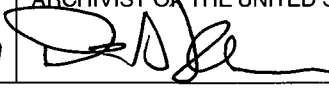
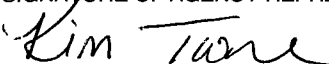


<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-399-11-01	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 3/10/11	
1 FROM (Agency or establishment) U S Department of Transportation		<b>NOTIFICATION TO AGENCY</b>  In accordance 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Federal Railroad Administration			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Kim Toone	5 TELEPHONE NUMBER (202) 493-6132	DATE 11/18/10	ARCHIVIST OF THE UNITED STATES 
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 <u>2</u> 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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 11/18/10	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<b>Federal Register Notices / Public Dockets / Regulations</b>  The Office of Chief Counsel maintains the official docket files The Office of Railroad Safety maintains their own copy of safety related dockets which are scheduled under N1-399-08-12  See attached description		

## 1. Federal Register Notices

Records consist of documents related to the publication of notices in the Federal Register. Includes drafts and final notices, tear sheets from the Federal Register, newspaper clippings, press releases, citations and abstracts of articles, correspondence and any logs or tracking systems

Superseded Job N1-399-07-14/1a

Disposition **Temporary** Cutoff files at end of fiscal year Destroy 1 year after cutoff (GRS 16/13a)

## 2. Public Docket Files

### a. Regulations

This record series contains information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to transportation legislation passed by Congress

Each Docket contains some or all of the following records

- Advanced notices of proposed rulemaking
- Notices of proposed rules
- Petitions for rulemaking and consideration
- Denials of petitions and reconsideration
- Drafts of proposed regulations and guidelines
- Final regulations and guidelines
- Public and internal comments including concurring and dissenting opinions
- Office of Management and Budget (OMB) request for comments
- Hearing transcripts
- Meeting minutes
- Research studies
- Background documents and other technical support material (including slides and photographs) generated during the process to develop and approve the regulation, standard, or guideline
- Audiovisual materials are located in the supplemental information files which are maintained with the docket
- Current indexes of documents both included and cited as precedent

Disposition **Permanent** Close files when rule is published Cutoff closed files at end of calendar year

(1) Paper Transfer to Federal Records Center (FRC) 3 years after cutoff Transfer to National Archives and Records Administration (NARA) 30 years after cutoff

(2) Original docket files or records optically scanned into Federal Docket Management System (FDMS) Retain paper records for at least 30 days after scanning and verification of imaging Destroy when no longer needed but not later than 1 year after cutoff

(3) FDMS copy of docket files or records Transfer directly to NARA 10 years after cutoff as specified in 36 CFR 1228.270 or standards applicable at the time

(4) Electronic (not in FDMS) Transfer directly to NARA 10 years after cutoff as specified in 36 CFR 1228.270 or standards applicable at the time Any reference copies should be deleted no later than 30 years after cutoff

### b. Non-Regulations

This record series contains documents made available for public review, and, often, comment that may not be related to FRA's regulations Dockets may be established for an array of non-

rulemaking action. They contain materials relating to actions which FRA is required to solicit comment such as proposed collections of information under the Paperwork Reduction Act, proposed settlements in litigation, and various types of petitions and applications

Includes (but not limited to) Administrative Hearings, Waiver Petitions, Block Signal Applications, Rules-Standards-Instruction Files, Special Approval Proceedings, Safety Inquiries, Product Safety Plans, Railroad Safety Program Plans, Paperwork Reduction Action (PRA) Notifications, Railroad Policy and Development (RPD) and Railroad Safety Advisory Council (RSAC) dockets

Disposition **Permanent** Close files upon final decision Cutoff closed files at end of calendar year

(1) Paper Transfer to FRC 3 years after cutoff Transfer to NARA 30 years after cutoff

(2) Original docket files or records optically scanned into FDMS Retain paper records for at least 30 days after scanning and verification of imaging Destroy when no longer needed but not later than 1 year after cutoff

(3) FDMS copy of docket files or records Transfer directly to NARA 10 years after cutoff as specified in 36 CFR 1228 270 or standards applicable at the time

(4) Electronic (not in FDMS) Transfer directly to NARA 10 years after cutoff as specified in 36 CFR 1228 270 or standards applicable at the time Any reference copies should be deleted no later than 30 years after cutoff

3

### c. Unpublished Regulations, Standards, and Guidelines

Work product related to a proposed rulemaking that was never published in the Federal Register

Disposition **Temporary**. Close files upon decision to not publish the regulation, standard, or guideline Cutoff closed files at end of calendar year

(1) Paper only Transfer to FRC 3 years after cutoff Destroy 10 years after cutoff

(2) Electronic only Delete 10 years after cutoff

4

### d. Working Files

Contain notes, background material, public information, drafts, memorandums of law, and internal comments on proposed documents May contain staff's papers not included in the official docket files

Disposition **Temporary** Close files when rule is published, final decision is published, or decision is made to not publish Cutoff closed files at end of calendar year Destroy or delete 3 years after cutoff