)

If the recordkeeping copy is a permanent record and is maintained in an electronic format, transfer to NARA in accordance with 36 CFR 1228 270

If the recordkeeping copy is a temporary record and is maintained in an electronic format, keep the file in the office for the entire retention period in accordance with 36 CFR 1234 32

1 **Correspondence – Administrator (ROA)**

Documents include all controlled correspondence that have been signed by the Administrator or more senior officials, but whose response was prepared by the staff of individual program offices Records consist of copies of incoming letters, the control tracking sheet, copies of the response letter with enclosures, and any significant data or supporting documentation (e g , investigation reports) used in the preparation of the response

Note This item also includes

1 Substantive and routine correspondence from members of Congress and its committees, and

2 OIG Hotline complaints and responses

a(1) Record copy

Disposition· **Permanent** Close files at the end of the calendar year Keep files in the office for 1 year after closure, then retire to the FRC Transfer to NARA in 5 year blocks, 20 years after closure

Indexes or logs for permanent controlled correspondence files are also permanent records If the index is paper, a copy of the index should be enclosed with the correspondence files when the files are transferred to the FRC In accordance with 36 CFR 1228 28(b)(i), if the correspondence and/or index is electronic, transfer to NARA as soon as the records become closed (inactive) or if the agency

cannot meet the m enance requirements found in 36 CFR 1228 270

a(2) Other copies of controlled correspondence and supporting documentation signed by the Administrator and other senior officials

Disposition **Temporary** Close files at the end of the calendar year Destroy when no longer needed

2 **Correspondence – Financial Mgmt & Admin (RAD)**

Documents include controlled correspondence whose response was prepared by the Office of Financial Management and Administration's staff Records include copies of the incoming letter, the control tracking sheet, the response letter with enclosures, and any significant data or supporting documentation (e g , investigation reports) used in the preparation of the response

a(1) Record copy

Disposition **Temporary** Close files at the end of the calendar year Keep files in the office for 3 year after closure, then destroy

3 **Correspondence – Chief Counsel (RCC)**

Documents include all controlled correspondence that have been signed by the Administrator or more senior officials, <u>but whose response was prepared by the staff of individual program offices</u> Records consist of copies of incoming letters, the control tracking sheet, copies of the response letter with enclosures, and any significant data or supporting documentation (e g , investigation reports) used in the preparation of the response

Note This item also includes

1 Substantive and routine correspondence from members of Congress and its committees, and

2 OIG Hotline complaints and responses

a(1) Record copy

Disposition **Permanent** Close files at the end of the calendar year Keep files in the office for 1

	year after closure, t' ietire to the FRC Transfer to NARA in 5 year blocks, 20 years after closure Indexes or logs for permanent controlled correspondence files are also permanent records If the index is paper, a copy of the index should be enclosed with the correspondence files when the files are transferred to the FRC In accordance with 36 CFR 1228 28(b)(i), if the correspondence and/or index is electronic, transfer to NARA as soon as the records become closed (inactive) or if the agency cannot meet the maintenance requirements found in 36 CFR 1228 270 a(2) Other copies of controlled correspondence and supporting documentation signed by the Administrator and other senior officials Disposition **Temporary** Close files at the end of the calendar year Destroy when no longer needed		
4	**Correspondence – Research and Development (RDV)** Documents include controlled correspondence whose response was prepared by Research and Development's staff Records include copies of the incoming letter, the control tracking sheet, the response letter with enclosures, and any significant data or supporting documentation (e g , investigation reports) used in the preparation of the response a(1) Record copy Disposition **Temporary** Close files at the end of the calendar year Keep files in the office for 3 year after closure, then destroy		
5	**Correspondence – Office of Policy and Communication (RPC)** ***Formerly the Office of Policy and Program Development (RRP)*** Documents include controlled correspondence whose response was prepared by the Policy and Communication's staff Records include copies of the incoming letter, the control tracking sheet, the response letter with enclosures, and any significant data or supporting documentation (e g , investigation reports) used in the preparation of the response		

	a(1) Record copy Disposition **Temporary** Close files at the end of the calendar year Keep files in the office for 3 year after closure, then destroy		
6	**Correspondence – Safety (RRS)** Memoranda, correspondence, emails, investigative reports, and other records relating to alleged violations of regulations or other safety issues/concerns (regardless of media) a **Congressionals** Disposition **Permanent** Keep files in the office for 5 years after closure then retire to FRC Transfer to NARA in 5 year blocks 20 years after closure b **Complaints (Headquarters)** Disposition **Temporary** Destroy when 10 years old c **Complaints (Regional)** Disposition **Temporary** Destroy when 3 years old	GRS 14 Item 11-12	
7	**FOIA Request** Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof a **Correspondence and supporting documents** (EXCLUDING the official file copy of the records requested if filed herein) (1) Granting access to all the requested records Disposition **Temporary** Destroy 2 years after date of reply (2) Responding to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay agency reproduction fees		

	(a) Request not appealed Disposition **Temporary** Destroy 2 years after date of reply (b) Request appealed Disposition **Temporary** Destroy as authorized under GRS 14 Item 12 (3) Denying access to all or part of the records requested (a) Request not appealed Disposition **Temporary** Destroy 6 years after date of reply (b) Request appealed. Disposition **Temporary** Destroy as authorized under GRS 14 Item 12 b **Official file copy of requested records.** Disposition **Temporary** Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later	GRS 24 Item 3a	
8	**Inventory (IMS)** Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets Disposition **Temporary** Destroy/delete 1 year after completion of the next inventory		
9	**One-Time Movement Requests (OTM)** Requests seeking FRA authority for one time movement of damaged, non-compliant, defective equipment (freight and passenger locomotives/cars) Disposition **Temporary** Destroy 1 year after FRA response		

10	**Train Horn Rule (" R)** a **Quiet Zone Applications** Applications to establish a quiet zone under 49 CFR 222 39(b) and related correspondence used by FRA to make a determination Disposition **Temporary** Maintain in the office for 5 years then transfer to FRC Destroy after 30 years b **Quiet Zone Notification Records** Quiet Zone notifications and other information required by 49 CFR 222 43 and 222 47 Disposition **Temporary** Maintain in the office for 5 years then transfer to FRC Destroy after 100 years c **Quiet Zone Termination Records** Quiet Zone terminations under 49 CFR 222 51 Disposition **Temporary** Maintain in the office for 5 years then transfer to FRC Destroy after 30 years d **New Supplemental or Alternative Safety Measures** New supplemental or alternative safety measures under 49 CFR 222 55 Disposition **Temporary** Maintain in the office for 5 years then transfer to FRC Destroy after 30 years e **Wayside Horn Notifications** Wayside horn notifications under 49 CFR 222 59 Disposition **Temporary** Maintain in the office for 5 years then transfer to FRC Destroy when 30 years old		
11	**Waivers** Numerically by docket number Copies of incoming and outgoing correspondence, investigation reports, briefs, and Safety Board decisions, relating to safety standards, equipment standards, operating procedures, and other topics Includes comments from corporations, companies,		

	and employee uni Office of Chief Counsel maintains official copy Disposition **Temporary** Close upon Safety Board decision Maintain in the office for 5 years then transfer to FRC Destroy when 30 years old		