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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | JOB NUMBER <i>NI-399-07-2</i> | |
| TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001 | | Date received <i>2/19/07</i> | |
| 1. FROM (Agency or establishment) U.S. Department of Transportation | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 2. MAJOR SUBDIVISION Federal Railroad Administration | | | |
| 3. MINOR SUBDIVISION | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Janice Hill | 5. TELEPHONE NUMBER (202) 493-6132 | DATE <i>4/12/07</i> | ARCHIVIST OF THE UNITED STATES <i>Allen W. ...</i> |
| 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 _____ 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 type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE <i>2/12/07</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Hill</i> | | 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 GRS OR SUPERSEDED JOB CITATION | 10.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) |
| 1. | Response to Audits, Evaluations, and Investigations This record series includes records used to document and track FRA's <u>response</u> to audits, evaluations, and investigations conducted internally (e.g., by the Inspector General (IG)), or externally (e.g., by the General Accounting Office (GAO)). Audits and evaluations may be initiated by FRA, by an outside agency with oversight over FRA, or it may be requested by Congress. Records relating to these proceedings include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, and tracking/milestones. This series focuses on the specific response or corrective actions taken by the office subject to the evaluation, not the audit itself. The record copy of the audit or evaluation resides with the organization performing the audit. Records related particularly to the Federal Managers | | |

LL #11/08 copies sent to agency, NWMW, & NR

Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and other such related materials.

NOTE: The following disposition instructions apply to all the records described in each of the following records series 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 sec: 30-32.

a. Response files

Disposition: **Temporary**. Close files when corrective action is complete. Keep files in the office for 3 years after closure, then retire to the FRC. Destroy 10 years after closure.