

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(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

Regional Offices

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Carroll Stearns

5. TEL EXT

275-7696

LEAVE BLANK

JOB NO

NC1 134 77 11

DATE RECEIVED

11 APR 1977

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

4-22-77 *[Signature]*
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 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 <u>3/3/77</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE <u>Secretary</u>	
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>REGIONAL OFFICES</u></p> <p>The Interstate Commerce Commission field organization includes six regional offices located in Boston, Philadelphia, Atlanta, Chicago, Fort Worth, and San Francisco. Each region is headed by a regional managing director who is responsible for the management of all Commission activities within the region. Regions are staffed with employees who perform certain investigative and other duties specifically outlined as part of the function and description of the individual Bureaus to which they are attached.</p> <p align="center"><u>ADMINISTRATIVE RECORDS</u></p> <p>For retention and disposition instructions for administrative records other than the one item listed below, see the Commission General Schedule, NN-169-103, dated 4-18-69.</p>		
		RG 134;	28 items

175-107
Sent to agency, NNF, INC, 3NC-P, 4NC, 5NC-C, 7NC and 9NC-S - 4/26/77

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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
1.	<p><u>PERSONNEL WORKING FILE</u> - Unofficial copies of personnel records maintained in regional offices. Includes requests for personnel actions, notifications of personnel actions, service record cards, and related correspondence.</p> <p>Upon termination of employment or transfer of employee to another organizational unit, destroy the personnel folder.</p> <p style="text-align: center;"><u>ACCOUNTS RECORDS</u></p>		
2.	<p><u>CARRIER FIELD FILE</u> - File for each carrier operating within the region with records of audit activity, duplicates of correspondence from Washington, and correspondence and other materials received from carriers. The file for each carrier is broken into three parts - a correspondence section, a working papers section, and a carrier history section. The working papers consist of a Report of Examination (ACF-3), Audit Plan/Worksheets, Carrier's Position on Exceptions, Special Memorandum, Time Record, and Weekly Progress Report. The correspondence section consists of Washington and Regional Office correspondence, Commission orders, and a Statement of Findings. The carrier history consists of statements of organization and operations, accounting records, corporate minute summaries, transactions, and statements of financial condition.</p> <p>a. <u>Working Papers</u> - Break file every 5 years. Keep 5 additional years then transfer to FRC. Destroy when 15 years old.</p> <p>b. <u>Correspondence</u> - Break file every 5 years. Keep 5 additional years then transfer to FRC. Destroy when 15 years old.</p> <p>c. <u>Carrier History</u> - Destroy 15 years after carrier is no longer subject to audit.</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
3.	<p><u>COMPUTER CARRIER LISTS</u> - Lists of the five or six thousand carriers subject to periodic audits by the Commission. Used in scheduling the audits.</p> <p>Destroy when 3 years old.</p>		
4.	<p><u>FIELD INSPECTIONS</u> - Regional Auditor's report of inspection of auditing of carriers being performed in the field. Used in monitoring the field audit program.</p> <p>Destroy when 3 years old.</p>		
5.	<p><u>VIOLATIONS REFERRAL FILE</u> - Reports on violations by carriers uncovered by auditors during audits which are reported to the Bureau of Operations or Bureau of Investigations and Enforcement for further action.</p> <p>Destroy 3 years after final action.</p>		
6.	<p><u>CIVIL DEFENSE AND MOBILIZATION FILE</u> - Correspondence, reports, and notices concerning the Commission's emergency preparedness and mobilization programs. Includes material of the National Defense Executive Reserve, state plans, tests, exercises, Office of Emergency Planning, Office of Civil Defense, Office of Emergency Transportation, and emergency motor transport boards.</p> <p>Destroy when superseded.</p> <p><u>OPERATIONS RECORDS</u></p>		
7.	<p><u>COMPLIANCE SURVEY FILE</u> - Reports and correspondence concerning the inspection and investigation of the activities and operations of railroads and pipelines. Includes agency, yard, and industry checks, forms relating to movement, distribution, and handling of freight cars, assessment and collection of charges, TOFC checks, Mandatory Car Service Rule Checks, Service Order Compliance Checks, Rail Passenger Service Compliance Checks, Pipeline Compliance Checks, and Classification Rules 14 and 27 Compliance Checks.</p> <p>Destroy latest report when superseded or when 2 years old, whichever comes later.</p>		

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8.	<p><u>EMBARGO NOTICES</u> - Embargo notices, refrigerator and special car orders, Association of American Railroads notices issued by the Commission in an effort to promote rail service in the interest of the public and commerce.</p> <p>Destroy when expired.</p>		
9.	<p><u>RAIL CONDITION REPORTS</u> - Reports regarding local conditions from railroad companies forwarded to Washington from the field.</p> <p>Destroy when 1 year old.</p>		
10.	<p><u>REPORTS ON INDUSTRY NEED FOR RAIL SERVICE</u> - Reports, memoranda, notices, and transmittals received from various industries concerning projected industry need for railroad service, number of cars needed to transport a particular commodity, and other. Includes reports and memoranda received from the Department of Agriculture, the construction industry, and other users of the rails.</p> <p>Destroy when 2 years old.</p>		
11.	<p><u>RAIL COMPLAINT FILES</u> - Complaints received from the public concerning railroad service. Used in determining validity of complaint and whether or not to recommend a formal investigation and processing of the complaint to the Bureau of Investigations and Enforcement for further action. Includes replies prepared by field and Washington offices.</p> <p>Destroy closed complaints after 1 year.</p>		
12.	<p><u>CARRIER FILES</u> - Records on authorized carriers operating within the region. Many of the records in the file are duplicates of those in the official docket file in Washington. The file for each carrier is divided into a minimum of three parts, a public part, a confidential part, and a part for all other matters, but additional sections may be established as needed for enforcement accounts, finance, insurance, traffic, and others.</p> <p>a. <u>Public Operating Authority Part</u> - Includes certificates, permits or licenses, orders or recommended orders,</p>		

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	<p>transfer orders, and other records pertaining to the applications or operating authorities of the carrier or broker subject to public inspection.</p> <p>Destroy applications, orders, notices, reports, correspondence relating to applications when certificate is issued or 1 year after certificate is denied. Keep certificates until superseded, then destroy.</p> <p>b. <u>Confidential Operating Authority Part</u> - Includes reports, recommendations, correspondence, orders, and applications not subject to public inspection.</p> <p>Destroy 2 years after grant or denial of authority.</p> <p>c. <u>Enforcement Records</u> - Includes complaints and compliance surveys.</p> <p>Destroy 2 years after case is turned over to the Bureau of Investigations and Enforcement.</p> <p>d. <u>Other Records</u> - Includes correspondence relating to accounts, finance, insurance, and traffic.</p> <p>Destroy when 2 years old.</p>		
13.	<p><u>PENDING APPLICATIONS</u> - Pending applications from carriers for operating authority. Includes Investigation Report (BOP Field 26), Complaint Register Action Log (BOP-F-30), Fitness Report (BOP-F-20), orders, and correspondence with headquarters, field offices, and attorneys concerning investigation of carriers.</p> <p>Transfer approved applications to the Active Motor Carrier File.</p>		
14.	<p><u>CHANGE OF STATUS BULLETINS</u> - Lists of changes in registration of motor carriers, i.e., changes in names and addresses received from the Office of the Secretary.</p> <p>Destroy when 1 year old.</p>		

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15.	<p><u>L&E UNAUTHORIZED CARRIER FILE</u> - File on carriers found to be operating without authority. Includes Report of Investigation, Memoranda of Review, Review of Respondent's Noncompliance Record, press releases, exhibits, lists of witnesses, and notification to carrier that it is operating without authority.</p> <p>Destroy 2 years after case is turned over to the Bureau of Investigation and Enforcement.</p> <p><u>INVESTIGATIONS AND ENFORCEMENT RECORDS</u></p>		
16.	<p><u>INVESTIGATIVE REPORT CASE FILES (L&E FILES)</u> - Investigative Report Case Files consisting of reports of investigations submitted by field representatives. Includes memorandums from Bureau to the regional office, Form L&E 34, orders, briefs, and Notice to Parties. Arranged alphabetically by name of carrier.</p> <p>Destroy exhibits and reference documents 1 year after completion of action. Destroy all other material 7 years after completion of action.</p>		
17.	<p><u>ENFORCEMENT CORRESPONDENCE (EC FILES)</u> - Correspondence between the Director, Bureau of Investigations and Enforcement, and District Supervisors of the Bureau of Operations furnishing opinions and interpretations for investigations; guidelines on procedures to be followed in various cases; copies of reports of investigations; correspondence with carriers and the public concerning complaints; and enforcement actions.</p> <p>a. <u>Correspondence leading to or concerning an investigation</u> - Merge with corresponding investigative report case file.</p> <p>b. <u>Remaining File</u> - Destroy when 5 years old.</p>		
18.	<p><u>MOTOR, WATER, AND FREIGHT FORWARDER ENFORCEMENT COURT CASE FILES (E FILES)</u> - File concerning Bureau's</p>		

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	<p>participation in criminal and civil court actions brought against motor carriers, water carriers, and freight forwarders for violation of Parts II, III, and IV of the Act, the Elkins Act, the Clayton Antitrust Act, or related acts. Includes copies of memoranda to Division 1 by field attorneys setting forth alleged violations, descriptions of parties involved, facts bearing on the case, and recommendations; copies of minutes transmitted to field attorneys from Division 1 indicating action on recommendations and advising of assignment of U. S. Attorney to the case; memoranda from field attorneys advising that court information has been filed with U. S. District Attorney and other memoranda arrangements for court action; copies of pleadings filed in court, such as criminal information, complaints, briefs, exhibits, correspondence regarding the case, notices of appeal, and notices showing outcome of case.</p> <p>a. <u>Case Exhibits and Reference Documents</u> - Destroy 1 year after close of case.</p> <p>b. <u>All Other Records</u> - Destroy 15 years after case is closed.</p>		
19.	<p><u>RAIL AND PIPELINE ENFORCEMENT COURT CASE FILES</u> - Rail and Pipeline enforcement court case files, consisting of investigative reports and correspondence, exhibits and related papers, memorandums of facts and law, record of authorization of court action, all pleadings, correspondence, briefs, and other records and papers concerning institution and prosecution of court action. Includes copies of court orders and records and all correspondence, pleadings and records in connection with any appeal of the lower court action.</p> <p>a. <u>Case Exhibits and Reference Documents</u> - Destroy 1 year after close of case.</p> <p>b. <u>All Other Records</u> - Destroy 15 years after case is closed.</p>		
20.	<p><u>ADMINISTRATIVE PROCEEDINGS CASE FILES ("A" FILES)</u> - Files relating to Bureau's participation in administrative proceedings before the Commission under Parts I,</p>		

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	<p>II, III, and IV of the Act which involve such matters as fitness of applicants for operating rights; investigations of possible violations; rulemaking proceedings; and application proceedings involving the issue of public convenience and necessity. Files consist of copies of Commission orders opening or reopening proceedings; petitions and briefs; stipulations; petitions of intervenors; replies of protestants to petition; correspondence and memoranda regarding the assignment of protestants to petition; correspondence and memoranda regarding the assignment of cases for hearing; technical questions on procedures, and related matters in advance of hearings; mailing lists for orders; copies of the report of the Commission and orders showing outcome of proceedings; press release indicating the Commission's action on case, and related papers.</p> <p>Destroy exhibits and reference documents 1 year after close of case. Destroy remainder of file 5 years after close of case.</p>		