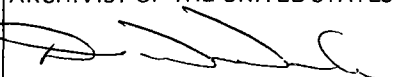



| | | | |
|---|--------------------------------------|--|---|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK | |
| TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408 | | JOB NO NI-13-88-1 | DATE RECEIVED Re-submitted February 22, 1989 |
| 1 FROM (Agency or establishment) NATIONAL MEDIATION BOARD | | NOTIFICATION TO AGENCY | |
| 2 MAJOR SUBDIVISION NATIONAL MEDIATION BOARD | | In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required. | |
| 3 MINOR SUBDIVISION | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER DONALD L. WEST | 5 TELEPHONE EXT 357 - 0466 | DATE 5/11/89 | ARCHIVIST OF THE UNITED STATES  |

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 _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

| | | |
|-------------------------|---|--------------------------------------|
| B DATE 2-6-89 | C SIGNATURE OF AGENCY REPRESENTATIVE  Charles R. Barnes | D TITLE Executive Director |
|-------------------------|---|--------------------------------------|

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARS USE ONLY) |
|-----------|--|----------------------------------|---------------------------------|
| | The National Mediation Board is an independent administrative agency established by the Railway Labor Act, as amended, 45 U.S.C. Sec. 151, et. seq., the law governing labor relations in the railroad and air transport industries. The principal duty of the NMB is to assist in the creation and maintenance of a sound mutual understanding between air and rail carriers and their employees covered by the Railway Labor Act (RLA). The purpose of the Act is to promote and maintain peace and order in those labor relations as a means of avoiding interruptions to interstate commerce. The Act imposes positive duties on carriers and employees alike, defines rights and makes provisions for their protection, prescribes methods of settling various types of disputes, and sets up agencies for adjusting differences. | | |

1. MEDIATION CASES (A CASES): The NMB, on request of either party to a dispute involving changes in rates of pay, rules, or working conditions, or in its own motion in case of emergency, is required to promptly put itself in communication with the parties to such controversy, and use its best efforts, by mediation, to bring them to agreement. When a dispute is settled through these efforts a mediation agreement is signed. The right side of the case file includes correspondence, applications to NMB for mediation, draft and final collective bargaining agreements, NMB closeout forms and other items. The left side of the case file includes mediator's reports and mediator working papers.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is closed; and transfer to National Archives 72 years after case is closed.

VOH: 285 cubic feet

EAA: 10 cubic feet

DATE SPAN: 1965 to present

ARRANGEMENT: Numerically by case number

2. REPRESENTATION CASES (R CASES): In selecting representatives to deal with the management, disputes often arise among employees as to what organization they desire to represent them. If such a dispute arises among employees, it is the duty of NMB, on request of either party, to investigate and to certify in writing to the parties and to the Carrier the names of the individuals or organizations that have been designated and authorized to represent the employees. In such an investigation the Board may take a secret ballot or utilize any other appropriate method as shall insure the choice of representative without interference, influence or coercion exercised by the Carrier. The right side of the case file includes correspondence, representation applications to NMB, parties' showing of interest, eligibility lists, hearing transcripts, exhibits, NMB findings and decisions, reports of election results, NMB closeout forms and other items. The left side includes investigator's reports and work papers.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is

closed; transfer to National Archives 72 years after case is closed.

VOH: 257 cubic feet
EAA: 10 cubic feet
DATE SPAN: 1965 to present
ARRANGEMENT: numerically by case number

3. AUTHORIZATIONS, BALLOTS, AND ATTESTS: collected by the NMB in the course of handling a representation case and not compellable under the Freedom of Information Act.

TEMPORARY: Cutoff when case is closed: Destroy six months after case is closed.

4. ADDRESS LISTS that contains the mailing address of employees involved in representation case. Often such addresses are provided to the NMB on mailing labels and disposed of through direct use.

TEMPORARY: Return to Carrier or destroy at the completion of election procedure.

5. INTERPRETATION CASES (INT): Under Section 5 second, of the RLA, the NMB has the duty of interpreting the specific terms of mediation agreements.

Files include: correspondence, background information, notices of hearings, transcripts of proceedings, exhibits, briefs, interpretations and other items.

TEMPORARY: Cutoff when case is closed; transfer to WNRC three years after case is closed; Destroy when newest case in accession is thirty years old.

6. INVESTIGATION FILES (C-FILES): The "C" number is given to both representation and mediation applications when it is not readily apparent that those applications should be docketed as an "A" or "R" Case. A large percentage of these cases are assigned to a representative of the NMB for an on-the-ground investigation to secure sufficient facts in order for the Board to decide whether the subject should be docketed or dismissed. A "C" designation is also given to Freedom of Information requests, as well as other matters.

For further identification of the subject matter at hand, the "C" File No. will have

another letter assigned to it. "CA" - Mediation; "CR" -Representation; "CI" - Interpretation; "CJ" - Jurisdiction; "CF" - Freedom of Information cases are covered under General Records Schedule No. 14. A "CA" case may become an "A" case; a "CR" case may become an "R" case or a "CI" case may become an "I" case if review indicates a conversion should be made. However, processing forms remain in any converted file, to indicate that a conversion has been made. CJ's and CF's are never similarly converted. Similar files in the Archives are designated as M cases.

Files include: correspondence, representation and mediation applications to NMB, mediator's reports, hearing transcripts, NMB findings and decisions, NMB closeout forms and other items.

TEMPORARY; Cutoff when case is closed; transfer to WNRC three years after case is closed; destroy when newest case in accession is thirty (30) years old.

7. M CASES: The Board has established new procedures for handling representation issues resulting from airline mergers, acquisitions or consolidations (Procedures 14-NMB-388). (These are not to be confused with M cases already at the Archives which are predecessor 'C' cases.)

Representation applications filed by incumbent organizations pursuant to Subpart B, paragraph 4 of the Procedures (14-NMB-388), will be assigned a file number in the MR-series. Carrier invocations of the Board's services pursuant to Subpart E, paragraph 1, will be assigned a file number in the MT-series. All other submissions under these procedures will be assigned a file number in the M-series. If review so indicates, some of these files may be converted to other case types. However, processing forms remain in any converted file, to indicate that a conversion has been made.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is closed and transfer to National Archives 72 years after case is closed.

VOH: 1 cubic foot
EAA: 1 cubic foot
DATE SPAN: 1987 to present
ARRANGEMENT; Numerically by case number

8. ARBITRATION BOARDS (ARB): Voluntary undertaking by the parties by which they agree to submit their differences to an impartial arbitrator for final and binding decision to resolve the controversy.

Files include: correspondence, certificate of appointment to arbitration boards, collective bargaining agreements and other background information, reports on activities of arbitrators, exhibits, transcripts of proceedings, arbitration opinions and awards, arbitration agreements and other items.

PERMANENT: Cutoff when case is closed; every third year transfer to WNRC files that have been closed for three years; transfer to National Archives in five year blocks when newest case in accession is thirty (30) years old.

VOH: 30 cubic feet
EAA: 1 cubic foot
DATE SPAN: 1965 to present
ARRANGEMENT: Numerically by case number.

9. ARBITRATION TASK FORCE: These cases handle arbitration for inter-divisional service issues only in the railroad industry but follow the same procedure of an arbitration case. They only involve one Union, United Transportation Union. This type of file has been discontinued. Files include: the same materials as Arbitration Boards.

TEMPORARY: Cutoff when case is closed; transfer to WNRC three years after case is closed; Destroy when newest case in accession is thirty years old.

10. EMERGENCY BOARD CASES: The NMB is the physical custodian of these records of the President created by Presidential Executive Order. Most such Boards are created by Executive Orders of the President. The NMB does not control these Boards, but sometimes provides administrative support and is the physical custodian of these records.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is

closed and transfer to National Archives 72 years after case is closed.

VOH: 53 cubic feet
EAA: 1 cubic foot
DATE SPAN: 1965 to present
ARRANGEMENT: Numerically by case number

11. CONGRESSIONAL BOARDS: In a few instances such Boards have been created by Congressional legislation and are known as Congressional Advisory Boards. The NMB does not control these Boards, but sometimes provides administrative support and is the physical custodian of these records.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is closed and transfer to National Archives 72 years after case is closed.

VOH: 2 cubic feet
EAA: 2 linear inches
DATE SPAN: 1986 to present
ARRANGEMENT; Numerically by case number

12. EMERGENCY (PROFFERED) CASES (E-CASES): The Board in November 1955 began to assign an "E" number to certain cases initiated when strike dates are set by labor organizations wherein the Boards' services have been proffered under the emergency provision of Section 5, First (b) of the Act. E-Cases are no longer set up by this agency.

Files include: correspondence, collective bargaining agreements and working papers, mediator's reports, background information, NMB closeout forms and other items.

PERMANENT: Cutoff when case is closed; transfer to WNRC three years after case is closed and transfer to National Archives 72 years after case is closed.

VOH: 11 cubic feet
EAA: None
DATE SPAN: 1955-1971
ARRANGEMENT: Numerically by case number.

13. TECHNICAL ASSISTANT CASES (TA): In 1976 the Board surveyed the needs and demands of both the railroad and airline industries and concluded that informal mediatory and technical service efforts should be provided to condition and improve the climate for formal negotiations.

The right side of the case file includes correspondence, collective bargaining agreements and other background information. NMB closeout forms and other items. The left side of the folder includes mediator's reports.

TEMPORARY: Cutoff when case is closed; every sixth year transfer to WNRC files that have been closed for three years or more; destroy when newest case in accession is thirty (30) years old.

14. SPECIAL GRIEVANCE FILES: These are grievance files dealing with a variety of specific subjects as listed below:
- Union Shop Cases
 - Amtrak Files' (Hodgson's Rail Protection Plan)
 - Conrail Files (Regional Rail Reorganization Act - 1973 - non-contract employees)
 - ICC Labor Protective Provisions
 - CAB Labor Protective Provisions
 - Airline System Boards (SBA)

TEMPORARY: Cutoff when case is closed; every third year transfer to WNRC files that have been closed for three years or more; destroy when newest case in accession is thirty (30) years old.

15. GENERAL GOVERNMENT CORRESPONDENCE: Correspondence received from and sent to Congressmen and other government officials. Arranged alphabetically by name.

TEMPORARY: Cutoff at end of fiscal year; destroy five years later.

16. GENERAL NON-GOVERNMENT CORRESPONDENCE GERMANE TO THE NMB: Correspondence not material to specific cases received and sent to individuals, who are not Congressmen and other government officials. Arranged alphabetically by name.

TEMPORARY: Cutoff at end of fiscal year; destroy five years later.

17. NON-GOVERNMENT CORRESPONDENCE NOT-MATERIAL TO THE NMB: Correspondence from public not material to the responsibilities and interest of the NMB under the Railway Labor Act as determined by the Executive Director.

TEMPORARY: Return to sender or destroy immediately.

18. READING FILE: Outgoing correspondence of all Board offices circulated every week to staff members and filed chronologically. Excludes outgoing messages.

TEMPORARY. Destroy when two (2) years old.

19. OUTGOING MESSAGES: These messages are sent out by TELEX and FAX by NMB. They are collected in chronological order for reference. These messages also are filed in various case files. This is merely a quick reference file that reveals certain messages went out.

TEMPORARY: Destroy when two (2) years old.

20. DISCONTINUED INDEX LISTING: These include index listings of cases by carrier and by union separately by railroads and airlines for A, R, and C cases. NONE of these indexes are currently maintained.

PERMANENT: Transfer to National Archives in 1995 or when reproductions have been made, whichever is sooner.

VOH: 2 cubic feet
EAA: 0 cubic feet
DATE SPAN: 1935 to 1974
ARRANGEMENT: Alphabetically

21. DUPLICATE COPY OF R CASE LISTINGS FOR THE 1970S: This listing includes case number, carrier, union, date-of-application, date-docketed and carrier location. The docketing and closeout listings are kept separately.

PERMANENT: Transfer to National Archives in 1995 or when reproductions have been made, whichever is sooner.

VOH: 2 linear inches
EAA: 0 cubic feet
DATE SPAN: 1970 to 1980
ARRANGEMENT: chronologically

22. PINK-SLIP INDEX FILE TO MEDIATION AND REPRESENTATION CASES: The pink copies of the case-processing form are filed in union order.

TEMPORARY: Destroy when case is closed.

23. WHITE-SLIP INDEX FILE TO MEDIATION AND REPRESENTATION CASES: The white copy of the processing form is filed in a file box by carrier when open.

When case is closed it is placed in the General Carrier Files (Item 27)

24. BEIGE-SLIP INDEX FILE TO MEDIATION AND REPRESENTATION CASES: The beige (card) copies of the case-processing form for open cases are filed in the Executive Director's office in order by region until closed. When case is closed the Beige Slip is filed numerically in a card file. (Item 38)

When closed, transfer to Disposition/Digest Volumes (Item 38).

25. INDEX LISTING BY CASE NUMBER: This listing includes case number, carrier, union, date-of-application, date-docketed and carrier location. These listings include both docketing and closings for C-cases; however, for R and A cases, the docketing and closeout listings are kept separately. The information from these sheets is used for preparing the case monthly report since the listing is for each month.

TEMPORARY: Destroy when superseded, obsolete, or no longer needed.

26. REFERENCE MATERIALS: These materials include reference material and copies of Memorandums written by Members of Research. The originals of most of these memorandums are in other NMB files.

TEMPORARY. Maintain file in office; purge periodically to remove materials that are not relevant to current work of agency.

27. GENERAL CARRIER FILES: Consists mainly of printed copies of labor agreements negotiated in railroad and airline industries, with or without the assistance of the Board. The railroad agreements are of two types, national agreements and local agreements. The latter are arranged alphabetically by carrier name, and within each carrier by craft or class. The airline collective bargaining agreements are arranged by craft

or class. There are also separate carrier folders for closing forms for the following categories of case files. R cases, A cases, C cases, Emergency Board cases, and Legal cases (Cases involving the NMB in Federal Courts). In addition, there is a carrier correspondence file.

TEMPORARY: Maintain file in office; purge periodically to remove materials that are not relevant to current work of agency.

28. OFFICIAL-USE-ONLY MANUALS: Record copy of manuals issued to mediators in the field documenting Board policy, rules and regulations, and procedures to be utilized by mediators handling cases. These exclude post-1972 representation manuals.

PERMANENT: Transfer to National Archives every ten (10) years all manuals and updates that are over seventy-two (72) years old.

VOH: 1 cubic foot
EAA: None
DATE SPAN: 1935 through 1972
ARRANGEMENT: By year.

29. REPRESENTATION MANUALS: Record copy of manuals issued to mediators in the field documenting Board policy, rules and regulations, and procedures to be utilized by mediators handling cases. These exclude pre-1973 manuals.

PERMANENT: Transfer to National Archives every ten (10) years all manuals and updates that are over ten (10) years old.

VOH: 1 cubic foot
EAA: 2 linear inches
DATE SPAN: 1973 to present
ARRANGEMENT: By year.

30. ORGANIZATIONS' CONSTITUTIONS AND BY-LAWS: Copies of labor organizations' Constitutions and By-Laws. These documents determine that the Organization is a bonafide labor organization and not a company union in accordance with the Board's obligation pursuant to 45 U.S.C. Sec. 152, Ninth.

TEMPORARY: Destroy when superseded, obsolete, or no longer needed.

31. SEMI-MONTHLY REPORT OF CASES DOCKETED:
Copies of semi-monthly reports detailing the essential information about mediation and representation cases docketed in that portion of the month. Arranged by time period and within the time period by case number. These reports are no longer produced.

TEMPORARY - Destroy immediately.

32. LEGAL CASES: Case files dealing with litigation in which the Board is involved or has an interest. Files include pleadings, briefs, correspondence, court decisions, and other record items. Arranged chronologically by NMB case number.

TEMPORARY: Maintain in office and destroy when no longer needed.

33. SUBJECT FILES OF GENERAL COUNSEL: Includes reference material, and correspondence of General Counsel with various parties arranged alphabetically.

TEMPORARY: maintain file in office; purge periodically to remove material that is not relevant to current work at Agency.

34. BOARD MINUTES: Minutes of the meetings of the National Mediation Board.

PERMANENT: Transfer to National Archives in 1995 or when reproductions have been made, whichever is sooner.

VOH: 4 cubic feet
EAA: 1 linear inch
DATE SPAN: 7/1/34 - Present
ARRANGEMENT: By year.

35. RECORDS RELATING TO LEGISLATION PROPOSED:
Includes clearances and comments, internal memoranda, and copy of proposed bills.

TEMPORARY: Destroy when no longer needed.

36. LEGISLATIVE HISTORY: Copies of published legislation, executive orders, reports and issuances that are organized in a manner that illustrates government regulation of labor-management relations in the railroad and airline industries from 1910 to present.

The major categories are as follows:

U. S. Railroad Administration
Transportation Act of 1920
Railway Labor Act of 1926 and
Amendments
National War Labor Board
Federal Control of Railroads

PERMANENT: Transfer in 1995 or when reproductions have been made, whichever is sooner.

VOH: 6 cubic feet
EAA: 0 cubic feet
DATE SPAN: 1913 to present
ARRANGEMENT: by year

37. POLICY LETTER VOLUMES: These volumes contain specific policy letters which are filed in black standard size binders. The policy letters reflect the position of the Board as to the adjustment of employee and labor-management disputes within the railroad and airline industries. As of 1971, these policy letters were included in the volumes of determinations of the NMB instead of in Policy Letter Volumes.

PERMANENT: Transfer to National Archives every ten years all volumes that are over thirty years old.

VOH: 1 cubic foot
EAA: 0 cubic feet
DATE SPAN: 1934 to 1976
ARRANGEMENT: By date in black standard binders.

38. DISPOSITION/DIGEST VOLUMES ARRANGED BY DATE OR NUMERICALLY:

A-cases

Volumes of Digests from 1935 to 6-30-66. Cards containing information about closeouts from 2-1-66 to present.

R-cases

Volumes of Dispositions from 1935 to 6-30-66. Cards containing information about closeouts from 2-1-66 to present.

Arbitration Awards

Volumes of Awards from 1935 to present.

Task Force Arbitrations

Volumes of Awards from 1972-1985 (These were merged with Arbitration Awards in 1985.)

Emergency Board Reports

Volumes of Reports from 1934.
Listing of Reports from 1934.

Panel Emergency Board Reports

Volumes of Reports covering 1942-1947.
Listing of Reports covering 1942-1947.

TEMPORARY: Maintain in office and destroy when no longer needed.

39. APPOINTMENT LISTINGS:

Amtrak Appointments (from 1971)
Conrail Appointments (from 1977)
Special Boards of Adjustment (from 1949)
Emergency Board Reports (from 1934)
Union Shop Appointments (from 1951)
System Boards of Adjustment (from 1935)
Panel Emergency Boards (1942-1947)
Public Law Board Appointments (from 1966)
Civil Aeronautics Board (CAB) Appointments
(from 1961)
ICC Appointments (from 1950)

TEMPORARY: Maintain in office and destroy when no longer needed.

40. DETERMINATIONS BY CRAFT AND CLASS: Two sets of NMB determinations, one for railroad cases and the other for airline cases. These are used mainly for research and are the same documents as the published volumes.

TEMPORARY: Maintain in office and destroy when no longer needed.

41. UNPUBLISHED FINDINGS: Reference copies of reports of various Fact Finding Boards which are not binding on the parties. They may come from Public Laws in which Congress gives the NMB limited jurisdiction. Most of the reports result from Mediation Cases (A Cases).

TEMPORARY: Maintain in office and destroy when no longer needed.

42. PUBLISHED VOLUMES OF DETERMINATIONS OF THE NATIONAL MEDIATION BOARD: The first six volumes were published at irregular times.

Beginning with Volume 6, the Determinations were issued annually.

PERMANENT: Transfer to WNRC every ten years the record copy of all volumes that are over ten (10) years old.

VOH: 3 cubic feet
EAA: 4 linear inches
DATE SPAN: 1934 to Present
ARRANGEMENT: Chronologically by date.

43. ANNUAL REPORTS: Record copy of the published Annual Reports which provide narrative information on the programs, policies and functions of the NMB, summaries of significant events, and statistical summaries relating to case load and types of cases.

PERMANENT: Transfer to National Archives every ten years all annual reports that are over ten years old.

VOH: 3 cubic feet
EAA: 2 linear inches
DATE SPAN: 1934 to present
ARRANGEMENT: Chronologically by year.

44. SPECIAL PUBLICATIONS: Such as "Railway Labor Act at Fifty", "Railway Labor Act -NMB August 1940", " Fifteen Years Under Railway Labor Act - NMB 1934-1940", "Twenty Years Under Railway Labor Act - NMB 1934-1954", "Administration of the Railway Labor Act by the NMB 1934-1970", and "NMB at 50".

PERMANENT: Transfer to National Archives every ten (10) years the record copy of all special publications that are over ten years old.

VOH: 1 cubic foot
EAA: 2 linear inches
DATE SPAN: 1934 to present
ARRANGEMENT: By year.

45. NMB RELEASES: The most significant documents in the releases are a copy of each NMB News Release relating to status reports on disputes settlements pending mediation of significant strikes, appointments and other events relating to NMB programs or cases. Also are NMB documents intended only for internal dissemination such as the NMB News Letters for employees. Beginning in 1968 a

sequential numbering system was assigned to each NMB News Release.

PERMANENT: Transfer to National Archives every ten years all press releases more than twenty (20) years old.

VOH: 2 linear feet
EAA: 2 linear inches
DATE SPAN: 1934 to present
ARRANGEMENT: chronological

46. SPEECHES OF THE BOARD MEMBERS AND EXECUTIVE DIRECTOR: Record copy of each speech delivered by Board Members or the Executive Director to labor organizations, conferences, management representatives, and other groups, relating to the RLA, collective bargaining mediation, arbitration and the NMB. Arranged by speaker's name, organization spoken to, and date.

PERMANENT: Transfer to WNRC when Member resigns or is replaced; offer to NARS in five year blocks when 20 years old.

VOH: 1 cubic foot
EAA: 2 linear inches
DATE SPAN: 1969 to present
ARRANGEMENT: speaker

47. BIOGRAPHICAL MATERIAL ON INACTIVE REFEREES - (Government Contractors): These are referees or neutrals that make application to the Board to serve on various panels. A copy of each panel is put in their folder.

TEMPORARY: Destroy after 5 years.

ARRANGEMENT: Alphabetically by Name.