

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

Interstate Commerce Commission

2. MAJOR SUBDIVISION

Office of the Chairman

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Carroll Stearns

5. TEL EXT

275-0993

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED	JOB NO
9-20-83	NCL-134-83-8
NOTIFICATION TO AGENCY	
<p>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</p>	
<p>8-6-85 (Date)</p>	<p><i>James S. Bond</i> Archivist of the United States</p>

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

9/13/83

Date

James L. Meyerovich
(Signature of Agency Representative)

(Signature of Agency Representative)

Secretary

(Title)

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 the Chairman</u></p> <p>The Interstate Commerce Commission has regulatory authority over surface transportation companies in the United States including railroads, trucking companies, bus lines, water carriers, freight forwarders, and transportation brokers.</p> <p>The ICC has up to seven Commissioners appointed by the President and confirmed by the Senate for seven year terms. The Chairman is the executive head of the Commission.</p> <p>In addition to the immediate Chairman's Office the office includes the following supporting offices: The Small Business Assistance Office, the Office of Public Affairs, the Office of Governmental Affairs, the Office of Legislative Counsel, and the Equal Employment Opportunity Office.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>James Young</i> 5-21-85 <i>Edward C. Leonard</i> NARA Appraiser Date Agency Representative</p>		<p align="right">5/28/85 Date</p> <p align="right">19 items</p>

*Copies sent to Agency, NE, and NAF
9-10-85 Jy*

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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>The records included in this schedule are official government records created in the conduct of government business. The records are not the personal property of the Chairman and are not to be removed from the Commission at the end of his term or at any other time except according to the provisions of this records schedule.</p> <p>The Chairman may accumulate personal records during his term. These should be clearly designated as non-official and kept separately from official government records. This is required under CFR 41 Subpart 101 - 11.202-2(d) which states:</p> <p style="padding-left: 40px;">"(d) Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a Federal official will be clearly designated by him as nonofficial and will at all times be filed separately from the official records of his office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files."</p> <p>This schedule supersedes the schedule for Commissioner's Offices, NCI-134-80-5, dated February 20, 1981.</p> <p style="text-align: center;"><u>Chairman's Office</u></p> <p>1. <u>DOCKET WORKING FILE.</u></p> <p>Chairman's working file of dockets. Includes applications, pleadings, petitions, correspondence, and decisions. Official copy of the docket is in the Office of the Secretary.</p>		

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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
	Keep until no longer used for reference, then destroy.		
2.	<p><u>CORRESPONDENCE FILE.</u></p> <p>Chairman's correspondence primarily concerning cases. Also includes correspondence with Congress, the public, the White House, and other government agencies concerning complaints about household goods carriers' service, deregulation, the Commission's budget and petitions. See NCI-134-80-4, item 1.</p> <p>Destroy when 4 years old or when no longer needed for reference.</p>		
3.	<p><u>OFFICE ADMINISTRATIVE FILE.</u></p> <p>Administrative and housekeeping records relating to organization, staffing, procedures, and communications; budget papers, training and travel; supplies and office services and equipment requests, and work activity reports.</p> <p>Destroy when 2 years old or when no longer needed, whichever is sooner.</p>		
4.	<p><u>INTERNAL CORRESPONDENCE FILE.</u></p> <p>Chairman's correspondence within the agency. Includes memoranda from the bureaus and offices, status reports, and copies of studies.</p> <p>Destroy when 3 years old or when no longer needed for reference.</p>		
5.	<p><u>SPEECHES AND PRESS RELEASES.</u></p> <p>Reference set of formal informational releases and publications including press releases and speeches. Official copies kept in the Office of Public Affairs. See NCI-134-80-5, item 2.</p> <p>Destroy when 4 years old or when no longer needed for reference, whichever is sooner.</p>		

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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
6.	<p><u>UNITED STATES RAILWAY ASSOCIATION BOARD FILE.</u></p> <p>Copies of agenda, reports, rail financial statements, studies, Chairman's notes, legislative reports, CONRAIL status reports, and resolutions from meetings of the Board of Directors of the United States Railway Association of which the Chairman is a member.</p> <p>Break file annually. Destroy one-year segment 3 years later.</p>		
7.	<p><u>LEGISLATIVE FILE.</u></p> <p>Chairman's briefing material for Congressional hearings. Includes copies of testimony, correspondence, and comments on legislation.</p> <p>Break file every 2 years. Destroy two-year segment 2 years later.</p> <p style="text-align: center;"><u>OFFICE OF THE CHAIRMAN</u></p> <p style="text-align: center;"><u>SMALL BUSINESS ASSISTANCE OFFICE</u> <u>(SBAO)</u></p> <p>The Small business Assistance Office assists small and minority businesses and individuals in dealing with Commission regulations and assesses the impact of these regulations upon same. Its functions are:</p> <p>(1) Advising and assisting small businesses seeking transportation services as well as those already in or wishing to enter the transportation business;</p> <p>(2) Responding to individual inquiries and providing advice and guidance on Commission rules, regulations, policies, and application procedures and acting as an intermediary to informally resolve individual disputes between owner-operators and regulated carriers;</p> <p>(3) Helping shippers achieve greater awareness of the common carriers' obligations and the opportunities for improved service;</p> <p>(4) Coordinating with the Office of Compliance and Consumer Assistance to deal with the difficulties faced by small businesses in coping with the regulatory process;</p>		

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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>(5) Communicating with other government agencies and numerous private organizations concerned with the small business sector of surface transportation;</p> <p>(6) Preparing, distributing and updating publications to answer questions most frequently asked by small and minority businesses and other individuals involving legal, economic, accounting, tariff, service and proceedings problems;</p> <p>(7) Commenting on Commission policy and decisions and Congressional legislation which could impact on consumers and small businesses;</p> <p>(8) Developing, coordinating, and participating in the delivery of seminars, conferences, and workshops designed to meet the needs of small and minority carriers, shippers, and owner-operators.</p>		
8.	<p><u>CARD INDEX FILE.</u></p> <p>Reference card file of legislation and Commission decisions of interest to the Small Business Assistance Office. Includes a brief description of the legislation or decision. Used as a quick reference in locating cases, designing training programs, participating in rulemakings, and answering inquiries.</p> <p>Arranged alphabetically by title and by docket number. 1979 - .</p> <p>Keep until no longer used for reference, then destroy.</p>		
9.	<p><u>CORRESPONDENCE FILE.</u></p> <p>Copies of incoming and outgoing letters and memoranda within the agency and with the public and members of Congress concerning applications for operating authority, shipper problems and other matters relating to regulated transportation. Arranged alphabetically by name or subject. 1982- .</p> <p>Break file annually. Destroy 1 year segment 1 year later.</p>		

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
10.	<p><u>DOCKET FILES.</u></p> <p>Reference copies of significant Commission decisions and policies affecting small and minority businesses. Used as guidance in developing programs of assistance for businesses. Arranged numerically by docket numbers. 1980-</p> <p>Keep until superseded, then destroy.</p>		
11.	<p><u>OWNER OPERATOR AND MINORITY TRUCKING REFERENCE FILES.</u></p> <p>Reference copies of studies, surveys, and other material on owner operators and owner operator training plans, and minority truckers and bus operators. Used as reference in developing programs and for assisting small and minority businesses. Arranged alphabetically by subject. 1977 - .</p> <p>Review files every 2 years destroying material of no further reference value.</p> <p style="text-align: center;"><u>OFFICE OF THE CHAIRMAN</u></p> <p style="text-align: center;"><u>OFFICE OF PUBLIC AFFAIRS</u></p> <p>The Office of Public Affairs analyzes, and reports on the public information and consumer impact of Commission programs, regulations, and legislation. It organizes, plans, and directs comprehensive nationwide public information and consumer programs; disseminates timely news on Commission programs and decisions; circulates up-to-date Commission information to all employees; and prepares the ICC annual Report to Congress and other general public interest and consumer publications. This schedule supersedes NCI-134-80-4, Office of Communications. Item 4, "Photographs" is deleted because photographs are no longer produced.</p>		
12.	<p><u>COMMISSION PRESS RELEASES AND SPEECHES</u></p> <p>a. Official set of Commission press releases concerning major Commission decisions, organizational changes, and appointments. Provide information on Commission actions to the media and the public. Arranged chronologically. 1977- . 6.0 cu. ft. See NCI-134-80-4, item 1.</p> <p>Permanent. Offer to the National Archives in five-year blocks when the most recent records are five years old.</p>		

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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
13.	<p><u>COMMISSION CONFERENCE TAPES.</u></p> <p>Recordings of Commission Conferences providing documentation of the organization, functions, policies, procedures, and transactions of the Commission. No longer created. Arranged chronologically by conference date. 1979- . 1.0 cu. ft. See NCI-134-80-4, item 2.</p> <p>Permanent. Offer to the National Archives when 2 years old.</p>		
14.	<p><u>NEWSCLIPPINGS.</u></p> <p>Newsclippings concerning the Commission gathered from various newspapers as a source of information to ICC staff. Arranged chronologically. 1979- . 6.0 cu ft. See NCI-134-80, item 4.</p> <p>Destroy when 2 years old.</p>		
15.	<p><u>COMMISSION CONFERENCE FILES.</u></p> <p>Records produced in preparing for Commission conferences. Includes copies of public notice of conferences and staff material given to the public at conferences. Arranged chronologically. 1979- . 1.0 cu ft. See NCI-134-80, item 5.</p> <p>Destroy when 3 years old.</p>		
16.	<p><u>WEEKLY DIGEST.</u></p> <p>A weekly summary of significant decisions served, voted on by the entire Commission. Includes a brief description of the decision, its history, impact and opposition, and a reference number and title. Arranged chronologically. 1983- . 0.5 cu ft.</p> <p>Destroy when 1 year old.</p>		

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17.	<p style="text-align: center;"><u>OFFICE OF THE CHAIRMAN</u></p> <p style="text-align: center;"><u>OFFICE OF GOVERNMENTAL AFFAIRS</u></p> <p>The Office of Governmental Affairs develops and maintains cooperative relations with Congress, and with Federal, State, and local governments. Its functions are:</p> <ol style="list-style-type: none"> (1) Coordinating all liaison activities with Congress and State/local governments; (2) Assigning and tracking official inquiries, ensuring that deadlines are met, and ensuring that answers are responsive and of high quality; (3) In cooperation with the Legislative Counsel, coordinates all Commission testimony and presentations to Congressional Committees, briefing ICC witnesses on the topics and the scope of the inquiry; (4) Ensuring that Congress and State/local governments understand the thrust, the interest, and the extent of ICC programs and activities by regularly giving essential information to appropriate staff; (5) Coordinating with the Legislative Counsel and the Budget and Fiscal Officer regarding the strategy to be followed in pursuing significant legislative and budget matters with Congress; (6) Keeping the Commission advised of all activities and information at both the legislative and State/local levels which may affect Commission policy and practices. <p><u>CONGRESSIONAL CORRESPONDENCE.</u></p> <p>Correspondence with Congress concerning questions and complaints of constituents and the ICC regulatory role. Includes correspondence on rail abandonments, mergers, and household goods complaints. Arranged alphabetically by name of Congressman or state. 15.0 cu. ft. 1982- .</p> <p>at the end of each Congressional session. Break file annually Destroy one-year segment ^{two} one year later.</p>		

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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
18.	<p><u>COMMITTEE FILES.</u></p> <p>Correspondence with congressional committees concerning the regulation of transportation, and legislation affecting the ICC. Includes copies of Commissioners' testimony before committees, bills, and appropriations material. Arranged alphabetically by Committee. 9.0 cu ft. 1979- .</p> <p>Keep until no longer used for reference, then destroy.</p>		
19.	<p><u>DECISIONS FILE.</u></p> <p>Reference copies of important Commission decisions. Arranged by docket numbers within type decision. 9.0 cu. ft. 1979- .</p> <p>Keep until no longer used for reference, then destroy.</p>		
20.	<p><u>CORRESPONDENCE (Other than Congressional).</u></p> <p>Copies of correspondence with the public primarily concerning household goods complaints and abandonments and mergers of railroads. Arranged alphabetically by name of correspondent. 6.0 cu. ft. 1982- .</p> <p>Break file annually. Destroy one year later.</p> <p style="text-align: center;"><u>OFFICE OF THE CHAIRMAN</u></p> <p style="text-align: center;"><u>EQUAL EMPLOYMENT OPPORTUNITY OFFICE</u></p> <p>The EEO Office develops and administers the Commission's Equal Employment Opportunity program. The Office encourages dispute reconciliation, ensures compliance with EEO regulations, fosters management accountability in EEO, and directs the modification of personnel management policies and practices not in harmony with EEO guidelines.</p> <p>The Director supervises and administers a complaints program, a Federal Equal Opportunity Recruitment Program and affirmative action programs, an Upward Mobility Program, and training for managers and supervisors in sexual harrasment and other human relations.</p>		

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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
21.	<p><u>OFFICIAL DISCRIMINATION COMPLAINT CASE FILES.</u></p> <p>Discrimination complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records for cases resolved within the agency, by EEOC, or by a U.S. Court. 10.0 cu. ft. 1974- .</p> <p>Destroy 4 years after resolution of case. From GSA General Records Schedule 1, item 26.a.</p>		
22.	<p><u>EEO GENERAL FILES.</u></p> <p>General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and agency EEO Committee meeting records including minutes and reports. 5.0 cu. ft. 1982- .</p> <p>Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. From GSA General Records Schedule 1, item 26.g.</p>		
23.	<p><u>EEO AFFIRMATIVE ACTION PLANS (AAP).</u></p> <p>(1) Agency copy of consolidated AAP(s).</p> <p>Destroy 5 years from date of plan. From GSA General Records Schedule 1, item 26.h.</p> <p>(2) Agency feeder plan to consolidated AAP(s).</p> <p>Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. From GSA General Records Schedule 1, item 26.h.</p>		

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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 style="text-align: center;"><u>OFFICE OF THE CHAIRMAN</u></p> <p style="text-align: center;"><u>OFFICE OF LEGISLATIVE COUNSEL</u></p> <p>The Office of Legislative Counsel develops and manages the Commission's legislation program. Its functions are as follows:</p> <p>(1) Developing Commission policy on pending legislation affecting transportation;</p> <p>(2) In coordination with the Office of Governmental Affairs, preparing testimony for presentation at Congressional hearings and written comments on proposed legislation for submission to Congress. Briefing the Chairman and other Commission personnel for Congressional hearings. Preparing responses to follow-up questions from such hearings;</p> <p>(3) Formulating and drafting legislative proposals for Congress. Working with Congressional committee staff as legislation affecting the Commission moves through the legislative process;</p> <p>(4) Advising the Commission of the substance and status of legislative initiatives from outside the ICC that might impact on the Commission;</p> <p>(5) Tracking Commission-proposed legislation through Congress, monitoring Congressional activity affecting the Commission, and projecting future legislative developments;</p> <p>(6) Responding to inquiries from Congress and others relating to legislation and Commission activities, in coordination with the tracking responsibilities of the Office of Governmental Affairs.</p>			

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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
24.	<p><u>HEARING FILES</u></p> <p>Copies of testimony of ICC staff before the House or Senate on legislative proposals affecting transportation regulation. Includes testimony of other witnesses and backup material for hearing. See NCl-134-77-1, item 3. Arranged chronologically. 28.0 cu. ft. 1978 -.</p> <p>Destory when 5 years old.</p>		
25.	<p><u>STATEMENT FILES</u></p> <p>Copies of statements before Congress by the Chairman and other ICC staff on pending legislation affecting transportation and the Commission's role in regulating it. See NCl-134-77-1, item 3. Arranged chronologically. 14.0 cu. ft. 1957 -.</p> <p>Keep one copy of statements until no longer needed for reference, then destroy.</p>		
26.	<p><u>HOUSE AND SENATE BILL FILES</u></p> <p>Copies of pending bills, legislative histories, Committee reports, Congressional record material, and correspondence. See NCl-134-77-1, item 3. Arranged numerically by bill number. 20.0 cu. ft. 1979 -.</p> <p>Destroy when 5 years old.</p>		