

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-134-99-2</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>5-12-99</i>	
1. FROM (Agency or establishment) DOT/ Surface Transportation Board		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Office of the Secretary			
3. MINOR SUBDIVISION Public Records Section			
4. NAME OF PERSON WITH WHOM TO CONFER Edward C. Fernandez	5. TELEPHONE (202) 565-1655	DATE <i>7-6-99</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ___ 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, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 05/12/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Edward C. Fernandez</i>	TITLE RECORDS OFFICER	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Records of the Interstate Commerce Commission (Record Group 134) This schedule provides disposition authority for Interstate Commerce Commission records that are located at the Surface Transportation Board and stored at WNRC. SEE ATTACHED PAGES		

8/18/99 Copies to NWMD, NWMC, NR Agency

Record Group 134: Interstate Commerce Commission

1. Public Dockets, General Finance Dockets (FD)

These dockets consist of applications and subsequent proceedings that concern the issuance of securities by rail carriers and persons holding positions as officers or directors of more than one rail carrier. These dockets also relate to reorganization plans, appointments of trustees, proxy authorizations, and deposit agreements filed under the Uniform Bankruptcy Act, the guarantee by the Commission of loans granted by lending institutions to railroads, the extension of railroad lines or the abandonment of lines and services, and modifications of a railroad's financial status to make the investment in securities safe. An important subject matter of the dockets is the documentation of proceedings for the discontinuance of operations or services by interstate railroads. Other Finance Dockets concern railroad pooling or division of traffic, the purchase, control, merger, lease, or consolidation of operating rights by railroads. The dockets include applications or petitions by railroad company, decisions and orders of the commission, briefs, testimony, exhibits which include maps, charts, and photographs, loan applications and agreements, mortgages, contracts, and leases.

The Finance Dockets contain detailed information concerning the organization, functions, and operations of railroad companies. The authority issued, where applicable, in the form of certificates, licenses, or permits, describes the extent of routes, stops, and jurisdictions, and the types of property to be transported. These dockets extensively detail the financial history of individual railroads from 1920-1995, particularly information concerning the railroad itself. Much of the research interest in records relating to railroads involves a search for information concerning the property, activities and operations of the individual railroad companies. Since many of these railroad companies have gone out of business, many of their records are lost to history. Consequently, there have been a significant amount of research requests for Finance Dockets. Also, despite the fact that the commission decision and order of some of the most important Finance Dockets have been published in the ICC Reports, there is much documentation that is useful for researchers in the applications and briefs and particularly in the exhibits. In addition, NARA has custody of Finance Dockets #1-1000, dating 1920. The Finance Dockets currently in the WNRC are an accretion to this series.

Disposition: PERMANENT. Transfer to NARA immediately upon acceptance of this schedule.

2. Public Dockets, Abandonment Dockets (AB)

These records are the official docket files of applications for certificates of public convenience and necessity authorizing the abandonment of a line or railroad or the operation thereof filed according to the provisions of the Interstate Commerce Act and decided by the Interstate Commerce Commission. Rail abandonment cases were included with the Finance Dockets until 1972 when an ICC ruling separated the rail abandonment cases and resulted in the filing of these formal proceedings under the AB prefix. These case files include significant documents such as the application or petition of the railroad company for abandonment, the protests against abandonment, briefs, the notice and order of the commission, testimony, and exhibits which include maps, charts, and photographs.

The Abandonment Dockets are not only an important source of information concerning the financial history of the railroad, but also serve to illustrate the social and economic history of the local area affected by the proposed abandonment. The decline in railroad track mileage since 1920 has been an important facet of U.S. transportation history and has been the subject of research interest among historians interested in transportation and railroad history.

Disposition: PERMANENT. Transfer to NARA immediately upon acceptance of this schedule.

Items #1-2 supercede the temporary disposition schedule for the Finance Dockets and the Abandonment Dockets in N1-134-83-1-2.

3. Public Dockets, Indexes for Finance Dockets (FD) and Abandonment Dockets (AB)

These indexes consist of 3x5 card indexes for the Finance Dockets and the Abandonment Dockets. The indexes include both numerical and alphabetical indexes for each type of docket. Generally, the alphabetical index is alphabetical by subject or name of railroad company. These indexes are currently in the custody of the Surface Transportation Board.

These are the only complete indexes available for the Finance Dockets and Abandonment Dockets. Only some of the most significant dockets are published in the ICC Reports which includes an index. The alphabetical indexes are particularly useful. In order to provide adequate reference service on the Finance and Abandonment Dockets, given the anticipated reference demand, it is imperative that these indexes be accessioned into NARA. The numerical and alphabetical indexes to the Valuation Dockets are already in NARA custody.

Disposition: PERMANENT. Transfer to NARA when no longer needed by the Surface Transportation Board.