

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-399-78-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 04/20/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 1, 4, 9, 13, 15, 16, 17, 22 remain active.

The dossier for N1-399-08-012 stated in several places that it "supersedes NC1-399-78-01," implying total supersession. However, this is not true. Some items were noted as superseded in N1-399-08-012's first--but not final--draft. Others were left out of N1-399-08-012 entirely.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 2 is effectively superseded by N1-399-08-012, item 18

Item 3 was withdrawn

Item 5 is superseded by N1-399-08-012, item 8

Items 6, 7, and 8 are superseded by N1-399-08-012, item 18

Item 10 is superseded by N1-399-08-012, item 1a

Item 11 is superseded by N1-399-08-012, item 1a

Item 12 is superseded by N1-399-08-012, item 1b

Item 14 is superseded by N1-399-08-012, item 13

Item 18 is superseded by N1-399-08-012, item 9b

Item 19 is superseded by N1-399-08-012, item 9c

Item 20 is superseded by N1-399-08-012, item 5

Item 21 is superseded by N1-399-08-012, item 1b

Item 23 is superseded by N1-399-08-012, item 11

Item 24 is superseded by N1-399-08-012, item 6

Item 25 is superseded by N1-399-08-012, item 6

Item 26 is superseded by N1-399-08-012, item 18

Item 27 is superseded by DAA-0399-2015-0001-0002

Item 28 is superseded by N1-399-08-012, item 6

Item 29 is superseded by N1-399-08-012, item 18

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCI 399 78 1	
DATE RECEIVED 18 OCT 1977	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
1-5-78 Date	<i>[Signature]</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Transportation

2. MAJOR SUBDIVISION
Federal Railroad Administration

3. MINOR SUBDIVISION
Office of Safety

4. NAME OF PERSON WITH WHOM TO CONFER

William Tusiac

5. TEL. EXT.

426-0864

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 10/13/77	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE Director, Office of Management Systems
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p>Congress created the Federal Railroad Administration with the passage of the Department of Transportation Act of 1966 (80 Stat. 932) 3 (e) (1). Its purpose is to combine federal government support of rail transportation activities, to provide a unified national policy, to administer and to enforce rail safety laws and regulations, to administer financial assistance for certain railroads, to conduct research and development to improve intercity ground transportation, and to operate the Alaska Railroad. An administrator and five associate administrators lead the FRA. The Associate Administrator for Safety directs the Office of Safety and the five regional offices.</p> <p>This schedule supercedes the previous office of Safety schedule, NN 16, 95, items 53-99. The Federal Railroad Administration, Office of Safety will use the General Records Schedules for authority to dispose of housekeeping and administrative records.</p> <p style="text-align: center;">Office of Safety</p> <p>Associate Administrator's Reading Files.</p> <p>Chronological Copies of outgoing correspondence and memoranda to</p>	NN168-29	1 cu. ft./yr.

115-107
Sent to agency, NCW, NNB, NNF, - 1/6/78

33 items

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	<p>Congressional representatives, Federal agencies, regional offices, related to policy matters railway procedures, freight standards, track maintenance and petitions.</p> <p>PERMANENT. Offer to NARS when 10 years old.</p>		
2.	<p><u>Associate Administrator^{rat} for Safety Subject Files</u></p> <p>Alphabetically by subject.</p> <p>Memoranda, correspondence, plans, special studies, invitations, speeches, itineraries, publications, and other records relating to committees, conferences, trips, and other program and administrative topics such as hazardous materials transportation, rail transportation safety, rail equipment and maintenance, and grants. (Note: File contains only some official copies of records; remainder are in items 6 & 7).</p> <p>Destroy when 3 years or when no longer needed for reference, whichever is sooner.</p>		<p><i>1/4 cu. ft. / yr.</i></p>
3.	<p><u>Correspondence with Regions</u></p> <p>Arranged numerically by region number</p> <p>Incoming and outgoing correspondence with the regional offices and the Associate Administrator's related to regional matters.</p> <p>PERMANENT. Offer to NARS when 10 years old.</p>	<p>WITHDRAWN</p>	<p><i>1/4 cu. ft. / yr.</i></p> <p>WITHDRAWN</p>
4.	<p><u>Regulations</u></p> <p><i>Numerically by regulation number.</i></p> <p>The Office of Safety administers and enforces regulations resulting from railroad safety legislation for locomotives, signals, safety appliances, power brakes, hours of service, <i>track</i> and the transportation of hazardous materials <i>and operating practices.</i></p> <p>a. Official copy of all regulations including revisions.</p> <p>PERMANENT. Offer to NARS when 20 years old.</p> <p>b. Other copies: Destroy when superseded or obsolete, or when no longer needed for reference.</p>		<p><i>1 1/2 cu. ft. / yr.</i></p>
5.	<p><u>Emergency Orders</u></p> <p>Arranged by emergency order number.</p> <p>Emergency orders and amendments relating to railroad personnel, inspection requirements, and structural deficiencies.</p>		

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6.	<p>Destroy when superceded or obsolete. <i>per conversation w/ Mc Nally 10-19-77. SC</i> <u>Background Files for Regulations</u></p> <p>Memoranda, correspondence, minutes of meetings, and other records which are used in drafting or updating regulations.</p> <p>Destroy when superceded or obsolete.</p>		
7.	<p><u>Office of Standards and Procedures Subject Files</u></p> <p>Alphabetically by subject.</p> <p>a. Memoranda, correspondence, reports, special studies, petitions, and minutes of the Safety Committee relating to accident statistics, policy and procedures and regulation enforcement actions. <i>Includes memoranda and correspondence signed by the Administrator for Safety</i> PERMANENT. Transfer to FARC when 5 years old. Offer to NARS when 10 years old.</p> <p>b. Contracts, research data, compliance reports, and minutes of all divisional meetings for all divisions within the Office of Standards and Procedures.</p> <p>Destroy when no longer needed for reference.</p>		2 cu. ft./yr.
8.	<p><u>Office of Safety Programs Subject Files</u></p> <p>Alphabetically by subject.</p> <p>Memoranda, correspondence, reports, special studies and other records related to the Occupational Health and Safety Act, alleged violations, and railroad safety. Includes memoranda and correspondence signed by the Administrator of FRA and Associate Administrator for Safety.</p> <p>PERMANENT. Transfer to FARC when 5 years old. Offer to NARS when 10 years old.</p>		1 cu. ft./yr.
9.	<p><u>Annual and other Reports</u></p> <p>Alphabetically by title.</p> <p>Published reports of railroad statistical data relating to topics such as railroad equipment, injuries and illnesses, highway grade, accidents/incidents, wages, and revenue traffic.</p> <p>a. Official Copy: PERMANENT. Transfer to FARC when 10 years old. Offer to NARS when 20 years</p>		1" yr.

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	old.		
	b. Other copies: Destroy when 3 years old or when no longer needed for reference, whichever is sooner.		
10.	<u>Accident/Incident Report Files.</u> Numerically by report number. Published reports of collisions and derailments resulting in employee fatalities. Destroy when superseded or obsolete.		1"/yr.
11.	<u>Accident Investigation Reports of Major Collisions.</u> Numerically by report number. Published and unpublished reports. a. Official copy: PERMANENT. Offer to NARS when 10 years old. b. Other copies: Offer to DOT Library.		1"/yr.
12.	<u>Violation Reports</u> Reports of alleged violations of railroad regulations. The Office of Chief Counsel recommends that some violations be prosecuted. The Office of Chief Counsel maintains the official copy of all violations reports. Destroy when no longer needed for reference.		
13.	<u>Background Data for Reports</u> Statistical and other data, monthly and/or quarterly reports from the railroads which are summarized or consolidated and are published in an annual report. Federal Code § 225.21 requires the railroads to keep these reports for 3 years. Destroy when 3 years old.		
14.	<u>Recommendations from National Transportation Safety Board</u> Copies of investigative reports of accidents in which the National Transportation Safety Board pre-empted the FRA investigation. Destroy when superseded or obsolete.		

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15.	<u>Complaint Files.</u> Memoranda, correspondence, investigative reports, and other records relating to alleged violations of regulations.		

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16.	<p>Destroy when 2³ years old.</p> <p><u>Logbook for Complaint Files</u></p> <p>Register, indexes, logbooks, which provide an index to the Complaint Files.</p> <p>Destroy when 10 years old.</p>		
17.	<p><u>Medal of Honor Files</u></p> <p>Correspondence, memoranda, applications and other records relating to Medal of Honor recipients; awarded for acts of heroism involving railroad highway motor carrier accidents.</p> <p>Destroy when 10 years old.</p>		1"/yr.
18.	<p><u>Safety Appliance and Design Files.</u></p> <p>Alphabetical by carrier. Memoranda, correspondence, and drawings relating to the regulations concerning design and safety appliance arrangement of railroad cars.</p> <p>Destroy when 6 years old.</p>		
19.	<p><u>Locomotives Subject Files.</u></p> <p>Alphabetically by locomotive. Memoranda, correspondence, drawings, test data, minutes of meetings, and engineering reports relating to the safety appliances, inspection, and testing locomotives and passenger cars. The tests determine whether any special restrictions are necessary for the safe operation of the locomotives; they are used in legal cases. Also includes information from the field.</p> <p>Destroy when obsolete or superseded.</p>		
20.	<p><u>Carrier Operations Files.</u></p> <p>Alphabetical by carrier. Incoming and outgoing correspondence, memoranda, annual reports from railroads, and the time table and operations rule books submitted by the railroads. This file relates to the operating rules and practices of the railroads.</p>		

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21.	<p>Destroy when 3-years-old. <i>obsolete or superceded.</i></p> <p><u>Inspector's Field Accounting Reports Files.</u></p> <p>Filed alphabetically by shipper or carrier. Inspector's "3666" Reports, inspections, requests for inspections, photographs, incident reports, and other materials related to the inspection of carriers, shippers, equipment operations, and chemical classifications. The inspections determine if the regulations have been violated.</p> <p>Destroy when 4 years old.</p>		
22.	<p><u>Accident/Incident Files.</u></p> <p>Alphabetically by name of company. Accident report summaries, correspondence, reports, photographs, drawings, and other records related to hazardous materials involved in railroad accidents. The Washington Office keeps the original records sent in from the field. Field offices also maintain a copy.</p> <p>Destroy when 5 years old.</p>		
23.	<p><u>Geometry Inspection Vehicle Files.</u></p> <p>Functional arrangement. Memoranda, personal notes, incoming and outgoing correspondence, survey sheets, test results, regulations, and other materials related to the use of geometry inspection vehicles for the inspection track geometry.</p> <p>Destroy when 5 years old.</p>		
24.	<p><u>Block Signals Applications Files.</u></p> <p>Numerically by Applications number. Applications, public notices, related to change in rail signals systems, physical appearance, design rules, and related topics. The Safety Board must approve of request (Federal Code Title 49 § 235).</p> <p>Destroy when superceded or obsolete.</p>		
25.	<p><u>Rules, Standards, and Instructions Files.</u></p> <p>Chronologically. Applications, correspondence, and other records related to railroad carriers requests for changing rules, stand-</p>		

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	ards, and instructions for the installation, maintenance, and repair railroad signal systems.		
	Destroy when superceded or obsolete.		
26.	<u>Divisional Subject Files</u>		
	Alphabetical by subject.		
	Correspondence, memoranda, reports, statutes, regulations, publications related to Congressional inquiries, freight and periodic inspections, accidents, regulatory reform, operating practices, hazardous materials, equipment, and other topics.		
	Destroy when ³ 1 year ^s old or when no longer needed for reference.		
27.	<u>General Correspondence Files.</u>		
	Files consisting of copies of correspondence, memoranda, minutes of meetings, relating to Congressional inquiries, inquiries from the general public, regional offices, and personnel.		
	Destroy when ³ 1/2 years old.		
28.	<u>Petitions and Docket Case Files.</u>		
	Arranged numerically by docket number.		
	Copies of incoming and outgoing correspondence, petitions, memoranda, and work reports, relating to safety standards, equipment standards, operating procedures, and other topics. Includes comments from corporations, companies, and employee unions. Office of Chief Counsel has official copy.		
	Destroy when superceded or obsolete.		
29.	<u>Reference Files.</u>		
	Memoranda, correspondence, reports, and other records related to commodities, railroads, freight, regulations, personnel, and other topics.		
	Destroy when superceded or obsolete.		