

(See Instructions on Reverse)

NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

TO: GENERAL SERVICES ADMINISTRATION,

U.S. Department of Agriculture

Office of Transportation (OT)

Washington, DC (All Divisions)

4. NAME OF PERSON WITH WHOM TO CONFER

1. FROM (AGENCY OR ESTABLISHMENT)

Roland M. Colbert 6. CERTIFICATE OF AGENCY REPRESENTATIVE:

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

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DATE RECEIVED

JOB NO

2-25-81

NC1-13681-

NOTIFICATION	TO ACENICY
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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.

5. TEL. EXT. 447-7965

8. DESCRIPTION OF ITEM 10. SAMPLE OR (With Inclusive Dates or Retention Periods) ITEM NO. ACTION TAKEN JOB NO. The Office of Transportation (OT) represents the Secretary with Federal-State groups or agencies, and the interests of agricultural and rural communities in the United States in order to insure the availability of an adequate, efficient and economical transportation system, domestically and internationally. Provides technical assistance and information on transportation and distribution matters to producers, producer groups, shippers and rural communities. Develops economic impact analyses on agricultural and rural area transportation problems and issues. Administers a program of short-term economic research and transport technological research and development, including demonstrations to improve both the national and international transportation systems for agricultural and food products. This schedule covers the following major organizational units in OT: Office of the Director Transportation Services Division Research and Economic Analysis Division

TNR, NNH, NNV,

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I beceby 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 __ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

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This comprehensive record disposition schedule supersedes all previously approved record schedules for the Office of Transportation insofar as they apply to programs existing in OT. The schedules referred to are: NC1 136 79 1 NC1 166 78 1 NC1 354 78 1 The Agricultural Marketing Service (AMS) provides administrative and management support activities for the Office of Transportation (OT), USDA. This includes administrative, finance, information, personnel and technical services and other management support functions as required by OT. OT RECORDS COVERED BY THE GENERAL RECORDS SCHEDULE (GRS) OF THE GENERAL SERVICES ADMINISTRATION (GSA) ARE DISPOSABLE BY THAT SCHEDULE WITHOUT FURTHER AUTHORIZATION. NOTE: All files are to be broken down annually by fiscal year. This is called a file break. The disposal of records is determined from the year of the file break. Screen and destroy obsolete material.	9. SAMPLE OR JOB NO. ACTION TAKEN	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	7. ITEM NO.	
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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.	General Administrative Records, unless specifically listed elsewhere in this schedule, records pertaining to management functions such as procurement of supplies, equipment, and services, property accountability, budgeting, payrolling, obligation and other accounting, travel, transportation of things, personnel management, communication activities, records management, space, information, automated data processing, etc., will be disposed of as follows:		
	a. See General Records Schedules 1 - 22 for disposal authority.		
	b. Records described above which cannot be removed from active files during regular file breaks because they pertain to ongoing, unsettled matters.		
	Remove from file when matter is settled, terminated, closed, or consummated. Destroy 5 years after end of fiscal year material is removed from file.		
	c. Correspondence and reports concerning repetitive or individual routine transactions and matters, legislative reporting, activity reports, housekeeping, and purely facilitative functions not covered by other schedules.		
	Destroy when 3 years old.		
	d. Working papers and drafts of correspondence and reports as described above.		
	Destroy when 1 year old.		
	e. General Administrative Correspondence - duplicated or information copy.	!	
	All offices destroy when 1 year old or when no longer needed for administrative use.	:	

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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
2.	Director's Correspondence Subject File Arranged chronologically.		
	Memoranda, correspondence, reports and other records pertaining to the establishment, planning and development of OT programs such as: the development of OT programs; coordinated national agricultural transportation policy; monitoring the performance of the rail system; bankruptcy proceedings of rail-road companies as they affect the agricultural community; transportation of cattle and beef for marketing; and transportation problems experienced by growers. Includes controlled or jacketed correspondence and substantive program interagency correspondence which are signed by the Secretary, Assistant Secretary, Director, Deputy Director, and/or Division Chiefs. These are not filed in a case file.		
	These files contain the yellow copy, are maintained in the originating office, and may be filed at the division and/or branch level.	·	
	 a. Record Copy PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 15 years old. b. Other Copies Destroy when 3 years old or when no longer needed for administrative use. 		6"/yr.
3.	Director's Reading File File chronologically.		
	Correspondence, memoranda and related material signed or originated by the Director and Director's office staff. PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 5 years old.		6"/yr.

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4.	Lectures and Speeches		
	File chronologically.		
	a. Lectures and speeches for the OT Director and Assistants which pertain to major OT programs and/or operations.		
	(1) Record Copy		
	PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 10 years old.		l"/yr.
	(2) Other Copies		
	Destroy when 1 year old.		
	b. All other lectures and speeches written by OT personnel which do not pertain to major OT programs and operations.		
	Destroy when 3 years old.		
5.	Committee Meetings		
	Case filed by name of committee.		
	a. Agendas, minutes, public hearings transcripts, final reports, and recommendations of advisory committees, conferences, associations, task forces, and meetings with other Federal agencies, and other meetings (other than staff meetings) chaired by OT top-level employees.		
	(1) Record Copy		
	PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old.		2 cu.ft./y
	(2) Other Copies		
	Destroy when 3 years old.		
	b. Minutes of association/committee meetings not chaired by OT top-level employees.		
	Destroy when 3 years old.		

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6.	Staff Meetings		
	Filed chronologically.		
	a. Agenda, minutes, and Transportation Updates, with supporting papers of the Director's staff meetings relating to substantive functions of the Agency.		
•	(1) Record Copy		
	PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 10 years old.		1/2"/yr.
	(2) Other Copies		
	Destroy when 3 years old.		
	b. Minutes of staff meetings below the Director's level.		
	Destroy when 3 years old.		
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7.	Publicity and Information Records		
	Arranged numerically by series number.		
	a. Information Publications supplied to individuals or institutions outside the Agency. Includes fact sheets, pamphlets and booklets (excluding Departmental publication series) explaining the functions of the Agency or various aspects of the Office of Transportation; and published reports and studies reflecting major Agency operations.		
	(1) Excluding publications which are printed by the Government Printing Office (GPO) and private contractors listed in the GPO monthly catalog.		
	PERMANENT. (a) Transfer to FARC when 3 years old. Offer to Archives when 25 years old. This material may be microfilmed in accordance with the provisions of FPMR 101.011.5; and (b) the paper records destroyed after the microfilm copies have been reviewed and found acceptable.		5"/yr.

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7. (cont'd)	NOTE: If microfilmed or microfiched, offer Archives		
(cont u)	(1) master silver halide negative of each publication.		
	(2) a duplicate negative of (1) from which to reproduce copies as needed.		
	(3) a diazo copy of each for reference purposes.		
	(2) Other Publications - including publications printed by the GPO or private contractors listed in the GPO monthly catalog.		
	Destroy when 5 years old.		
	b. Source records used to gather and compile publications described in item 7a, including weekly, monthly, statistical data, monthly published data, and engineering drawings.		
	Destroy 3 years after date of publication.		
	c. <u>Press Releases</u>		
	All Offices - destroy when 3 years old.		}
	NOTE: The press release record copies are maintained in the Office of Governmental and Public Affairs at the Department level.		
8.	Audiovisuals		
	a. Black and white print file including 8 X 10 and smaller prints made from negatives produced by the research staff of the Transportation and Packaging Research Branch. Arranged numerically.		
	(1) Record Copy		
	PERMANENT. Break file every 10 years and offer to NARS 10 years after file break.		
	(2) Other Copies		
	Destroy when 2 years old or when no longer needed for administrative use.		

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8. (cont'd)	b. 35mm negative file of color and black and white photographs produced by the OT research staff. Arranged numerically.		
	(1) Record Copy		
	PERMANENT. Break file every 10 years and offer to NARS 10 years after file break.		
	(2) Other Copies		
	Destroy when 2 years old or when no longer needed for administrative use.		
	c. Color photography file including 8 X 10 and smaller prints and slides made from negatives produced by the OT research staff. Arranged numerically.		
	(1) Record Copy		
	PERMANENT. Break file every 10 years and offer to NARS 10 years after file break.		
	(2) Other Copies		
	Destroy when 2 years old or when no longer needed for administrative use.		
9.	Audits and Investigations		
	Reports and essential background material of all routine audits and investigations pertaining to OT's operations. These audits include those done by the Office of the Inspector General, the General Accounting Office, and contracting Certified Public Accountants (CPA).		
ļ	a. Destroy when 3 years old or 6 months after the next audit, whichever is sooner.		
	b. For claims and litigation, destroy 3 years after settlement, or sooner, if not needed.		

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10.	Budget Policy Files Records documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for Agency programs.		
	a. Record Copy Destroy when 6 years old.		
	b. Other Copies Destroy when 3 years old.		
11.	Budget Estimates The record copy of budget estimates and justifications prepared or consolidated in formally organized budget offices at the Agency level. Included are appropriation language sheets, narrative statements, and related schedules and data.		
	a. Record Copy Transfer to FARC when 5 years old. Destroy when 25 years old.		
	b. Other Copies Destroy when 3 years old.		
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12.	Coop Agreements		
	Filed by State and thereunder by number of program.		
	Agreements and memorandums of understanding (including related records) with other Federal agencies, State and local agencies, and other agencies or persons.		
	a. Record Copy		
	PERMANENT. Transfer to FARC 5 years after termination of agreement. Offer to Archives when 25 years old.		1/2"/yr
	b. Other Copies		
	Destroy 3 years after termination of agreement.		
13.	Dockets		
	Case files including OT dockets submitted for publication in the <u>Federal Register</u> and related material.		
	a. Docket cases which contain material essential to the documentation of program formulation and/or major operations which are not substantially covered by the docket itself. These files include the Agency copy with the Office of the General . Counsel approval.		
	Transfer to FARC when 3 years old. Destroy when 20 years old.		
	b. Divisional copies of dockets, background material, and public commentary (other than described in item 13a). These may or may not result in Administrative proceedings.		
	Break from file at end of fiscal year in which rule is finalized. Destroy 10 years after rule is finalized.		

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14.	<u>Legislation</u>		
	Records pertaining to the formulation and revision of program planning to include any significant case files or other documents of a precedent nature, including summary of comments and copies of legislative reports or history regarding any proposed legislation, legal opinions, decisions, laws, regulations, and orders.		
	Transfer to FARC when 15 years old. Destroy when 25 years old.		
15.	Organizational Records		
	a. Official organization charts, narrative histories, mission statements and related records which document the organization and functions of the agency.		
i	NOTE: Record copy maintained by Personnel Division.		
	(1) Record Copy		
	PERMANENT. Transfer to FARC 10 years after revised. Offer to Archives when 25 years old.		1/2"/yr.
	(2) Other Copies		
	Destroy when superseded or obsolete.		
	b. Other correspondence regarding organization, reorganization, transfer of functions, working papers, etc.		
	Transfer to FARC when 5 years old. Destroy when 10 years old.		

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16.	Work Accomplishment and Annual Reports		
	File chronologically.		
	a. Annual or equivalent periodic reports and special reports showing major operations, or describing work progress and accomplishments at the organizational level above division level.		
	(1) Record Copy		
	PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 25 years old.		1"/yr.
	(2) Other Copies		
	Destroy when 3 years old.		
	b. Narrative or statistical work accomplishment reports used to prepare the budget. Some are summarized in departmental publications.		
	Destroy when 3 years old.		
	c. Division Level and Lower, Monthly Report, etc.		
·	Destroy when 3 years old.		
17.	Directives		
	Filed numerically by directive number.		
	Records created or accumulated in directing and coordinating agency-wide administrative policy procedures and issuances for OT. Includes a set of instructions, handbooks, notices, monthly check-lists and all revisions thereof showing basic procedures, and a copy of each periodic issuance		

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17. (cont'd)	of 1) Subject Index of Instructions; and 2) Table of Contents, etc.		
	(a) <u>Record Copy</u>		111 /
·	PERMANENT. Transfer to FARC when revised or superseded. Offer to Archives 10 years after revised or superseded.		1"/yr.
	(b) Other Copies - (such as reference copies, three ring binder copies, etc.)		
	- Destroy when superseded or obsolete.		į
	NOTE:		
	Administrative Directives for OT are maintained by the Agricultural Marketing Service/Administrative Services Division.		
18.	Delegations of Authority		
	Temporary		
	Includes authority to represent OT at hearings, court proceedings, and delegation to sign official documents or act in official capacity, etc.		
	a. Record Copy		
	Destroy 5 years following end of fiscal year in which authority was given or when superseded or obsolete.		
	b. Other Copies		
	Destroy when superseded or obsolete.		
	NOTE:		
	Other official delegations are issued in Agency or Division instructions.		

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	Transportation Services Division Items 19 through 26		
	The Transportation Services Division, Office of Transportation (OT), assists in developing adequate transportation facilities and equitable transportation rates and services. Represents farmers' interests in rate-making hearings before the Interstate Commerce Commission (ICC). Gives technical assistance to farmers rural communities, and exporters to solve both domestic and international transportation problems. Develops proposals, negotiates with carriers, and participates in regulatory proceedings before the ICC, the Federal Maritime Commission, and the Civil Aeronautics Board.		
19.	Correspondence Subject File		
	Arranged chronologically.		
	Memoranda, correspondence, reports, and other records pertaining to the establishment, planning and development of OT programs, such as: the transportation by pipeline of bulk commodities; problems of truckers in hauling agricultural commodities; railroads abandoning unprofitable lines; disruptions to the movement of grains due to strikes; requests from State Governors for rail rate relief from ICC due to drought; and proposals for establishing an overseas office for OT in the Far East. Includes controlled or jacketed correspondence and substantive program interagency correspondence which are signed by the Secretary, Assistant Secretary, Director, Deputy Director, and/or Division Chiefs. These are not filed in a case file.		
	These files contain the yellow copy, maintained in the originating office, and may be filed at the Branch and/or Division level.		
	a. Record Copy		
	PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 15 years old.		1/2 cu.ft.
	b. Other Copies		
	Destroy when 3 years old or when no longer		

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20.	Grain Transportation Situation Report		
	Weekly report, concerning the current grain transportation situation by railcars, barges, and trucks, includes transport problems, quantities involved and prices for the grain.		
	Destroy when 3 years old.		
21.	Interstate Commerce Commission Dockets		
	a. Formal case files on numbered dockets on which litigation results covering transportation rates, rules, regulations and service adjustments.		
	Transfer to FARC 3 years after case is closed. Destroy 10 years after case is closed.		
	b. Case files on proposed transportation rates, rules, regulations and service adjustments on which no litigation results.		
	Transfer to FARC 3 years after case is closed. Destroy 5 years after case is closed.		
	c. Other copies.		
	Destroy when 3 years old.		
22.	Far East Research Center Records		
	Records dealing with the proposal for a Far East Research Station in Hong Kong to assist U.S. exporters with their packaging and handling problems, and to gather transportation marketing information on products from competitive countries. Includes a survey of locations and functions.		
	a. Record Copy PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 10 years old.		1"/yr.
	b. Other Copies Destroy when 3 years old or when no longer needed for administrative use.		

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23.	Coalinga Port Project		
	Records concerning the establishment of an air cargo port in Coalinga, California. Includes published articles, general correspondence, congressional responses, and meeting agendas.		
	Destroy when the project is completed or when no longer needed for administrative use.		
24.	Lock and Dam 26 Project		
	Records concerning the repair or replacement of Lock and Dam 26 on the Mississippi River in Alton, Illinois. Includes correspondence from and responses to various organizations and companies concerning the Lock and Dam 26 issue and the fact that of the total volume of tonnage moved on the upper Mississippi, approximately one-half are agricultural products moving to world markets.		
	Destroy when 10 years old.		
25.	Drought and Disasters		
	Records and correspondence dealing with action on and requests for rate reductions to facilitate various States and/or counties struck by drought or some type of disaster.		
	Destroy when 5 years old.		
26.	Milwaukee Cooperative Port Elevator		
	Records concerning the feasibility of a cooperative port elevator in Milwaukee, Wisconsin. Includes cost analysis data comparing transportation rates for land and water modes, and handling costs for moving corn from Readlyn, Iowa, to Rotterdam, Holland, either through Milwaukee and the Great Lakes, or through river elevators and New Orleans, Louisiana ports.		
	Destroy when 5 years old.		

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Tran econ liai grou and and and and and and and st. tive cost Incl subs sign Deput file Thes orig	nsportation (OT), develops short- and long-term nomic analyses of transport systems. Maintains ison with transport economic research agencies and ups. Conducts technological research, development, demonstration programs to improve both the national international transportation systems for agricultural food products. respondence Subject File		
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orig	oranda, correspondence, reports, and other records taining to the establishment, planning, and developt of OT programs, such as: impacts of grain pensions on domestic transportation; shipping alternates for moving Florida fruits and vegetables to eastern midwest markets; the necessity to keep open the Lawrence Seaway to increase grain exports; alternates to rail line abandonments; and the impact of fuel ts on consumers and farmers of selected products. ludes controlled or jacketed correspondence and stantive program interagency corespondence which are ned by the Secretary, Assistant Secretary, Director, uty Director, and/or Division Chiefs. These are not ed in a case file.		
i	se files contain the yellow copy maintained in the ginating office and may be filed at the Branch /or Division level.		
	a. Record Copy		
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Records reflecting a complete history of each project from initiation through research, development, design, and testing, to completion. They include (when created by 07 personnel or received from contractors), procurement files consisting of a copy of each contract or agreement for research services with related modifications, changes, or addenda; project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered to be essential to document design, modifications, and engineering development; technical and progress reports; notice of completion or cancellation; reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and correspondence influencing the course of action taken on a project. Destroy when 10 years old or when no longer needed for administrative use. 29. Manuscripts and Abstracts Technical publications and presentations by 0T personnel (including those arising from contracts, grants, and cooperative arrangements) prepared and approved for publication in any medium. a. Reprint Master File. Full copies, tear sheets, photocopies, or reprints from professional, scientific, and trade journals, Department series, 0T numbered publications, local unnumbered publications, and books or separates from books, authored by 0T personnel. Arranged alphabetically by title. PERMANENT. Offer to Archives when no longer needed for current activities. b. Unpublished manuscripts abandoned or rejected, with illustrative material. Arranged alphabetically by author. PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 15 years old.	7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
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		with illustrative material. Arranged alphabetically		
				1/4"/yr.

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30.	Research Project Control Files		
	Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case files, and correspondence concerning such administrative matters as travel, conferences, consultation, and transmittal of documents.	GRS 19 #10	
	Destroy upon completion or cancellation of project, or earlier, as they serve their purpose.		
31.	Technical Research Report Files		
	a. An official file copy of each technical report or unpublished manuscript of report prepared in connection with a research project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.		
	Destroy when 25 years old or when no longer needed for current research, whichever is sooner.		
	NOTE:		
	Transfer to FARC is not authorized.		
	b. Research with long term administrative use.		
	Some research data may be needed for more than 25 years for current research. When they are 25 years old, these records will be screened and reviewed by competent research personnel so that a final determination may be made as to that data that must continue to be retained. Research data that will be retained beyond the normal retention of 25 years will be reviewed every 10 years thereafter and destroyed as soon as agency personnel have determined they no longer have value for current research.		

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32.	Architectural and Engineering Drawings		
	Intermediate and prefinal, final working, repair and alteration, contract and standard drawings, project specifications, with documents relating to the preparation thereof.		
	a. Files selected for innovative and patentable significance.		
	PERMANENT. Offer to Archives when 25 years old.		
	b. Files not included under item 32a of this schedule.		
	Dispose of when no longer needed for administrative purposes.		
33.	Research Project Lists		
	Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by the Transportation and Packaging Research Branch.		
	Destroy when 5 years old.		
34.	Source Data Files	GRS 19	
	Punch cards, electronic tape used to collect and assemble statistical data on the temperature of foods in transport to determine if proper refrigeration is being used and if the refrigeration equipment is functioning properly.	# 5	
	Dispose of when determined by competent agency research personnel that the files have served all research purposes.		
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35.	Transportation Costing Analyses		
	Records include data on barge rates, unit train and multiple car rates, and truck rates for the purpose of rate cost comparisons of shipping, trucking, and railroad commodity movements in the United States to determine reasonableness of rates.		
	Destroy when 2 years old.		
36.	Energy - Fuel Costs and Shortages		
	Records dealing with the problems of increasing fuel costs and shortages on agricultural products and their impact on the consumer and farmer.		
	Destroy when 3 years old.		
37.	Rural Cooperative Demonstration Program		
	Records and correspondence used to determine if the establishment of rural transportation cooperatives, shippers associations, or other nonprofit organizations to provide transportation services in rural areas can help maintain these vital services for agriculture and rural development. Includes proposals from various State Governors for a rural transportation demonstration project in their State.		
	a. Record Copy		
ļ	PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 10 years old.		1"/yr.
	b. Other Copies		
	Destroy when 3 years old or when no longer needed for administrative use.		
38.	Farmers Home Loans		
	Records include reviewing comments to the Farmers Home Administration on applications for loans by States, committees, and shippers to purchase abandoned or bankrupt railroad branchlines.		
	Destroy when 3 years old.		