

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

LEAVE BLANK

DATE RECEIVED

6/29/84

JOB NO.

NCI-134-843

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

NOTIFICATION TO AGENCY

1. FROM (AGENCY OR ESTABLISHMENT)
Interstate Commerce Commission

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.

2. MAJOR SUBDIVISION
Office of the Secretary

3. MINOR SUBDIVISION
Commission Service Section

4. NAME OF PERSON WITH WHOM TO CONFER
E. C. Fernandez

5. TEL. EXT.
275-7591

5/25/88
(Date)

[Signature]
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.

7/28/87 *[Signature]*
Date (Signature of Agency Representative)

Chief, Public Records Section
(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 SECRETARY</u></p> <p>The Commission, its Divisions, the Chairman, individual Commissioners, boards of employees, joint boards, and Administrative Law Judges issue their decisions and notices through the Secretary. The Secretary ensures proper documentation of these actions and legal service on parties to proceedings. The Secretary is custodian of all records filed with the Commission.</p> <p>Functions of the Office of the Secretary are:</p> <ol style="list-style-type: none"> Making decisions, notices, statements, and other official materials available to the public and providing public access to official records. Certifying official documents and providing copies of records for a fee. Processing applications, recordations, and other filings for a fee. <p>-----</p> <p>All changes to this proposed schedule have been approved by: <i>[Signature]</i> date <i>4/26/88</i> Agency Representative</p>		<p align="center"><i>24 items</i></p>

Copies sent to agency, NCF, Mnd, MAF 5/24/88

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	<p>4. Publishing decisions, notices, statements, and other materials in the ICC Register, the Federal Register, and the Code of Federal Regulations.</p> <p>5. Updating and maintaining the ICC Rules of Practice, Commission Issuances, and Organization Minutes, and furnishing information on procedures under these rules to the public and representatives of carriers, shippers, rate bureaus, and similar organizations.</p> <p>6. Providing detailed certified case indexes to the Office of General Counsel in lieu of the full record in cases appealed to the courts.</p> <p>7. Preparing and maintaining official minutes of Commission actions.</p> <p>8. Maintaining the Practitioner's Register and arranging for the examination of applicants.</p> <p>9. Ensuring that materials at the two emergency preparedness relocation sites are up-to-date and periodic reports to the Interagency Classification Review Commission are filed on a timely basis.</p> <p>10. Preparing and maintaining transcripts of Commission conferences and issuing Sunshine notices.</p> <p>11. Recording and clearing formal and informal proceedings voted on by the Commission or Divisions.</p> <p>12. Preparing records retention and disposal plans for submission to the National Archives and Records Service.</p>		

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

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1.	<p>This schedule supersedes schedule NC1-134-76-7. Items 13-15, 17, and 19 have been deleted because they are no longer created.</p> <p><u>FEDERAL CITATIONS FILE.</u> Citations for Federal Register Submissions, Federal Register Publication Control (Form ICC-1007. See NC1-134-76-7, item 2.</p> <p>Destroy 2 years after publication.</p>		
2.	<p><u>AGRICULTURE COOPERATIVE FILINGS.</u> Original notices to the Commission to Intent to Perform Interstate Transportation for Certain Non-Members (Form Bop-102) under Section 10526(A)(5) of the Interstate Commerce Act. The filing of this notice is a pro forma requirement and does not constitute approval of the Commission or affect the status of the named organization of its operation. The Commission is notified of any change in the information concerning officers, directors, and location of transportation records by the filing of a supplemental form (Bop-102) within 30 days of the change.</p> <p>Destroy when superseded or obsolete.</p>		
3.	<p><u>INTERCORPORATE HAULING FILINGS.</u> Original of letters notifying the Commission of intent to initiate compensated intercorporate hauling. Includes letters of incorporation.</p> <p>Destroy when superseded.</p> <p><u>Practitioners' Unit</u></p>		
4.	<p><u>PRACTITIONER'S FILES.</u> Examinations, memoranda transmitting applications to the Practitioners Association for review, practitioners' requests for approval of</p>		

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	<p>applications, and related correspondence authorizing persons to appear before the Commission representing carriers, other firms and agencies, and the public. See NC1-134-76-7, items 7 and 11.</p> <p>Close file annually and transfer to the Federal Records Center. Destroy after death of practitioner or after 35 years. Whichever comes first.</p>		
5.	<p><u>PRACTITIONERS' INDEX.</u> Card file and diskette index of practitioners who are not attorneys, authorized to appear before the Commission representing carriers, other firms and agencies, and the public. Consists of approximately 11,000 3x5 cards arranged alphabetically by name. See NC1-134-76-7, item 8.</p> <p>Destroy card or delete name from diskette after death of practitioner or after 35 years <i>whichever comes first.</i></p>		
6.	<p><u>PRACTITIONERS' EXAM DENIED AND REJECTED APPLICATIONS, POSTPONEMENTS, AND NO SHOWS.</u> Copies of denied and rejected applications for the practitioners' exam. Includes correspondence added. See NC1-134-76-7, item 9.</p> <p>Break file annually and destroy one-year segment when 3 years old.</p>		
7.	<p><u>FORMAL EXAMINATION.</u> The original of the examination given to practitioners. See NC1-134-76-7, item 10.</p> <p>Destroy 2 years after examination.</p>		

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8.	<p><u>ATTORNEY/PRACTITIONER DISCIPLINARY ACTION FILE</u></p> <p>A Records documenting action taken against an attorney or practitioner who has violated a rule of practice or ethics in practice before the Commission.</p> <p>Convert original records to microfilm in accordance with 36 CFR Part 1230 Destroy after death of attorney or practitioner or when 35 years old which ever comes first.</p> <p>B. Records documenting action against an attorney or practitioner where no findings of violation of practice is determined.</p> <p>Destroy 3 years after close of case.</p>		
9.	<p><u>HEARINGS DIARIES AND CALENDAR FILE.</u> Record of each Commission hearing includes docket number and title, date, place of hearing, and hearing officer's name.</p> <p>Destroy when 5 years old.</p>		
10.	<p><u>HEARING LEDGERS.</u> Maintained to document total pages of transcript and other information for each Commission hearing.</p> <p>Close ledger annually. Destroy when 10 years old.</p>		
11.	<p><u>SUBSTITUTION ORDERS.</u> Orders documenting the temporary substitution of a member on a board or Division. The order is evidence that a Commissioner or Commission employee sat temporarily on a board and was authorized to vote on issues. NC1-134-76-7, item 20.</p> <p>Destroy when 2 years old.</p>		

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12	<p><u>CLEARANCES FOR DOCKETED AND UNDOCKETED PROCEEDINGS.</u> Clearances indicating Commission decisions and votes on proceedings.</p> <p><u>PERMANENT</u> (a) Maintain files in paper form for 3 years . Microfilm in accordance with <i>36 CFR Part 1230</i> Transfer* to NARS in five year blocks when records are ten years old (ie 1980-1985 Transfer in 1995).</p> <p>Estimated volume of records <i>2 ft</i> Estimated Annual volume <i>6"</i></p>		
13.	<p><u>BACKGROUND FILES FOR DOCKETED AND UNDOCKETED PROCEEDINGS.</u> Background material to clearances for docketed and undocketed proceedings. Includes copies of votes circulations and internal memoranda.</p> <p><u>PEMANENT</u> (b) For docketed and undocketed proceedings convert original records to microfilm in accordance with <i>36 CFR Part 1230</i> Transfer* to Archives in 5 year blocks when 30 years old. (ie 1980-1985 offered in 2015).</p> <p>Estimated volume of records to date 84 cubic ft. Estimated Annual volume 13 cubic ft.</p> <p><u>Process Serving Branch</u></p>		
<u>14.</u>	<p><u>DESIGNATED AGENT FILE.</u> Lists of designated agents for railroads, water carriers, and freight forwarders used as a guide in serving notices of proceedings on parties to the proceedings. The carrier officially designates an agent upon whom service of all notices and processes may be made for and in behalf of in any proceeding or suit pending before the Commission.</p> <p>Destroy when superseded or obsolete.</p> <p><u>ICC Register Unit</u></p>		
15.	<p><u>ICC REGISTER.</u> The Commission publication within which is listed all decisions and notices served</p>		

*Transfer one silver halide negative and one diazo copy of microfilm

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	<p>by the ICC and includes: Notices of filing of motor and water carriers, freight forwarders and property broker entry, restriction removals, motor and water carrier temporary operating rights, and transfer applications, notices of application.</p> <p><u>PERMANENT</u> (a) Convert original records to Microfilm in accordance with 36 CFR <i>Part 1230</i> transfer* to NARA in 5 year blocks when 10 years old.</p> <p>Estimated volume of records to date 2 cubic feet. Estimated annual volume 1 cubic feet.</p>		
16.	<p><u>FEES REFUND AUTHORITY FILE.</u> Form 1187 documenting refund of fees to applicants because of overpayment. See NC1-134-76-7, item 6.</p> <p>Destroy when 3 years old.</p>		
17.	<p><u>COURT CASES INDEX FILE.</u> An index of ICC cases or decisions appealed to the courts. An index for each case lists each action and filing for the processing of the case.</p> <p>Keep until 3 years after the final judicial decision in the case, then destroy.</p>		
18.	<p><u>RECORDATION FILES.</u> Records filed with the Commission under 49 U.S.C. 11303, as evidence of proprietary of leasehold interest in transportation property. Includes mortgages, leases, equipment trust agreements, conditional sale or bailment of railroad cars, locomotives, or other rolling stock or vessel. Also includes assignments of rights or interests under such instruments and amendments to instruments or assignments. Arranged numerically.</p> <p>*Transfer one silver halide negative and one diazo copy of microfilm</p>		

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	<p><i>Convert</i> original records to microfilm</p> <p>Destroy paper records upon verification of microfilm. Destroy microfilm when obsolete.</p> <p><i>REFERENCE SERVICES AND THE LIBRARY</i></p>		
19.	<p><u>COMMISSION DECISION DIGEST.</u> Digest of printed Commission decisions with an interpretation of the Interstate Commerce Act rendered in the decisions.</p> <p>Keep until no longer used for reference, then destroy.</p>		
20.	<p><u>ANNOTATIONS.</u> Annotations of significant Commission decisions containing statements of general policy or interpretations of general applicability, Commission court case decisions, and public laws and new federal regulations.</p> <p>Keep until no longer used for reference, then destroy.</p>		
21.	<p><u>CITER FILE.</u> Loose leaf binders showing which decisions are cited in subsequent Commission and court cases and decisions subject to court action.</p> <p>Keep until no longer used for reference, then destroy.</p>		<i>Non-record material</i>
22.	<p><u>QUICK REFERENCE FILE.</u> A card file with Commission decisions filed by docket number and alphabetically by principal words of their titles. Each card has the decision date, the citation if the decision is printed, and any court action.</p> <p>Keep until no longer used for reference, then destroy.</p>		<i>Withdrawn</i>

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23.	<p><u>COMMODITIES INDEX.</u> Indicates commodities involved in operating rights and rates decisions. The title of the decision, the origin and destination of the commodity, and citations are included.</p> <p>Keep until no longer used for reference, then destroy.</p>		
24.	<p><u>WORDS AND PHRASES FILE.</u> A card file containing citations to Commission and court decisions defining transportation terms, commodities, and other.</p> <p>Keep until no longer used for reference, then destroy.</p>		
25.	<p><u>COURT CASES FILE.</u> Lists all Commission court cases since 1887 and indicates action taken.</p> <p>Keep until no longer used for reference, then destroy.</p>		
26.	<p><u>REGULATIONS FILE.</u> Reference file of Federal Register notices proposing or adopting amendments to Commission regulations. Arranged by CFR citation.</p> <p>Keep until no longer used for reference, then destroy.</p>		<p><i>non record material</i></p>