

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-399-78-03

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 4/21/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All other items remain active.

## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 6 is presumed to have been destroyed at the agency.

Item 9 is superseded by N1-399-97-001, items 1a and 1c.

Item 17 is superseded by N1-399-97-001, item 1b.

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

*(See Instructions on Reverse)*

<b>LEAVE BLANK</b>	
DATE RECEIVED <b>NC 1 399</b>	JOB NO. <b>78 3</b>
<b>OCT 10 1978</b>	
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 "with-drawn" in column 10.	
<b>12-21-78</b> Date	<i>James B. Rhoads</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)  
**Department of Transportation**

2. MAJOR SUBDIVISION  
**Federal Railroad Administration**

3. MINOR SUBDIVISION  
**Office of Federal Assistance**

4. NAME OF PERSON WITH WHOM TO CONFER  
**Charles Swinburn**

5. TEL. EXT.  
**426-2257**

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.

*10/3/78*  
(Date)

*[Signature]*  
(Signature of Agency Representative)

**Director of Management Systems**  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p align="center"><u>FEDERAL ASSISTANCE RECORDS</u></p> <p>General Correspondence Files.</p> <p>Subject files from all Federal Assistance Offices and Divisions (including Associate Administrator, Office Directors and Division Chiefs) pertaining to memoranda correspondence, plans, invitations, speeches, itineraries, publications, general correspondence pertaining to various program offices in the Office of Federal Assistance, and other program and administrative topics such as Amtrak, United States Railway Association, Consolidated Rail Corporation, general correspondence with various state transportation agencies, state safety program, and correspondence with the Directors of Federal Assistance in the regions.</p> <p align="center">DESTROY - when three years old or when no longer needed for reference, whichever is sooner.</p>		
2.	<p>General Reading Files.</p> <p>Chronological reading file copies from all Federal Assistance Offices and Divisions of outgoing correspondence and memoranda to the public, Congressional representatives, Federal agencies, regional offices,</p>		<i>23 items</i>

*Joann Underwood of FRA concurred in all these changes.  
sent to NCR, WWF, MWA, NWB & Agency  
MS 12-26-78*

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	<p>and railroad companies, related to policy matters, general inquiries, conferences, budget and grants management, trips and other records related to the Office of Federal Assistance.</p> <p>DESTROY - when three years old or when no longer needed for reference, whichever is sooner.</p>		
3.	<p>Annual Reports.</p> <p>Annual reports (arranged chronologically) to the President and Congress on the Federal assistance programs relating to the financial conditions and the operations of the railroads.</p> <p>PERMANENT - offer to NARS when ten years old.</p> <p><u>Office of National Freight Assistance Programs</u></p>		1/2"/yrs.
4.	<p>Working Papers for Application Analysis and Preparation of Recommendation Package.</p> <p>Alphabetically by Subject. Official copies of memoranda, records of meetings and discussions, special studies and other records relative to investigation and analysis of projects.</p> <p>DESTROY - three years after completion of final audit.</p>		
5.	<p>Field Inspection Reports.</p> <p>Alphabetically by Subject. Official copies of memoranda, personnel notes, and other records relating to periodic inspection of work in progress.</p> <p>DESTROY - three years after completion of project and final audit.</p>		

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6.	<p>Central Railroad of New Jersey, Passenger Train Cost Study of January 1975.</p> <p>Official copies of memoranda, records of meetings and discussions, correspondence with contractor, preliminary and final reports.</p> <p style="text-align: center;">DESTROY - three years after completion of project.</p>		
7.	<p>Agreements Between the Administrator and the Trustees of Bankrupt Northeast Railroads for Rehabilitation Work in 1975 and 1976 Pursuant to Section 215 of the Rail Reorganization Act.</p> <p><i>Arranged alphabetically by name of railroad. SC 10-10-78</i></p> <p>Official Copies.</p> <p style="text-align: center;">PERMANENT. Transfer to FARC when ten years old. Offer to NARS when 20 years old.</p>		4 cu. ft. / total
8.	<p>Financial Assistance to Railroads in Reorganization.</p> <p>Official copies of memoranda, correspondence, plans, findings, annual reports and other documents relating to the Emergency Rail Services Act of 1970, the Emergency Rail Facilities Restoration Act, the Regional Rail Reorganization Act of 1973, and the problems of the railroads in reorganization in the Northeast. To be held pursuant to Court Order.</p> <p style="text-align: center;">DESTROY - when released by Court Order.</p>		
9.	<p>Financial Assistance Pursuant to the Railroad Revitalization and Regulatory Reform Act (4R Act).</p> <p>Official copies of memoranda, correspondence, applications, agreements, financial reports and other documents relating to financial assistance to railroads under the 4R Act.</p> <p style="text-align: center;">DESTROY - three years after loans are repaid or cancelled.</p>		

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	<p style="text-align: center;"><u>Office of Passenger and Special Programs</u></p> <p>10. Regulations.</p> <p>The Office of Passenger and Special Programs administers and enforces regulations resulting from guidelines issued by the Federal Railroad Administration on policies and management's systems and standards for hours of service, legislation initiating new programs and services, and planning, programming and budgeting for existing maintenance of programs.</p> <p style="text-align: center;">DESTROY - when superseded or obsolete, or when no longer needed for reference.</p> <p>11. Consolidated Rail Corporation.</p> <p>Alphabetically by Subject. Official copies of memoranda, record of meetings and discussions, proprietary and historical financial and operating information required under Financing Agreement and analysis provided by United States Railway Association.</p> <p style="text-align: center;">DESTROY - when three years old, or after Special Court Discovery Orders expire.</p> <p>12. United States Railway Association.</p> <p>Alphabetically by Subject. Official copies of memoranda, records of meetings and discussion items provided the Secretary as a member of the USRA Board of Directors.</p> <p style="text-align: center;">DESTROY - when three years old, or after Special Court Discovery Orders expire.</p> <p>13. Board Meetings. <i>Arranged chronologically</i></p> <p>Official copies of the agenda and backup for the United States Railway Association Board of Directors' meetings.</p> <p style="text-align: center;">PERMANENT - offer to NARS when ten years old.</p>		<p style="text-align: right;">2 1/2 yr.</p>

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14.	<p>Special Programs.</p> <p>Alphabetically by Subject. Official copies of memoranda, records of meetings and discussions and other items pertaining to various special programs.</p> <p><i>Permanent. Offer to NARS 10</i>  <del>DESTROY - when three years old or when no longer needed for reference, whichever is sooner.</del> <i>SC 12-8-78</i></p> <p><u>Office of State Assistance Programs</u></p>		<i>1/2 cu. ft. / yr.</i>
15.	<p>State Programs Division Title IV Program Files Under the Regional Rail Reorganization Act (3R Act).</p> <p>Alphabetically by State. Project applications and approvals, including correspondence on grant administrative requirements, memoranda to all states on program activities.</p> <p><i>Destroy after audit or when 3 years old, whichever is sooner.</i>  <del>PERMANENT - offer to NARS when ten years old.</del> <i>SC 10-10-78</i></p>		
16.	<p>Reports on State Grant Activities, Program Manuals, Rail Planning Manuals, and Special Studies and Reports.</p> <p><i>Arranged alphabetically by title</i>          Reports and manuals prepared in conjunction with implementation of Title IV of the 3R Act and Title VIII of the 4R Act. These reports and manuals assist the states in preparing grant applications and conducting their statewide rail programs in accordance with the above-referenced legislation.</p> <p><i>2. Official copy:</i> PERMANENT - offer to NARS when ten years old.</p>		<i>2" / yr.</i>
17.	<p><i>6. Other copies:</i> <del>Destroy when no longer needed for reference.</del> <i>SC 10-10-78</i></p> <p>State Planning Assistance Division Title IV (3R Act) Program Files.</p> <p>Alphabetically by State. Phase I applications, Phase II State Rail Plans, and planning updates.</p> <p>PERMANENT - offer to NARS when ten years old.</p>		<i>ca. 40 cu. ft. / 6 yrs</i>

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18.	<p>State Program Division and State Planning Assistance Division Title VIII (4R Act) Program Files.</p> <p>Alphabetically by State. Files include planning work statements, correspondence, grant agreements and amendments, financial reports, and audits.</p> <p>PERMANENT - offer to NARS when ten years old.</p>		40 cu. ft. / by
19.	<p>State Safety Program Correspondence with Regions.</p> <p>Arranged numerically by Region Number. Incoming and outgoing correspondence with the regional offices and the Directors of Federal Assistance related to grant-in-aid for railroad safety.</p> <p>DESTROY - when three years old or no longer needed for reference.</p>		
20.	<p>State Grant-in-Aid Files.</p> <p>a. Track Case Files.</p> <p>Alphabetically by State and by fiscal year. Official copies of documents with original signatures, such as applications, certifications/agreements, and funding agreements. Also contains technical evaluations, correspondence with the States and the regions, monthly reports and requests for reimbursements, and personnel information related to state inspectors.</p> <p>DESTROY - five years after completion of program.</p> <p>b. Equipment Case Files.</p> <p>Alphabetically by State and by fiscal year. Official copies of documents with original signatures, such as applications, certifications/agreements, and funding agreements. Also contains technical evaluations, correspondence with the states and the regions, requests for reimbursements, and personnel information related to state inspectors.</p> <p>DESTROY - five years after completion of program.</p>		

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21.	<p>Semi-Annual and Audit Reports.</p> <p>Alphabetically by State and by fiscal year. Copies of semi-annual reports on Track and Equipment Grants-in-Aid to States.</p> <p><del>PERMANENT - offer to NARS when ten years old.</del></p> <p><i>Destroy when 3 years old. SC 10-10-78</i></p>		