

Department of Transportation, Rail Division
Records Retention Schedule 2002-0018
Effective Date: June 2003
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Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Program Description:

The Oregon Department of Transportation Rail Division represents and advocates for customers of railroads, both passenger and freight carriers, ensuring that Oregon's rail system is safe, efficient, and reliable as part of the Oregon Department of Transportation's multi-modal transportation responsibilities, per ORS 184, 823, 824 and OAR 741. The Rail Division provides technical expertise concerning the safety, regulation, planning, and design of Oregon's rail system. In 1996, per ORS 733, responsibility for the regulation of Oregon's rail industry transferred from the Public Utility Commission to the Oregon Department of Transportation.

The Rail Division manages all state-owned rail properties which includes the Salem Train Station. In addition, the Division manages 180 miles of railroad right of way donated to the state by the Burlington Northern Santa Fe Railroad, in cooperation with an operating railroad that owns exclusive easement over the same property.

Funding for the regulatory activities comes primarily from a fee assessed annually on railroads operating in Oregon based on the previous year's gross operating revenue. Funds for grade crossing improvements come from designated federal and state highway funds. Railroad rehabilitation and infrastructure funds come from the Federal Railroad Administration, state lottery, and general funds. Funds for the Passenger Rail Program come from state general and other funds.

The Oregon Passenger Rail Advisory Council provided advice and assistance in planning and implementing Oregon's passenger rail resources. The Council reviews draft documents regarding passenger rail service and provides recommendations to improve, implement service. The Council sunsetted in 2005.

The Rail Advisory Committee advises the Oregon Department of Transportation on issues that affect rail freight and passenger facilities and services in Oregon.

Records Description:

Program Records

001 Oregon Passenger Rail Advisory Council Records, 1997 – 2005 .25 c.f.

- (a) Retain minutes permanently, transfer to State Archives after 10 years
- (b) Retain other records 5 years, destroy

020 Rail Advisory Committee Records, 2005 - [ongoing] .25 c.f.

- (a) Retain minutes permanently, transfer to State Archives after 10 years
- (b) Retain other records 5 years, destroy

Databases Used

None

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Scheduling Records

Financial Records - OAR 166-300-0025

Budget Preparation Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Crossing Safety

Program Description:

The Crossing Safety Section carries out the duties related to regulating all public railroad-highway crossings within Oregon. The section is responsible for reviewing applications to alter, open, or close railroad crossings. The section may also initiate regulatory actions based on evaluations of safety factors at any public crossing. The section inspects all crossings on a regular basis to ensure compliance with the order governing the crossing and to ensure that information is current on train and vehicular traffic levels. The Crossing Safety section manages crossing improvement projects funded by state and federal funds.

Section personnel inspect all Oregon railroad crossings, currently numbering approximately 2500, every two years. In addition, the section inspects all signal systems present at railroad crossings within Oregon, currently numbering approximately 900. When inspecting railroad signal systems Division personnel follow federal guidelines concerning rail signal systems per CFR Title 49, Chapter II, Part 236. Railroads are responsible for maintaining all signaling devices at rail crossings plus surfaces within two feet of their rails. Road authorities, whether local, county, state, or federal, are responsible for maintaining all signage relevant to crossings. The inspector's original inspection reports are filed with and maintained by the Federal Railroad Administration.

Records Description:

Program Records

003 Crossing Docket Files

- (a) Retain denied crossing application records 10 years, destroy
- (b) Retain approved application records 10 years, destroy
- (c) Retain orders permanently, in agency
- (d) Retain all other records 10 years, destroy

005 Signal Inspection Records

Retain 3 years, destroy

Databases Used

Rail Crossing Safety System (RCCS)

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Correspondence

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: **Rail**

Section: Rail Planning, Projects, and Operations

Program Description:

The Rail Planning, Projects, and Operations section provides technical expertise, development, and management to passenger and freight rail programs including intercity passenger rail and related Thruway motor coach service, and coordinates Oregon's partnership in the Pacific Northwest High Speed Rail Corridor. The section manages the Salem Train Station. The section manages rail improvement projects associated with passenger and freight rail operations, develops and implements the Oregon Rail Plan. Pursuant to federal law the Division participates in federal proceedings related to railroad mergers, abandonment's, and rail service. In addition, the section enforces statutes governing crossing blockages and addresses complaints concerning crossings and their associated issues.

Records Description:

Program Records

006 Annual Passenger Volume Records

Retain 10 years, destroy

021 Complaint Records

Retain 3 years after resolution, destroy

007 Monthly Passenger Volume Reports

Retain 3 2 years, destroy

008 Thruway Motor Coach Service Route Records

Retain 10 years after carrier contract completion, destroy

Databases Used

None

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Amtrak Contracts (see Contracts and Agreements)

Correspondence

Leases

Financial Records - OAR 166-300-0025

Payment Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Planning, Projects, and Operations

Program: Planning and Projects

Program Description:

The Planning and Projects Program is responsible for developing and implementing the Oregon Rail Plan, a component of the multi-modal Oregon Transportation Plan. The Rail Plan provides an overview of the rail system and identifies the improvement needs associated with track, equipment, and service. A critical element of the plan is the identification of specific railroad rehabilitation projects, similar to the State Transportation Improvement Plan. The Oregon Rail Plan is also part of Oregon's multi-modal transportation planning efforts to comply with federal highway funding reauthorization, which occurs every six years.

The program provides technical expertise to public and private sector entities on railroad operations. The program provides staff support representing Oregon in federal proceedings governing railroad mergers, abandonment's, and rail service. The program manages between \$500,000 and tens of millions each biennium dedicated to projects to alleviate rail issues, needs and concerns pertinent to the state

Records Description:

Program Records

009 Financial Services Branch Financial Reports

Retain 6 years, destroy

010 Oregon Rail Plan, 1978- [ongoing] .5 c.f.

(a) Retain final document permanently, transfer to State Archives after 20 years

(b) Retain all other records 1 year after acceptance of final document, destroy

011 Rail Property Lien Records

Retain 6 years after clearance or forfeiture, destroy

Databases Used

TEAMS (Central Services)

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Contracts and Agreements

Correspondence

Financial Records - OAR 166-300-0025

Grant Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Planning, Projects and Operations

Program: Railroad Right of Way

Program Description:

The Railroad Right of Way program is responsible for managing ODOT controlled rail rights of way. The program manages approximately 180 miles of right of way situated from Tongue Point in Clatsop County to Willbridge in NW Portland and from United Junction in Multnomah County to Quinaby in Marion County. The Rail Division received the first donated right of way in July 1997.

The Right of Way program negotiates agreements with entities requesting access across property managed by the Rail Division. The Division's property was deeded from the Burlington Northern and Santa Fe Railway in 1997. Currently the Oregon Department of Transportation, through the Rail Division, "owns and manages" the land or property the line passes over which the current operator, the Portland & Western, owns the rail, ballast, ties, and other elements which create the rail line. The railroad holds an exclusive easement and must approve most decisions concerning use of the right of way.

The Right of Way program is responsible for reviewing requests and negotiating agreements allowing third-party access to, across, over, and under the right of way.

Records Description:

Program Records

012 Right of Way Records

- (a) Retain agreements 10 years after negation or superseding of agreement, destroy
- (b) Retain approved applications 10 years after negation or superseding of right of way agreement, destroy
- (c) Retain denied applications 10 years, destroy
- (d) Retain correspondence 10 years after negation or superseding of right of way, destroy
- (e) Retain leases 10 years after expiration, destroy
- (f) Retain maps until superseded or obsolete, destroy
- (g) Retain permits 10 years after superseded or expiration, destroy

Databases Used

None

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Correspondence

Legislative Tracking Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: **Rail**

Section: Rail Safety

Program Description:

The Rail Safety Section enforces regulations regarding railroad employee safety, compliance with federal safety guidelines and standards, and the oversight of rail transit safety within Oregon. The section inspects all track, locomotives, and rail cars to ensure compliance with regulations pertaining to hazardous materials and safe operating practices. The section inspects all rail facilities and rail served industries to ensure safety of rail and industry workers.

Records Description:

Program Records

None

Databases Used

None

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Correspondence

Scheduling records

Facilities/Property Records - OAR 166-300-0020

Building Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Rail Safety

Program: Railroad Employee Safety

Program Description:

The Railroad Employee Safety program is responsible for ensuring the safety of railroad employees in the performance of their duties per ORS 824 and OAR 741. The program enforces laws, rules, and regulations applicable to trackside clearances, trackside walkways, and sanitation in response to reducing and eliminating rail related personnel injuries and fatalities. Oregon has approximately 1140 rail-served industries and 105 rail facilities. The program inspects all rail facilities and the rail served industries to ensure compliance with employee safety directives. Inspections note a variety of conditions including but not limited to the nature and condition of walkways and access points, clearances, and the presence of any hazardous or unsanitary materials. The program has the authority to grant variances when appropriate by issuing Orders, which provide legal justification for the continued existence of a condition or situation.

The Railroad Employee Safety program may issue notices of failure to comply with regulations and citations to industry and rail facilities, which fail to follow safety guidelines and regulations.

Records Description:

Program Records

014 Citations

Retain 6 years after resolution, destroy

015 Failure to Comply Notifications

Retain 6 years after resolution, destroy

016 Inspection Records

Retain 3 years, destroy

017 Orders

Retain permanently in agency

Databases Used

Rail Safety Inspection

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Correspondence

Scheduling records

Facilities/Property Records - OAR 166-300-0020

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Rail Safety

Program: Federal Safety

Program Description:

The Federal Safety program is a partnership between the Federal Railroad Administration and the Oregon Department of Transportation granting the Oregon Department of Transportation, via the Rail Division, authority to conduct inspections of the rail industry disciplines of track, motive and power, hazardous materials, operating practices, and grade crossing signals. Inspectors operate under the same authority as the Federal Railroad Administration Inspectors performing the same duties utilizing the resources and reporting format of the Federal Railroad Administration. The inspectors work independently and in conjunction with their federal counterparts to ensure compliance with federal mandates and guidelines regulating the rail industry. The inspector's original inspection reports are filed with and maintained by the Federal Railroad Administration.

Records Description:

Program Records

018 Inspection Records

Retain 3 years, destroy

Databases Used

FRA (Federal Rail Administration)

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Correspondence

Scheduling records

Facilities/Property Records - OAR 166-300-0020

Building Records

Organizational Placement

Schedule #: 2002-0018

Agency: Oregon Department of Transportation (ODOT)

Division: Rail

Section: Rail Safety

Program: Rail Transit Safety Oversight

Program Description:

The Rail Transit Safety Oversight Program is responsible for providing oversight to any transit district having a rail-fixed guideway system per 49 CFR, Part 659. 49 CFR, Part 659, requires ODOT to establish a System Safety Program Standard, which requires transit districts operating rail-fixed guideway systems to follow specific rules, regulations and policies concerning safety.

The Program is required to conduct safety reviews of entity's system every three years. The audit reviews the entity's programs and plans concerning safety, security, training, maintenance, inspection, operations, emergency procedures, etc. The Rail Division retains an external contractor to assist with the review process. Upon completion of the audit, a report is issued to the entity documenting any deficiencies, which the entity must then design and implement remedial action through the development of a corrective action plan.

In response to 49 CFR, Part 659, the entities are required to report all accidents, hazardous conditions, hours- of-service violations, etc., to ODOT.

Records Description:

Program Records

022 Annual Report to the Federal Transportation Authority

Retain 6 years, destroy

019 Safety Oversight Audit Records

Retain 10 years, destroy

Databases Used

None

State Agency General Records Retention Schedule Records:

Administrative Records - OAR 166-300-0015

Contracts and Agreements

Correspondence

Scheduling Records