

REQUEST FOR FINAL DISPOSITION AUTHORITY
(See instructions on reverse)

Handwritten: NCI 464-81-3

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

1. FROM (AGENCY OR ESTABLISHMENT)
UNITED STATES RAILWAY ASSOCIATION

2. MAJOR SUBDIVISION
LAW DEPARTMENT

3. MINOR SUBDIVISION
DOCUMENT CENTER

4. NAME OF PERSON WITH WHOM TO CONFER
Florence Simmonds

5. TEL EXT
426-9067

LEAVE BLANK	
JOB NO	NCI-464-81-3
DATE RECEIVED	July 7, 1981
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	<i>1-20-82</i>
Archivist of the United States	<i>[Signature]</i>

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 25 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 6/30/81	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE Staff Director, Law Department
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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
	See Attachment		

*This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.
Closed Out: 1-29-82: K.E.*

86 items

The USRA Records Control Schedule applies primarily to the textual records accumulated by various offices in carrying out the Association's functions. ~~Disposition instructions for USRA machine-readable and cartographic records are being developed and will be published separately from this Schedule.~~

The schedule is in five parts and except for Part I, is assembled functionally to facilitate its implementation. Part I applies to records common to all or most USRA offices; Part II applies to records relating to executive direction and administrative management; Part III applies to records accumulated in the course of litigation; Part IV applies to records relating to USRA monitoring of Conrail and finally Part V applies to records relating to rail system planning.

The General Records Schedule issued by the General Services Administration should be applied to any administrative records not described in Parts I and II of this schedule.

The retention periods proposed take into account administrative, legal, fiscal and historical values and will become legally binding when approved by Association management, the General Accounting Office and the National Archives and Records service.

UNITED STATES RAILWAY ASSOCIATION

INTRODUCTION

The United States Railway Association, a non-profit government corporation, was established under the Regional Rail Reorganization Act of 1973.

Its purpose, as outlined in the Act, was to plan and finance the reorganization of bankrupt railroads in the Northeast quadrant of the country into an economically viable system capable of providing safe, efficient, fast and reliable rail service to meet the needs of the people and the economy of the region and the nation. The Act reflected Congress' concern that the worsening state of the bankrupt carriers, of which the Penn Central was the largest, was threatening a breakdown in essential rail service.

The Association made an exhaustive study of the bankrupt railroads and prepared a Preliminary System Plan on how they should be restructured. The plan was aired publicly by the Rail Services Planning Office of the Interstate Commerce Commission and all of this voluminous input, in turn, went into the preparation of a Final System Plan. The Congress approved this plan on November 9, 1975.

At that time, Congress was preparing new legislation that modified the Act, in part, and looked beyond the region to the problems of the nation's rail industry as a whole. It passed the Railroad Revitalization and Regulatory Reform Act of 1976. The new law implemented the Final System Plan and provided new programs to improve rail transportation across the nation.

The new carrier created under the law to operate the redesigned rail system in the region was the Consolidated Rail Corporation, or Conrail. Conrail began operation over the approximately 17,000-mile system on April 1, 1976. USRA recognized that the Final System Plan was, at best, a flexible blueprint for the Conrail management to follow, and that changes in the plan would be made as needed to attain more efficient operation.

The Regional Rail Reorganization Act of 1973, as amended by the Railroad Revitalization and Regulatory Reform Act of 1976, gave the Association continuing responsibilities, among them:

1. The Association serves as "banker" to Conrail. It controls the flow of government investment and loan funds to the carrier. The law's purpose in naming the Association as banker was to insulate Conrail from the political pressures to which federal and quasi-public agencies are constantly subjected. USRA serves as the buffer between the new corporation on the one hand and the government and the states on the other.

2. USRA monitors Conrail performance.

3. USRA represents the federal government in the massive litigation stem-

ming from the reorganization which is now before the Special Court and other courts. The Special Court must decide questions relating to the allocation of Conrail securities among the bankrupt estates and the fairness and equity of the compensation provided for the property which they transferred under the Final System Plan.

USRA ADMINISTRATION

The United States Railway Association consists of an 11-member Board of Directors which includes:

- Chairman, United States Railway Association
- Secretary of Transportation, or alternate
- Secretary of the Treasury, or alternate
- Chairman, Interstate Commerce Commission, or alternate
- Seven members selected from nominees recommended by organization representing state government, local government, organized labor, railroad industry, financial community and shippers.

The Chairman is appointed for a six-year term. The seven non-government members are appointed for six-year overlapping terms. Board members are nominated by the President and must be confirmed by the Senate.

MONITORING

The Railroad Revitalization and Reorganization and Regulatory Act of 1976 specifies that USRA must report annually to the Congress on Conrail's performance.

This report must include an evaluation of (1) Conrail's performance in terms of the basic goals of the Regional Rail Reorganization Act; (2) any deviations from the financial projections in the Final System Plan; (3) the amount and uses of federal funds made available to Conrail; (4) projected financial needs and sources of funds for Conrail; (5) the ability of Conrail to become financially self-sustaining without requiring funds in excess of those authorized.

The first report was submitted to Congress in June, 1976. The Association found that Conrail is meeting the region's rail transportation needs and generally is providing considerably better service than the predecessor railroads. Conrail lost \$205 million during the nine months of operation in 1976, \$91 million less than forecast in the Final System Plan. The savings were realized largely as a result of effective cost controls, service consolidations, and a higher yield on freight revenues.

The locomotive and rail car fleet conveyed to Conrail was found to be in worse condition than anticipated and the carrier had to spend significantly more funds on maintenance of equipment than projected. The report noted the unusually severe winter of 1976-77 adversely affected Conrail earnings by more than \$100 million. Another natural disaster impacting on Conrail was the Johnstown flood in mid-1977.

LITIGATION

The Association is the principal party in one of the largest, most complex and important legal controversies involving the valuation of property and potential government financial responsibility ever to come before the courts.

The Act required the Association to fix a value for rail properties conveyed to Conrail. The complexity of the asset valuation task was immense. There were 48,000 miles of track, 400,000 acres of land, 185,000 pieces of rolling stock and about 4,000 buildings which were inventoried and valued.

The net liquidation values of the properties transferred under the Final System Plan, as certified by USRA to the Special Court, total \$685 million. The value of the properties conveyed to Conrail was \$534 million. The valuation certified for each of the bankrupt carriers was: Penn Central Transportation Co., \$415.3 million; Erie Lackawanna, \$53.1 million; Reading, \$32 million; Lehigh Valley, \$20.6 million; Central of New Jersey, \$10.2 million; Ann Arbor, \$1 million; Lehigh & Hudson River, \$1.2 million. Valuation of properties conveyed to Amtrak, including the Northeast Corridor, amounted to \$90.2 million.

These valuations and the method of valuation determination have been challenged in the court by creditors and the trustees of the bankrupt estates.

Another issue to be decided by the Special Court, and one in which the Association will have a continuing role, is the allocation of securities among the transferors.

In order for USRA to defend the fairness and equity of its findings as to the compensation for transferred property, the Association will revise and update the earnings projections of Conrail. This is because Conrail earnings will essentially determine the value of Conrail securities. This review of earnings potential will have to take into account any revisions of the operating plan that may be adopted based on actual experience.

The Association also is involved in some 40 other legal proceedings stemming from the reorganization. The cases are taking place in the Special Court, the various bankruptcy courts or other federal courts in the region.

Part I
Files Common to Most Offices

Description Of Records

Authorized Disposition

1. General Program Correspondence Files

Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions and decisions pertaining to program and staff activities.

a.) Program Correspondence Files at the VP Level or above. These files document policy-making decisions or significant USRA program management functions. They are accumulated by the Chairman, President, Vice Presidents and the Executive VP for Law. Excluded is that program correspondence which documents routine transactions and covered by c.) below. 30 cu. ft. now in existence; 4 cu. ft./yr. Arranged by subject in each VP file.

Permanent. Offer to NARS when 10 years old or sooner if purpose has been served.

b.) Program Correspondence Files maintained at all organizational levels below those stated in a.) above.

Destroy when 5 years old.

c.) Routine Program Correspondence Files maintained at all organizational levels. Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in a.) or b.) above.

Destroy when 2 years old.

2. Office Administrative Files

Documents accumulated by individual offices that relate to routine internal management or general administration (budget, procurement, etc.) rather than the function for which the office exists.

Destroy in agency when 2 years old or sooner if purpose has been served.

These records may include copies of correspondence and reports which are prepared in the Office and forwarded to higher levels and/or other materials that do not serve as official documentation. Includes also papers relating to obtaining housekeeping-type services from responsible offices.

Description of Records

Authorized Disposition

3. Office General Personnel Files

Documents that relate to the day-to-day administration of personnel in individual offices. Included are papers that relate to attendance and overtime; notices of holidays and hours worked; notices and lists of persons to attend training sessions; papers concerning participation in employee and community affairs, campaigns, drives; and comparable or related papers.

Destroy in agency when 2 years old.

4. Monthly Activity Reports

a.) Copies of reports maintained in operating offices with related background material, submitted by VP's to the President, highlighting significant activities and problems.

Destroy when 2 years old.

b.) Record set of monthly activity and "Critical Issues" reports maintained in the Office of the President. 5 cu. ft. now in existence. "Critical Issues" no longer created. Monthly activity reports ca. 1"/yr. Arranged chronologically.

Permanent. Offer to NARS when 5 years old.

c.) Copies of consolidated monthly activity reports which were prepared for use by Board members.

Destroy in agency when no longer needed.

5. Staff Working (desk) Files

Reference Files maintained by offices for convenience of individual staff members. Includes copies of reports and other records maintained in official USRA files.

Destroy in agency when no longer needed for reference.

6. Chronological or Reading Files

Extra copies of outgoing correspondence prepared and maintained by the originating offices used as a reading or reference file for the convenience of personnel.

a.) Files maintained by VPs and above. 30 cu. ft. now in existence. Yearly volume: 3 cu. ft.

Permanent. Offer to NARS when 5 years old.

b.) All other files.

Destroy in agency when 2 years old or sooner if reference value is exhausted.

Description of Records

Authorized Disposition

7. Reference Publication Files

Copies of USRA published material and publications issued by other government agencies and non-government organizations maintained for reference with any office. [Record copies of USRA publications are scheduled under Part II Item 3a.]

Destroy when superseded, obsolete, or no longer needed for reference.

8. Meetings and Conventions Files

Documentation pertaining to USRA participation at various meetings and conventions excluding Board Meetings. (See Part II, Item 1. for Board Meeting Records.)

Destroy in agency when 2 years old or sooner if purpose has been served.

Part II

Executive Direction and Administrative Management Files

Description of Records

Authorized Disposition

1. Board Meeting Files

Agenda, official minutes, reports, Board briefing material, related documentation, and Board resolutions. Arranged chronologically by date of meeting.

a.) President's File. 18 cu. ft. now in existence. Yearly volume: 1 cu. ft.

Permanent. Offer to NARS when 10 years old.

b.) Copies of Briefing Books or their contents located in any USRA office.

Destroy when no longer needed.

c.) Background material accumulated in USRA offices used in providing presentations to the Board.

Destroy when 1 year old.

2. Policy Information Files

a.) Complete sets of:

1.) Official speeches, Vol: less than 1 cu. ft./yr.

2.) Press releases, Vol: less than 1 cu. ft./yr.

3.) Informational releases, Vol: less than 1 cu. ft./yr.

Maintained by the Public Affairs Officer. 2 cu. ft. (Arranged in separate series, each chronologically)

Permanent. Offer to NARS when 10 years old.

b.) Copies of records described in a) above.

Destroy when no longer needed.

c.) "Daily News Clips" - a xeroxed publication issued by Office of Public Affairs to top officials of USRA; contains copies of newspaper clippings about U.S. railroads' operations, activities, plans.

Destroy in agency when no longer needed for reference.

Description of Records

Authorized Disposition

3. Publications Files

Pamphlets, external or internal reports including consultants' reports, the USRA annual report to Congress, leaflets or other processed documents such as the PSP and the FSP, relating to all aspects of the organization, functions and accomplishments of the USRA. *(Includes the Great Railway Crisis + all reports relating to the Bechtel project.) Arr. by title.*

- a.) One record set of each. 15. cu. ft. in agency; negligible future accumulation.
- b.) Extra copies maintained in any USRA office.
- c.) Background and working papers related to the preparation of publications.

Permanent. Offer to NARS when 10 years old.

Destroy when purpose has been served.

Destroy one year after publication of related document.

4. Directive Files

Internal directives or orders issued by the USRA.

- a.) Record copy of issuances related to USRA program functions. *(negligible volume)*
- b.) Case files, if any, related to (a) above which document important aspects of the order.
- c.) Record copy of issuances related to routine administrative functions (e.g. payroll, procurement, personnel, travel, etc.).
- d.) Case files related to (c) above which documents aspects of the development of the issuance.
- e.) Other working papers and background material related to a) or c) above.
- f.) Reference copies of directives maintained in USRA offices.

Permanent. Offer to NARS when 10 years old.

Permanent. Offer to NARS with related issuance.

Destroy when superseded or obsolete.

Destroy when issuance is destroyed.

Destroy 6 months after order is issued.

Destroy when superseded or obsolete.

Description of Records

Authorized Disposition

5. Telephone Directory of the USRA

a.) The master set of all USRA telephone directories published from 1974 to present. (Note: Lacking formal organizational records, such as charts and functional statements, these directories may be used to document the organization and functions of the USRA). 3" now in existence; ca 1/2"/yr. Arranged chronologically.

Permanent. Offer to NARS when 5 years old.

b.) Copies of directories.

Destroy in agency when superseded or obsolete.

6. Budget Files

a.) Correspondence or subject files in the Office of the VP for Administration documenting policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. 5 cu. ft.

Destroy when 10 years old.

b.) Copies of budget estimates and justification prepared and maintained by the Office of the VP for Administration. Included are appropriations, narrative statements, and related schedules and data. 4 cu. ft. now in existence. Arranged by FY. Annual vol = less than 1 cu. ft.

Permanent. Offer to NARS when 10 years old.

c.) Working papers and background materials maintained at all organizational levels.

Destroy 1 year after the close of the fiscal year covered by the budget.

7. Governmental Offices Files

Reports of Congressional hearings, copies of legislation, both Federal and State, and related documentation pertaining to USRA and Conrail operations. (Reference files.)

Destroy in agency when superseded, obsolete or no longer needed for reference.

8. Audit Report Files

Copies of GAO Contract audit and internal audit reports with related workpapers pertaining to selected aspects of contractor and USRA activities.

Destroy when 5 years old.

Description of Records

Authorized Disposition

9. Official Personnel Folders

Official copies of all forms and other records documenting the employment of USRA employees maintained in the Office of Personnel. (See Part I, Item 3 for disposition of unofficial personnel files maintained in individual USRA offices.)

Transfer to WNRC 1 year after separation of employee. Destroy 75 years after employees' date of birth. (per telecon between USRA Consultant and Director, Records Disposition Division, NARS, (R. Mosely)).

10. Employee Record Cards

Employee record cards used for informational purposes such as SF 7 of its equivalent.

Destroy 3 years after separation or transfer of employee.

11. Fiscal Accounting Records

a.) Payroll records

1.) Individual earning and service records consisting of earnings registers, specific deduction registers and deduction registers and related records.

Destroy 3 years after separation of employee.

2.) Individual payroll folders consisting of correspondence, authorized allotment records, notifications of personnel actions, payroll change slips levy and garnishment employee tax records and related records on payroll matters for individual employee.

Destroy 3 years after separation of employee.

3.) Time and Attendance reports.

Destroy when 3 years old or after GAO audit whichever is sooner.

4.) ADP Fast Time Sheets

Destroy when 3 years old or after GAO audit whichever is sooner.

5.) Payroll Check Disbursement Lists

Destroy when 3 years old or after GAO audit whichever is sooner.

Description of Records

Authorized Disposition

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|--|---|
| 6.) Payroll control files consisting of such items as payroll control log, P.A. P.V. number log, transaction journals, error diagnostic register and other related records. | Destroy when 3 years old or after GAO audit, whichever is sooner. |
| 7.) Leave and Pension Runs and related records. | Destroy when 3 years old. |
| b.) Accounting Administrative Files | |
| Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. | |
| 1.) Files used for workload and personnel management purposes. | Destroy when 2 years old. |
| 2.) All other files. | Destroy when 3 years old. |
| c.) Accountable Officer Files | |
| 1.) Vendor files consisting of purchase orders, contracts, disbursement vouchers, gasoline sales tickets, telephone bill tickets, reports and data related to vouchers, and related records. | Destroy 6 years, 3 months after period covered by account. |
| 2.) Collection vouchers, receipt voucher and accounts receivable records. | Destroy 6 years, 3 months after period covered by account. |
| d.) Expenditure Accounting Files | |
| 1.) General Accounting Ledgers. | Destroy when 10 years old. |
| 2.) Subsidiary records to books of original entry. | Destroy when 10 years old. |
| 3.) Computer output reports on expenditures and cancelled or voided checks. | Destroy when 3 years old. |
| e.) Passenger travel files consisting of transportation requests, vouchers, reimbursement documents and all supporting records for authorized disposition. | Destroy 6 years, 3 months after period covered by account. |

GRS 7/6

Description of Records

Authorized Disposition

12. Freight Files

Records relating to shipment of Freight consisting of shipping documents, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents.

a.) Issuing office memorandum copies.

GRS 9/a
Destroy when 3 years old.
GRS 9/1a.

b.) All other copies.

GRS 9/l
Destroy when 1 year old.
GRS 9/1b.

13. Routine Procurement Files

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

a.) Procurement or purchase organization copy, and related papers.

1. Transactions of more than \$10,000.

GRS 3/4a
Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment, transfer fiscal year block to WNRC after 2 years).

2. Transactions of \$10,000 or less.

GRS 3/4a2
Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that file on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)

b.) Obligation copy.

GRS 3/4b
Destroy when funds are obligated.

Description of Records

Authorized Disposition

c.) Other copies of records described above used by all organizational elements for purely administrative purposes.

Destroy when termination or completion. *GRS 3/4c*

14. Bid Proposal Files

a.) Successful or unsuccessful bids and proposals.

Apply provisions of *GRS 3/6a*
Item 13 above.

b.) Lists or cards of acceptable bidders.

Destroy in agency when superseded or obsolete. *GRS 3/6b*

15. Printing Files

Records relating to printing requisitions and all supporting papers.

a.) Printer procurement unit copy of requisition, invoice, specifications, graphics material, and related papers.

GRS 3/7a
Destroy 3 years after completion or cancellation of requisition.

b.) Accounting copy of requisition.

Destroy 3 years after period covered by *GRS 3/7b* related account.

16. Nonpersonal Requisition File

Requisition for nonpersonal services such as duplicating, binding and other services (excluding records associated with accountable officers' accounts (Item 11 c) 1) above.

Destroy when 1 year old. *GRS 3/8*

Part III
Litigation Files

Description of Records

Authorized Disposition

Unless indicated otherwise the disposition instructions for all files listed in Part III is as follows:
Destroy one year after all litigation is completed.

A. VALUATION AND APPRAISAL RECORDS

1. Non Rail Use Asset Valuation Files

Files consisting of general correspondence, reports, studies, inventories and other documents pertaining to the valuation of real estate, facilities, and equipment of bankrupt railroads produced or accumulated by USRA in the course of litigation, up to 1976. Consists of textual and related/duplicative machine-readable records.

For all textual and machine-readable material of this item:
Destroy 1 year after all litigation is completed.

2. Rights of Way Files

Correspondence, studies, reports, sales, data and other records accumulated by USRA pertaining to the valuation of rights of way involving the bankrupt railroads. Consists of textual and related/duplicative machine-readable records.

For all textual and machine-readable material of this item:
Destroy 1 year after all litigation is completed.

3. Canal Land Study Files

Comparable sales books concerning the Canal Land Study including value ratio reports of various counties crossed by the rail lines of the bankrupt railroads. Consists of textual and supporting machine-readable records.

For all textual and machine-readable material of this item:
Destroy 1 year after all litigation is completed.

Description of Records

Authorized Disposition

4. Non Rail Use Asset Valuation Contractor Files

All supportive documentation accumulated by USRA contractors pertaining to their appraisal and valuation or other pertinent study of bankrupt railroads' properties and rights of way. Files were submitted to USRA on completion of contract work.

Transfer to Conrail those portions which will be of use in their operations. Destroy remainder 1 year after termination of all litigation.

5. Metro Market Absorption Files

Studies pertaining to the pace of sales of real estate in selected metropolitan markets used by USRA in connection with valuation of real estate involved in the litigation proceedings.

For all textual and machine-readable material:
Destroy 1 year after all litigation is completed.

6. Retained Parcels Files

Copies of deeds and all supporting documentation on parcels of land retained by various bankrupt railroads. Includes maps, field notes, notes of meetings with transferors, easements and copy of final conveyance map filed with the Court. Supporting maps and field notes are computerized.

For all textual and machine-readable material:
Destroy 1 year after all litigation is completed.

7. Rail Use Subject (Issues) Files

Correspondence, studies, reports and other records pertaining to technical aspects of rail use asset valuation arranged subjectively.

Destroy 1 year after all litigation is completed.

8. Rail Use Litigation Preparation Files

Evidence, reviews of testimony by attorneys and other data of legal significance used by USRA in preparation of court filings.

Duplicate material should be screened out and destroyed immediately.

Description of Records

Authorized Disposition

9. Case Tracking System.

Automated index comprising the only microfilmed-document-retrivel system in USRA. Case descriptors utilize 1977 definitions. Data fields allow access by physical location such as film reel number or box number, or by distinctive document number, title, or subject; or by subfield within the document such as author, address, relation to case, date, etc. Use requires BASIS produced by Battelle Institute. When searching for specific terms or subjects, this is the only way to gain access to the microfilm of USRA records scheduled for permanent retention under NCl-464-81-1, Item 1b, and is an integral part of those records. *(Note: there is a box list for paper records that have been filmed, but this case tracking system is the only finding aid listing contents of film by SUBJECT)*

Permanent. Offer to NARS with microfilm scheduled under NCl-464-81-1, Item 1b.

10. Booz Allen & Hamilton (Contractor) Computer Printouts

Contractor produced projections portraying the fate of the bankrupts in the event that CONRAIL was not created. Lines which would be purchased or abandoned are identified, as well as revenue to be gained or lost. Descriptors focus on the projected 14,000 mile residual system that would have been purchased by existing railroads; included also is a preferred system portraying Penn Central's version of what would have happened without CONRAIL. These models are working papers backing up the testimony which is entered into records of the Special Court.

Destroy 1 year after all litigation is completed.

11. Maps Derived From 1915-17 Base Maps.

a.) Valuation Maps

Approximately 18,000 13x30 inch maps filed in six vertical map cases. These maps are reproduced on vellum from a 1915-17 base and show right-of-way, location of the track, property boundaries, and structures. There are corrections and annotations which

Permanent. Offer to NARS when no longer needed for litigation. ~~[The maps in five map cases (pertaining to the Penn Central) will be offered to NARS immediately, while the sixth map case~~

Description of Records

Authorized Disposition

do not appear on the 1915-17 originals. These maps show all lines or former lines owned by Conrail companies prior to March 31, 1976, and in many cases, show properties which were abandoned in the 1920's and 1930's. The maps are arranged by estate, each map also having a data base code for computer retrieval.

~~(pertaining to the lesser estates) will be offered to NARS after litigation is completed for those lines. [USRA will also provide NARS with a hard copy print-out from the computer tape which will provide a finding aid to the maps.]~~ b7c

b.) Pre-Conveyance and Conveyance Maps

Both sets of maps have dimensions of approximately 13x30 inches, and appear to be second or third generation copies of the valuation maps. The pre-conveyance maps are ozalid copies bound in booklet form while the conveyance maps are on a mylar base. These maps pertain only to those parcels of land not conveyed to Conrail. They are closely related to the deeds of conveyance, which are property of the Special Court appointed to hear litigation cases involving the formation of Conrail.

Disposition. USRA will maintain these records by special arrangement with the Special Court. After the litigation is completed, the maps should have the same disposition as the deeds of conveyance, because the maps will have little research value if separated from the deeds.

c.) All other copies of the 1915-17 base.

Disposable in agency when no longer needed.

12. Miscellaneous Reference Maps

This series is comprised of published rolled and flat maps of various scales and dimensions, apparently used for reference. Included are Penn Central System Maps, Geological Survey quadrangles, Federal Power Commission maps, and maps produced by other Government agencies.

Destroy in agency when no longer needed for reference.

B. COURT RECORDS

13. Court Docket Files

a.) USRA copies of Court records consisting of testimony, pleadings, court hearing transcripts, deposition transcripts, interrogatories and other documents pertaining to all legal action involving the bankrupt railroads.

Destroy any duplicate files immediately as non record material.

Destroy paper records that have been micro-filmed after microfilm has been determined to be adequate substitute

Description of Records

Authorized Disposition

for original records.
Destroy microfilm 1
year after termination
of all litigation.

b.) Drafts of testimony and pleadings
pertaining to all legal actions
brought before the Special Court.

Destroy 1 year after all
litigation is completed.

c.) Internal Memoranda not duplicated in
the court record. 15 cu. ft.
in existence; 1 1/2 ft./yr. arranged
chronologically,

Permanent. Offer to NARS
1 year after completion
of all litigation.

d.) Internal correspondence not duplicated
in the court record. Arranged chrono-
logically. 5 cu. ft. in existence;
1/2 cu. ft./yr.

Permanent. Offer to NARS
1 year after completion
of all litigation.

C. DEPOSITORY PRODUCTS

14. Depository Files

Copies of documents produced by USRA
and transferors under discovery or
court orders for their respective use
in the proceedings.

a) Destroy USRA Deposi-
tory paper records that
have been microfilmed
after microfilm has been
determined to be adequate
substitute for original
records. Destroy micro-
film 1 year after termi-
nation of all litigation.

b) Records (both textual
and machine-readable) not
filmed and not duplicated
in Item III A8: Disposal
not authorized. Offer to
NARS for separate ap-
praisal on SF-258.

D. SETTLEMENT NEGOTIATION RECORDS

15. Settlement Negotiation Files

Correspondence, reports and other
records relating to negotiations
and settlement with the individual
railroads. Arranged alphabetically
by the name of the railroads. ca.
2 cu. ft. now in existence; ca.
1 cu. ft. to be added ultimately.

Permanent. Offer to NARS
1 yr. after completion
of all litigation.

Description of Records

Authorized Disposition

E. REPORTS PREPARED FOR THE LITIGATION
AND OTHER RECORDS RELATING TO THE
LITIGATION PROCEEDINGS

16. Technical Reports Files

Reports prepared by Government Agencies and outside contractors pertaining to technical matters involved in various aspects of the litigation. (See also Part II, Item 3 Publications Files). 3 cu. ft.

Permanent. Offer to NARS when 10 years old.

17. Title Quality Report Files

Files consist of major property title quality reports, field office quality reports and base value ranked title quality reports on Penn Central and "Lesser Estates" showing analysis of Val Maps by USRA legal staff. Reports with related records are used in non-rail use litigation. Related machine-readable data bases are disposable as extracts from files described in Items III A1 thru III A 4.

Offer textual and machine-readable records to Conrail or its successor on conclusion of non-rail use litigation. If refused destroy 1 year after conclusion of litigation.

18. Lateral Cuts and Conveyance Files

Descriptive listings and deeds of certain properties used as comparison to aid in determining the value of railroad properties actually contested in litigation. Related machine-readable data bases are disposable as extracts from files described in Items III A 1 thru III A 4.

Destroy 1 year after all litigation is completed.

19. Contract Administration Files

Correspondence reports and copies of contracts pertaining to USRA contractual relationship with outside law firms, appraisers and others employed to assist USRA in litigation.

Destroy 1 year after all litigation is completed.

Description of Records

Authorized Disposition

20. Minutes of Finance and Valuation
Advisory Committee.

Committee consisting of 4 to 5 members was established by the Board to advise them at monthly meetings on the progress of the litigation. Minutes are arranged chronologically. 2 cu. ft. now in agency; yearly accumulation.

Permanent. Offer to NARS 1 year after conclusion of all litigation.

21. Historic Abandonment Studies

Abandonment studies undertaken in connection with the valuation of the real estate assets of the railroads subject to the Regional Abandonment Reorganization Act. Abandonment is the cessation of operations by a carrier of a specific segment of track or facility, subject to the approval of the ICC. Historically, analyses of the disposition experience of abandonments were relevant to the valuation of the right-of-way inventory of railroads being transferred to Conrail. Studies were made in 14 states by USRA staff and appraisal firms. Machine readable files called "Historic Abandonment Studies" duplicate the textual files and are consequently disposable with the paper files.

NC1-464-81-1, Item 2
(same)

Destroy 1 year after completion of the proceedings of the Special Court.

22. Government Witnesses' Workpapers

Workpapers and other documents of Government parties that show or explain or are necessary to determine or understand, the calculation and/or reasoning by which opinions or conclusions were reached as set forth in Rail Use and Non-Rail Use Testimony.

Destroy 1 year after all litigation is completed.

Part IV
Railroad Operations and Conrail Performance Monitoring Files

Description of Records

Authorized Disposition

Unless indicated otherwise the disposition instructions for all files listed is as follows:
Destroy 3 years after all litigation is completed.

A. Railroad Operations Records

1. Railroad Report Files

Copies of financial and operational reports of individual railroads (except Conrail) submitted to USRA and ICC. Included are studies and related correspondence. These files contain information on various aspects of the operations of railroads in the Northeast Quadrant of the U.S. They also include machine-readable data which are waybill statistics from bankrupts and other railroads interchanging with them. Data elements include \$ amounts, commodity identification and routes used at the time Conrail was formed. Information duplicates data submitted to ICC, declared disposable under schedule NCI-134-77-9.

Destroy 3 years after all litigation is completed.

2. Reports and Studies on Rail Service in the Quadrant of U.S.

a.) Copies of reports and studies by outside contractors on various aspects of the maintenance and operations of rail service in the Northeast Quadrant of the country. Included, but not necessarily limited to, are the following:

For a.): See Part II, Item 3 for disposition instructions.

Battelle Environmental Impact Study of 1979;

Peabody and Assoc. Study on "Impact of Ownership of Rail Commuter Properties ...";

Description of Records

Authorized Disposition

New England Rail Study;

Conrail Alternative Study and related USRA reports; etc.

b.) Background data (both textual and machine readable) related to reports and studies described in a) above.

Destroy 3 years after all litigation is completed.

3. Track Charts

Detailed maps of various portions of track lines prepared by the railroads from which Conrail was formed as well as Conrail itself.

*NCI-464-81-1, Item 5
(cards & yrs.)*
Offer to Conrail; if refused destroy 3 years after all litigation is completed.

4. "Merge" File

Machine-readable file portraying railroad traffic for bankrupt carriers as of 1973. Relates to Item IV A1 of this schedule.

~~Permanent. Offer to NARS upon approval of this schedule. DISPOSE OF AFTER ALL LITIGATION IS COMPLETED.~~

5. Delaware and Hudson Railroad Loan Agreement Records

Notes, loan applications, loan agreements and related records and correspondence pertaining to loan agreements with the Delaware and Hudson Railroad under provisions of the Regional Rail Reorganization Act.

Destroy six years after payment of loan.

B. Conrail Performance Monitoring Files

6. Correspondence, reports, and statistics pertaining to work plans and the overall monitoring of Conrail operations by USRA staff.

Destroy 3 years after completion of all litigation.

7. Monthly Work Plans Files

Documentation pertaining to USRA review of Conrail business plans and budgets, significant developments, marketing operations, etc. Included are monthly reports, status reports and related correspondence.

Destroy 3 years after completion of all litigation.

8. Conrail Reports and Studies Files

Conrail reports and studies to USRA, both formal and informal, and copies of reports to ICC including but not limited to the following:

Destroy 3 years after completion of all litigation.

Description of Records

Authorized Disposition

Financial reports
Business planning reports
Reports reviewing Court decisions
Freight and operations statistics reports
(S-1, S-2, S-3 reports)
Situation reports
ICC reports
Compensation reports
Fine reports
Morning reports
Dispatcher files
Car deficit and equipment studies
Utilization of car studies
Industrial development studies
Investment studies
Labor studies and reports

Included is related correspondence and other data.

Note: Machine-readable records related to Items IV B ~~16~~ thru IV B ~~88~~ are disposable as working papers or duplicates of disposable textual records, under General Records Schedule 20.

9. Conrail Loan Agreement Records

Notices of Applications, Borrowing Applications, Loan Agreement Notes, Proofs of Claims and related records pertaining to the transfer of monies to and from Conrail as provided for in Section 211(h) of the Regional Rail Reorganization Act.

Destroy six years after completion of transactions.

Description of Records

Authorized Disposition

Unless indicated otherwise the disposition instructions for all files listed is as follows:
Destroy one year after all litigation is completed.

1. Bechtel Rail Study Files

Correspondence, reports, photographs, and all other records produced under contract by Bechtel Corporation and six associate companies in the course of an extensive inventory of rail facilities and operations of all Northeastern U.S. railroads specified in P.L. 93-236. The general scope of the contract work was defined as ... "performing a general inventory of the installed fixed plant of the affected railroads, determining the general condition of this plant, identifying the necessary rehabilitation work and materials to bring up to a specified condition, and estimating the costs for such rehabilitation consistent with Federal Railroad Administration (FRA) standards, safety, and good railroad engineering practice. In addition, the work includes a de facto general review of the accuracy of the existing railroad records. The scope also includes the conversion of certain key facility description information and condition assessment data into an easily retrievable information file for use by others in further planning for the upgrading and disposition of railroad property and facilities". Finding aids and an index accompany the records. 600 cu. ft.

Description of Records

Authorized Disposition

a.) Machine-readable records. Bechtel produced (1974) computerized sample of the Bechtel paper files used extensively in the litigation from 1974-81. Less than 1 cu. ft.

Original input files: Permanent. Offer to NARS upon approval of this schedule.

b.) Still photographs. Slides taken at each sampling station. Consist of close-up, medium, and long-shots of rails, switches, mileposts, bridges, tunnels, crossings, and other items to illustrate the physical condition of this equipment. Arranged geographically by a coding system tied into specific rail lines. 15,000-20,000 items.

Destroy one year after all litigation is completed.

c.) Textual records.

(see following page for description)

~~Destroy one year after all litigation is completed.~~

2. Light Density Studies

Studies with statistics providing analysis of rail traffic for various lines. If traffic is insufficient lines are recommended for abandonment. Related machine-readable files containing information duplicated in textual records are also disposable with paper records.

Destroy USRA Depository paper records that have been microfilmed after microfilm has been determined to be adequate substitute for original records. Destroy microfilm 1 year after termination of all litigation.

3. Yard Office Survey Records

Documentation consisting of simulation runs, simulation models and train models and related data. Computers were used as a processing medium to assist in the production of paper records.

Destroy paper records that have been microfilmed after microfilm has been determined to be adequate substitute for original records. Destroy microfilm 1 year after termination of all litigation.

c. Bechtel Textual Records

1) Records other than final or other reports and procedures manuals

Includes copies of track charts, yard and terminal diagrams, electrical diagrams, clearance diagrams, bridge lists, bridge inspection reports, aperture cards, key punch cards, field notes, interview notes, field forms, calculation sheets, interlocking and signal diagrams, computer printouts, cost estimates and rehabilitation work statements, and other similar materials. Contractors recorded approx. 23,000 field samples, each sample consisting of from 1 to ca. 100 measurements, observations, or items of data. Records were placed in packages of information known as "Deliverable Items," of which there are some 700,000 individual items. For work rehabilitation purposes the railroad system was divided into 250 "operational segments," keyed into a master system map showing location of each such segment. Data is arranged generally by operational segment, thereunder by line code, thereunder by milepost order (or milepost order by facility (e.g., track)) where appropriate. Arrangement of information is described in project procedures manuals.

Destroy all records one year after all litigation is completed. Records may be donated to appropriate institution if in accordance with FPMR 101-11.406-9c.

2) One set of all final reports, procedures manuals, and reports generated as result of the Bechtel project.

See Item II3a for disposition.

Description of Records

Authorized Disposition

4. General Operation Data File

Reports, correspondence and other records accumulated in formulating the Preliminary and Final System Plans. Including traffic reports, commodity survey reports, interchange analysis, classification manuals, yard classifications and various facilities and railroad statistics. Machine-readable files included in this item were obtained from other (Federal) agencies and did not become part of the plans.

Destroy paper records that have been micro-filmed after microfilm has been determined to be adequate substitute for original records. Destroy microfilm 1 year after termination of all litigation.

a.) Published System Maps. Maps published by USRA for inclusion in its Final System Plan. These include state outline maps for 16 states showing the generalized location of rail lines within the state, and U.S. outline maps with rail lines printed in color.

Permanent.¹⁾ Offer 1 record set to NARS immediately upon approval of this schedule.
2) Destroy all other copies in agency when no longer needed.

5. Conveyance Files

Files containing deeds, equipment leases, conditional sales agreements with related correspondence concerning conveyance of various estates to Conrail.

Destroy 1 year after all litigation is completed.

6. Section 215 Files

Copies of installment payment agreements and related records pertaining to the rehabilitation (modification and improvement) of rail properties by railroads using money advanced by USRA under Section 215 of the Regional Rail Reorganization Act of 1973.

Destroy paper records that have been micro-filmed after microfilm has been determined to be adequate substitute for original records. Destroy microfilm 1 year after termination of all litigation.

7. Net Liquidation Value (NLV) Files

Files accumulated in the preparation of the "Green Book" Valuation Reports of Properties Subject to the Regional Rail Reorganization Act of 1973. See Part II Item 3 for disposition instructions on the "Green Book" itself.

a) Destroy paper records that have been micro-filmed after microfilm has been determined to be adequate substitute for original records.
b) Destroy microfilm 1 year after termination of all litigation.

Description of Records

Authorized Disposition

8. Consultant Reports to USRA

Reports prepared for USRA by outside consultants specifically for use in preparing the Preliminary and Final Systems Plans and all subsequent USRA planning and evaluation reports.

See Part II, Item 3 for disposition instructions.

9. Financial Forecasts Files

Computer run ons and worksheets on financial forecasts used in Final System Plan version of Conrail. Financial bases data are software dependent and contain sufficient technical problems to render impossible meaningful retrospective analysis.

Destroy 1 year after all litigation is completed.

10. Transcripts and tapes of interviews with railroad industry and U.S. Government officials.

In writing USRA's administrative history, The Great Railway Crisis, in 1976-7, representatives of the National Academy of Public Administration interviewed about 100 Government officials, USRA leaders, and railroad industry officials. Each interview lasted at least 1 hour; some individuals were interviewed several times. Interviewees included former and current Secretaries of Transportation; President of the Association of American Railroads; USRA Board members; Chairman, Union Pacific Railroad; a lobbyist for rail unions; President, United Transportation Union; Chairman, Senate Subcommittee on Surface Transportation; Federal Railroad Administrator; Director, OMB; Chairman, USRA Board; Special Court judges; Chairman, Chessie ~~System~~ ^{System}, and the Governor of Pennsylvania. Not all transcripts have tapes. Arranged alphabetically by name of interviewee. 4 cu.ft. total; no additional accumulation. (NOTE: Since USRA has asked, per letter dated 10/14/81, that the records be restricted from public use for 5 years after receipt by NARS, we have arranged ^(in USRA custody) for the transcripts to be placed in the Washington National Records Center immediately upon approval of this schedule, and remain there for 5 years; thus, when records are accessioned by the National Archives 5 years from now, there will be NO restrictions on their use by the public. A copy of the letter is in the official job folder for this SF 115.)

a. Transcripts: PERMANENT. Transfer to WNRC upon approval of this SF 115. Offer to NARS 5 years after retirement to WNRC.

b. Tapes: Destroy in agency upon approval of this SF 115.