

Request for Records Disposition Authority

Records Schedule Number DAA-0399-2013-0005

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 Grants and Loans

Internal agency concurrences will be provided No

Background Information FRA supports passenger and freight railroading through a variety of competitive grant, dedicated grant, and loan programs to develop safety improvements, relieve congestion, and encourage the expansion and upgrade of passenger and freight rail infrastructure and services.

- Directs implementation of federal rail grant programs, including soliciting applications, making selections and awards, managing and monitoring progress, reporting on status, completing projects, and closing grants.

- Directs implementation of federal credit programs available for rail development, including soliciting applications, making selections and awards, managing and monitoring progress, reporting on status, completing projects, and closing loans.

Not Covered: Final products and deliverables (N1-399-07-13)
Superseded: N1-399-07-12 (and parts of other schedules as noted below)

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0399-2013-0005

Sequence Number	
1	General Agreements (Non-Grants)
1.1	National and Bilateral Agreements Disposition Authority Number: DAA-0399-2013-0005-0003
1.2	All Other Agreements: Disposition Authority Number: DAA-0399-2013-0005-0004
2	Loans
2.1	Loans – Approved Disposition Authority Number: DAA-0399-2013-0005-0005
2.2	Loans – Denied Disposition Authority Number: DAA-0399-2013-0005-0006

Records Schedule Items

Sequence Number	
1	<p>General Agreements (Non-Grants) This series includes records that document all types of agreements with other federal, state, local or international government agencies, universities and other institutions to which FRA is a party, and which support FRA's transportation programs. Specific types of agreements include assistance agreements, cooperative agreements, Inter-agency agreements, and other types of program support agreements administered by the agency and which provide for research, demonstration projects, training, investigations, surveys, studies, or other types of program support activities. These records do not cover Grants, covered by the (New) General Records Schedule 1.2, Grant and Cooperative Agreement Records, Item 020 for Grant Records.</p>
1.1	<p>National and Bilateral Agreements</p> <p>Disposition Authority Number DAA-0399-2013-0005-0003</p> <p>National and bilateral agreements and memorandums of understanding related to joint efforts with other countries and other railroads in the exchange of information and development of various rail technologies such as rail vehicle, tunneling technology, and hardware exchange. (Superseded Job: N1-399-07-05, Item 5a)</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? No</p> <p>GRS or Superseded Authority Citation N1-399-07-05, Item 5a</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Electronic Records</p> <p>Cutoff Instruction Close files upon signing of agreement.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after closure</p> <p>Additional Information</p>

What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2010

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

Disposition Instruction

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

Cutoff Instruction Close files upon signing of agreement

Transfer to Inactive Storage Transfer to FRC 3 year after closure.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after closure

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2010

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

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

1.2

All Other Agreements:

Disposition Authority Number DAA-0399-2013-0005-0004

Includes but not limited to assistance agreements and Inter-agency agreements. (Superseded Job: N1-399-07-12, Item 1a and N1-399-07-21, Item 8)

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
	GRS or Superseded Authority Citation	N1-399-07-12, Item 1a and N1-399-07-21, Item
	Disposition Instruction	
	Cutoff Instruction	Close files immediately after close-out of the agreement. Cutoff files at the end of the fiscal year.
	Transfer to Inactive Storage	Transfer to FRC 1 year after cutoff
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
2	Loans	
	The Railroad Rehabilitation & Improvement Financing (RRIF) program was established by the Transportation Equity Act for the 21st Century (TEA-21) and amended by the Safe Accountable, Flexible and Efficient Transportation Equity Act: a Legacy for Users (SAFETEA-LU). RRIF program files consist of formal applications, project sponsor presentation materials, internal project information, notes, e-mails, financial advisors reports, legal negotiation files, closing documents, background materials, term sheets, amendments, cash flow transactions, disbursement and borrowing transaction documents, applications denied, and bound loan agreements.	
2.1	Loans – Approved	
	Disposition Authority Number	DAA-0399-2013-0005-0005
	Files consist of loan applications, loan agreements and related documentation, promissory notes, financial analyses, progress reports, state rail plans, repayment schedules, disbursements, and scope of work. Excludes: Contract-related records which are scheduled separately. (Superseded Job: N1-399-07-05, Item 3a and N1-399-07-21, Item 7)	
	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

2.2	GRS or Superseded Authority Citation	N1-399-07-05, Item 3a and N1-399-07-21, Item 7
	Disposition Instruction	
	Cutoff Instruction	Close files after loan is repaid in full with interest, credit risk premium refund is determined, and all property subject to liens has been released.
	Transfer to Inactive Storage	Transfer to FRC 10 years after closure.
	Retention Period	Destroy 50 year(s) after closure
	Additional Information	
	GAO Approval	Not Required
	Loans – Denied	
	Disposition Authority Number	DAA-0399-2013-0005-0006
	Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	
	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	
	Retention Period	Destroy 5 year(s) after closure
	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
07/03/2013	Certify	Kim Toone	Records Management Officer	Department of Transportation - Federal Railroads Administration
10/22/2015	Return for Revision	Jim Cassidy	Appraiser	National Archives and Records Administration - Records Management Services
03/28/2016	Submit for Concurrence	Jim Cassidy	Appraiser	National Archives and Records Administration - Records Management Services
03/29/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/30/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
03/31/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist