

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20409

JOB NO

NC 1 184 77 4

1. FROM (AGENCY OR ESTABLISHMENT)
Interstate Commerce Commission

DATE RECEIVED
18 FEB 1977

2. MAJOR SUBDIVISION

NOTIFICATION TO AGENCY

3. MINOR SUBDIVISION

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the disposal request including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL EXT

Carroll Stearns

275-7696

Withdrawn

Date 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 7 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 12/9/76	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert Oswald</i>	E. TITLE Secretary
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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
	<p align="center"><u>OFFICE OF PROCEEDINGS</u></p> <p>The Office of Proceedings processes all formal and certain informal proceedings arising or initiated under the provisions of the Interstate Commerce Act dealing with the activities of rail, motor, and water carriers, brokers, and freight forwarders. The Office advises and counsels the Commission on proceedings matters coming before it; examines applications for operating rights and prepares certificates, permits, and licenses specifying permanent grants of authorities approved by the Commission; and reissues, vacates, or amends such authorities after action by the Commission. The Office also prepares, reviews, and evaluates environmental data relating to actions submitted to or initiated by the Commission and develops environmental threshold and impact statements.</p> <p>This schedule supersedes the old schedule for the Bureau of Operating Rights, NN-163-170, dated 7-30-63.</p>		<p align="center"><i>WITHDRAWN</i></p> <p align="right"><i>20 items</i></p>

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Items 1-6, 7, 10, and 11 in Schedule NN-163-170 were deleted because they are covered in the Commission General Schedule, NN-169-103, dated 4-18-69.

Items in the new schedule which appear in other schedules are cross-referenced.

SECTION OF CASE CONTROL AND INFORMATION

This section supports the substantive case processing sections within the Office by maintaining management information on the status of proceedings, documenting proceedings in various forms, and performing various duties associated with such case processing. Generally stated, these duties may be categorized as: (1) utilizing both manual and automated aids to track the progress of individual cases through the proceedings cycle and to report on the status of aggregated cases for management control; (2) documenting various aspects of each case at its inception, during processing, and upon final disposition for dissemination to the public, the transportation industry, and other units within the Commission; and (3) supporting the decision-making process by assuming responsibility for those actions and orders which are administrative, procedural, or for which specific regulatory criteria exist.

1. CASE WORKING FILE (CONFIDENTIAL FILE) - Office of Proceedings working files, corresponding to the official docket, of cases in proceedings before the Commission. Includes cases for granting of operating rights, acquisition cases, and transfer, construction, abandonment, discontinuance, bankruptcy, and other cases. Includes orders, reports, votes, notices to parties, briefs, replies, and correspondence. See NN-164-111, Items 11-16.

Destroy 3 years after close of case.

2. OFFICIAL MOTOR AND WATER CARRIER ALPHABETICAL INDEX FILE - Alphabetical index to Docket Files dating from 1935-1974 and indicating the name, address, number, and action taken for all motor and water carriers which have applied for issuance of a certificate of convenience and necessity, a permit, or a license. Used for reference to the Docket Files when the

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	<p>name of a carrier but not the number is known, and as the official listing of names and addresses of motor or water carriers. 70.0 cu. ft.</p> <p>Transfer to the Washington National Records Center. Destroy 1 year after transfer or when related computer tape is reconciled, whichever is sooner.</p>		
3.	<p><u>STATUS CARD CONTROL FILE</u> - Control cards indicating the status of every proceeding before the Commission. Shows filing date, release date, and date of publication in the Federal Register.</p> <p>Destroy when 3 years old.</p>		
4.	<p><u>CERTIFICATES FILE</u> - Working copies of certificates granting operating rights to carriers.</p> <p>Destroy 60 days after serving of certificate.</p>		
5.	<p><u>NEW ORDER CARD FILES</u> - Control cards received from the Secretary's Office for new orders issued in the certificate serving process.</p> <p>Destroy when certificate is served.</p>		
6.	<p><u>CIRCULATION FILE</u> - Control cards for certificates circulated to Bureau of Traffic and Section of Insurance for annotation.</p> <p>Destroy when 2 years old.</p>		
7.	<p><u>NO-PRINTS</u> - Reference copies of decisions of the Interstate Commerce Commission which are not printed in the permanent reports of the Commission because of their routine nature but which must be maintained for public reference in compliance with 5 U.S.C. 552 (a) (2) (c). Cases involve rates, finance, and operating rights for carriers and are used by practitioners and the general public for reference. Official copies are in the Docket Files. Arranged numerically by docket number. 30.0 cu. ft.</p> <p>Microfilm all No-Prints in the Microfilm Unit of the Office of the Secretary of the Commission. Microfilm</p>		

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subsequent accumulations of No-Prints monthly or as they accumulate in significant amounts. Destroy micro-film when obsolete or superseded.

8. COMMISSION DECISION DIGEST - Consolidated digest of Commission decisions involving principles of law. Includes digest of rate cases, rail and motor finance cases, and operating rights cases.

Keep permanently in agency.

9. ANNOTATIONS - Consolidated 5 x 8 card file of annotations of all Commission and court cases.

Keep permanently in agency.

10. CASE INDEX CARD FILE - Index by docket number and title to all Commission decisions. Cards indicating date of decision, volume and page citation, and relevant court action for formal (rate) cases, motor carrier, freight forwarder, and water carrier application cases, investigation of operating rights, FF-C (Freight Forwarder Complaint), W-C (Water Carrier Complaint), MC-FC (Transfer cases printed), motor investigation and suspension cases, rail and motor finance, and some miscellaneous dockets.

Keep permanently in agency.

11. CITER FILE - Series of looseleaf binders showing which Commission cases are cited in subsequent Commission cases and in court cases. Also indicates each Commission decision subject to court action.

Keep permanently in agency.

12. COURT CASES SUBJECT CATALOG - Card catalog by subject for court cases and Commission cases. Cards indicate statements taken from reports and discussed by the Commission.

Keep permanently in agency.

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	<p style="text-align: center;"><u>SECTION OF OPERATING RIGHTS</u></p> <p>This section performs duties in connection with Commission's proceedings involving motor common and contract carriers, brokers of motor carrier transportation, water carriers, and freight forwarders, under the various sections of the Act, relative to operating authority matters, provisions, and exemptions, including investigations looking to the prescription of rules and regulations governing operations of such carriers; formal complaints and investigations concerning failure of carriers to comply with the Act or any requirements established thereunder with respect to operating practices under the jurisdiction of Division 1; the suspension, change, or revocation of certificates, permits, and licenses; extensions of dates for filing pleadings; processing of applications of Certificates of Registration and Certificates to Transport Mail; and the handling of requests for authority under the Superhighway and Deviation Rules.</p> <p>13. <u>CORRESPONDENCE FILE</u> - Letters, messages, and related memoranda and replies regarding such matters as complaints from the public as to service rendered by carriers or the lack of service, and inquiries from carriers as to procedures to be followed in submitting applications for operating permits. See NN-163-170, Item 7.</p> <p style="padding-left: 40px;">Close file annually. Destroy closed file 1 year later.</p> <p>14. <u>OPERATING RIGHTS CASE FILES</u> - Working papers for applications for operating certificates of convenience and necessity, licenses, and permits by carriers, brokers, and freight forwarders. Includes papers relating to the suspension, change, or revocation of certificates, permits, or licenses, and complaints and investigations of operating practices. See NN-163-170, Item 9.</p> <p style="padding-left: 40px;">Break closed files annually. Destroy closed file when 3 years old.</p>		

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The Section of Rates performs duties relative to rates, fares, charges, practices and service, and antitrust law relief relative to collective ratemaking agreements, and conducts proceedings under some provisions of the Act and related statutes. Staff prepare reports and orders on cases for Commissioners and for circulation to employee boards for consideration and adoption.

15. PROCEEDINGS CASE FILES - Case working files of proceedings under the Section's jurisdiction, such as Rail and Motor Investigation and Suspension proceedings, Formal Complaint and Investigation proceedings, Ex Parte Rulemaking proceedings, Fourth Section Relief Applications, and Sections 5a and 5b applications. Includes internal memoranda and circulations of recommended action to Commission personnel, petitions, orders, reports, work cards, work sheets, decisions, and actions.

Destroy 3 years after close of case.

BOARDS OF EMPLOYEES

Boards of Employees are assigned duties relating to proceedings not involving issues of general transportation importance. The Boards determine matters in proceedings under provisions of law set forth in Commission minutes, determine some applications, review requests, enter and stay orders, certify matters in proceedings, and determine issues raised by filing of protests or otherwise.

16. CASE FILES - Case working files for proceedings handled by review boards. Includes orders, memoranda, and pleadings. Used in determining matters in proceedings assigned to review boards.

Close file every year. Destroy closed file after one year.

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17.	<p><u>CONFIDENTIAL DOCKET (TEMPORARY AND EMERGENCY AUTHORITY APPLICATIONS)</u> - Board working file of dockets for Temporary Authority and Emergency Temporary Authority Applications. Includes copy of application, pleadings and correspondence, confidential reports, working papers, and records of board member votes.</p> <p>Destroy files for applications granted 30 days after expiration of authority. Destroy files for applications denied 90 days after denial action.</p>		
18.	<p><u>TRANSFER APPLICATION CONFIDENTIAL DOCKET FILE</u> - Board working file of dockets for Transfer Applications filed under Section 212 (b) of the Interstate Commerce Act. Includes copy of application, pleadings and correspondence, confidential reports, working papers, and records of board member votes.</p> <p>Keep 5 years, then destroy.</p> <p style="text-align: center;"><u>ENVIRONMENTAL STAFF</u></p>		
19.	<p><u>ENVIRONMENTAL IMPACT STATEMENTS</u> - Environmental Impact Statements consisting of a complete and comprehensive analysis of a proposed major Federal action effecting the environment.</p> <p>Destroy when 3 years old.</p>		
20.	<p><u>THRESHOLD ASSESSMENT SURVEYS</u> - Staff study of the environmental effect of a proposed action not having a significant impact on the environment.</p> <p>Destroy when 3 years old.</p>		