

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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| LEAVE BLANK | |
| JOB NO NC 1-134-76-7 | |
| DATE RECEIVED JUN 18 1976 | |
| NOTIFICATION TO AGENCY 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| <i>9-15-76</i> <i>James P. O'Neil</i> Date acting Archivist of the United States | |

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 Secretary and Congressional Relations

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Carroll Stearns

5. TEL EXT

275-7107

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 8 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 | D. SIGNATURE OF AGENCY REPRESENTATIVE | E. TITLE |
|------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|
| 6/15/76 | <i>Robert Oswald</i> | Secretary |
| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO |
| | <p align="center">OFFICE OF THE SECRETARY AND CONGRESSIONAL RELATIONS</p> <p>Office of the Secretary and Congressional Relations. The Secretary is the official through whom the Commission, its divisions, individual Commissioners, boards of employees, joint boards, and examiners issue their orders and decisions; he is custodian of the seal and records of the Commission and is responsible for the proper documentation of Commission decisions, procedures and other transactions; pursuant to the Rules of Practice, he is responsible for compiling the official documents pending before the Commission and for service on parties to formal proceedings. The Secretary's Office is the medium through which decisions, orders, statements, releases and other information, including individual votes contained in the Commission's minutes, are made available to the public. The Secretary serves as Congressional Liaison Officer for the Commission, providing for communication between the Commission and the Congress on various matters. In this capacity, he serves as the central</p> <p align="center">ICC concurs in all changes made herein. C.S./ICC RCT / NARS/NCD 9-03-76</p> | <p align="right">Pg 134; 20 items Copy to Agency + NCW 9/10/76</p> |

9/10/76

Request for Records Disposition Authority – Continuation

JOB NO

PAGE OF

2

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|---------------------|
| | <p>point of contact and is responsible for and supervises liaison of matters involving the agency, its functions, jurisdiction, rules and regulations, and other matters, and for maintaining cooperative relations with the Congress. Coordinates plans for the appearance of the Chairman or his designees before the Congressional Committees and accompanies the Commission's witnesses and assists them when necessary as to the presentation of their testimony. Advises Commission witnesses in advance of the extent to which a particular subject will probably be covered and the nature of the questions likely to be asked. Attends Congressional Committee hearings as an observer for the ICC on various matters of interest to the Commission.</p> <p><u>The Section of Dockets and Service.</u> Responsible for serving upon participating parties, interested parties and Commission personnel copies of all official releases in proceedings before the Commission, including local rail agents of process, maintaining and controlling of all official Commission docket files; recording of documents evidencing the lease, mortgage, etc., of railroad equipment; processing applications for admission to practice and maintaining the roster of practitioners and other duties connected therewith; processing all other applications and filings for which fees and charges have been established by the Commission; and providing limited messenger service within the Washington Metropolitan Area, including internal building messenger service.</p> <p><u>Process Serving Branch.</u> Responsible for searching the official docket files and preparing service lists and matching envelopes of the parties upon whom all official notices, orders, reports, decisions, and other processes are served, and determines the manner of such service (by regular, certified, registered, or air mail, special delivery, or by personal service upon designated agents in Washington); distributes copies of materials served within the Commission; provides messenger service within the building (and special trip service outside the building) relative to process serving.</p> | | |

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN | | | | | | | | | | | | | | |
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| | <p><u>Appellate Briefing Branch.</u> Responsible for indexing contested Commission proceedings at the Public Law 93-584.</p> <p><u>Docket Files Branch.</u> Responsible for maintaining docket files covering all formal proceedings of the Commission; files all applications, correspondence, pleadings, exceptions, petitions, etc., which make up the dockets; and maintains a control card record system of the location of all official dockets. When necessary, dockets are prepared for mailing to the field offices for use at hearings.</p> <p><u>Fees and Services Branch.</u> Receives and processes applications and other filings for which fees and charges have been established by the Commission; receives documents for recordation evidencing the lease, mortgage, etc., of carrier equipment; processes applications for admission to practice before the Commission of non-attorneys and maintains rosters and files of practitioners, both attorneys, and nonattorneys.</p> <p><u>Distribution Branch.</u> Mails copies of all official Commission releases to parties of interest and interested parties of record in proceedings before the Commission; delivers appropriate copies of releases upon agents of process (railroad agents) in the Washington Metropolitan Area; and distributes and supplies copies of releases upon boxholders (general public) and Commission offices and bureaus.</p> <p>This schedule supersedes schedule NN-166-132. The following items from the superseded schedule are no longer maintained in the Office of the Secretary:</p> <table data-bbox="308 1491 1078 1794"> <thead> <tr> <th><u>Item Numbers</u></th> <th><u>Now Maintained In</u></th> </tr> </thead> <tbody> <tr> <td>10-12</td> <td>Office of Chairman</td> </tr> <tr> <td>15-19</td> <td>Office of Chairman</td> </tr> <tr> <td>20-21</td> <td>Office of Managing Director</td> </tr> <tr> <td>22-26</td> <td>Office of Proceedings</td> </tr> <tr> <td>27-31</td> <td>Office of Hearings</td> </tr> <tr> <td>40-47</td> <td>Office of Proceedings</td> </tr> </tbody> </table> | <u>Item Numbers</u> | <u>Now Maintained In</u> | 10-12 | Office of Chairman | 15-19 | Office of Chairman | 20-21 | Office of Managing Director | 22-26 | Office of Proceedings | 27-31 | Office of Hearings | 40-47 | Office of Proceedings | | |
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| 10-12 | Office of Chairman | | | | | | | | | | | | | | | | |
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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 following items have been deleted because they are covered by the ICC General Schedule, NN-169-103:</p> <p style="padding-left: 40px;">Items 1-7, 9, and 14 of schedule NN-166-132.</p> <p>The following items from superseded schedule NN-166-132 are deleted because they are no longer accumulating anywhere:</p> <p style="padding-left: 40px;">Items 34 and 49.</p> <p>This schedule covers all other records of the Office of the Secretary and Congressional Relations except the official docket files which will be covered by a separate schedule.</p> <p style="text-align: center;"><u>SECRETARY'S OFFICE</u></p> <p style="text-align: center;"><u>Federal Register Codification Unit</u></p> <p>1. <u>FEDERAL REGISTER NOTIFICATION FILE</u> - Copies of ICC regulations, orders, notification of proposed rulemaking, and other notices submitted to the Federal Register for publication. See NN-166-132, Item 48.</p> <p style="padding-left: 40px;">Destroy 6 months after publication in the Federal Register.</p> <p>2. <u>FEDERAL REGISTER CITATIONS FILE</u> - Citations on Federal Register submissions. See NN-166-132, Item 13.</p> <p style="padding-left: 40px;">Destroy 3 years after publication.</p> <p style="text-align: center;"><u>Section of Dockets and Service</u></p> <p style="text-align: center;"><u>Fees and Services Branch</u></p> <p>3. <u>RECEIPTS FILE</u> - Receipts documenting all fees collected by the Branch including application fees, practitioner fees, recordings, photocopying, and certifications. Also covered in General Records Schedule 6, Item 4.</p> <p style="padding-left: 40px;">Destroy 3 years after date of document.</p> | | |

Request for Records Disposition Authority – Continuation

JOB NO

PAGE OF
5

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|---------------------|
| 4. | <p><u>DAILY COLLECTION AND SUMMARY SHEETS</u> - Daily Collection Sheet (Form SE-39a) and Daily Summary Sheet (Form SE-39b) showing all fees collected by the Branch. Official copy maintained in Budget and Fiscal Office. Also covered by General Records Schedule 13, Item 4.</p> <p>Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.</p> | | |
| 5. | <p><u>CASH RECEIPTS LOG</u> - Log for recording receipts of cash for services provided by the Branch.</p> <p>Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of log, whichever is applicable.</p> | | |
| 6. | <p><u>AUTHORITY TO REFUND FEES</u> - Form 1187 documenting refund of fees to applicant because of overpayment.</p> <p>Destroy 3 years after date of document.</p> | | |
| 7. | <p><u>PRACTITIONERS' REGISTER</u> - Practitioners' file consisting of application, oath of office, and related correspondence authorizing persons to appear before the Commission representing carriers, other firms and agencies, and the general public. See NN-166-132, Item 32.</p> <p>Close file annually and transfer to the Federal Records Center. KEEP IN FILE Destroy, 40 years after close of file.</p> | | |
| 8. | <p><u>PRACTITIONERS' INDEX</u> - Card file index of all persons authorized to appear before the Commission representing carriers, other firms and agencies, and the general public. Consists of approximately 37,000 3x5 cards, 11,000 of which represent nonattorneys. Arranged alphabetically by name of practitioner. See NN-166-132, Item 33.</p> <p>Destroy 1 year after demise of practitioner or after 60 years if date of death is not known.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
6

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|---------------------|
| 9. | <p><u>DENIED AND REJECTED APPLICATIONS</u> - Denied applications and copies of rejected applications (original of rejected application returned to applicant) for practitioner. See NN-166-132, Item 35.</p> <p>Break file annually. Destroy one-year segment XXXX when 3 years old.</p> | | |
| 10. | <p><u>PRACTITIONERS EXAMINATIONS</u> - Completed examinations for practitioner. See NN-166-132, Item 36.</p> <p>Destroy when 2 years old.</p> | | |
| 11. | <p><u>PRACTITIONER REVIEW AND APPROVAL MEMORANDA</u> - Memoranda transmitting applications to the Practitioners Association for review and to the Commissioner in charge of practitioners requesting approval of applications. See NN-166-132, Item 37.</p> <p>Destroy when 1 year old.</p> | | |
| 12. | <p><u>EXAMINATION AGENDA FILE</u> - Records documenting preparation for practitioner's examination including lists of applicants, examination announcements, memoranda concerning arrangements for examinations, and related papers. See NN-166-132, Item 38.</p> <p>Destroy 1 year after examination.</p> | | |
| 13. | <p><u>APPLICANT FEE'S LISTS AND REFUND VOUCHERS</u> - Copies of lists of applicants' fees collected and copies of refund vouchers for applicants not admitted to practice. The original lists and vouchers are filed with the Budget and Fiscal Office. See NN-166-132, Item 39.</p> <p>Destroy when 3 years old.</p> <p style="text-align: center;"><u>Process Serving Branch</u></p> | | |
| 14. | <p><u>PROCEEDINGS CARD FILES</u> - Card files showing names and addresses of participating parties and interested persons in each proceeding pending before the Commission.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7

| 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;">Destroy when case is closed.</p> | | |
| 15. | <p><u>PROCEEDINGS SERVICE LISTS</u> - Manually maintained service lists for proceedings. Prepared from Cheshire computer cards (Item 12) and used in serving copies of proceedings on agents of interested and involved parties. Filed in official docket.</p> <p style="text-align: center;">Destroy when case is closed.</p> | | |
| 16. | <p><u>DESIGNATED AGENT FILE</u> - Lists of designated agents in Washington for railroads, water carriers, freight forwarders, and pipelines used as guide in serving notices of proceedings on interested and involved parties. 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 style="text-align: center;">Destroy when superseded or obsolete.</p> | | |
| 17. | <p><u>EMPLOYEE DAILY PRODUCTION REPORTS</u> - Production reports for secretarial and other clerical staff. Used in determining promotions and in setting standards of production. Also covered in General Records Schedule 1, Item 16.</p> <p style="text-align: center;">Destroy when 1 year old.</p> | | |
| 18. | <p style="text-align: center;"><u>APPELLATE BRIEFING BRANCH</u></p> <p><u>COURT CASE STATUS CARDS</u> - Status cards and lists of cases concerning operating authority or rates of carriers which are pending in court or being prepared for submission to the court. Used for reference. Official file maintained in Office of General Counsel.</p> <p style="text-align: center;">Destroy upon completion of court case.</p> | | |
| 19. | <p><u>DOCKET NUMBER RELEASE SHEETS</u> - Daily list of docket numbers under which orders, decisions, and certificates have been issued by the Commission. Used as reference in determining actions taken by the Commission.</p> <p style="text-align: center;">Destroy when 3 months old.</p> | | |

Request for Records Disposition Authority – Continuation

JOB NO

PAGE OF
8

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|---------------------|
| 20. | <p>"SECTION 17" ORDERS - Orders issued under Section 17 of the Interstate Commerce Commission Act documenting the temporary substitution of a member on a board replacing an absent member. The order is evidence of the fact that a Commissioner or Commission employee sat temporarily on a board and was authorized to vote on issues. (see NN-166-132, item 8).</p> <p>Destroy when 1 year old.</p> | | |