

4/1/83

### 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 Compliance & Consumer Assistance

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Carroll Stearns

5. TEL EXT

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED 7-7-83	JOB NO NC1-134-83-6
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 "with drawn" in column 10	
2-26-87 (Date)	<i>Frank A. Burns</i> Archivist of the United States

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

June 28, 1983  
Date

*Gyula T. Dreyer*  
(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>Office of Compliance and Consumer Assistance</p> <p>The Office of Compliance and Consumer Assistance reviews and monitors the surface transportation industry's compliance with the revised Interstate Commerce Act and Commission Regulations related to operations; keeps the Commission advised concerning operations and practices of surface transportation industries; develops and implements a nationwide investigatory and prosecutory program for all modes of surface transportation subject to Commission jurisdiction; provides assistance to the general public and in particular to consumers, in matters such as household goods service problems and loss, damage, and inconvenience claim settlements; and, coordinates the Commission's overall mobilization activities, including the National Defense Executive Reserve Program, and provides liaison with other Federal and State agencies.</p> <p>This schedule supersedes the old schedules for the Bureau of Operations, NC1-134-76-9, dated 1/13/77 and the Bureau of Enforcement, NC1-134-76-8, dated 10/20/76. These two bureaus were consolidated to form the Office of Compliance and Consumer Assistance.</p>		

22 *item*

3/2/87 ICC - NCF - NNF

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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>1. <u>Statistical Reports File</u> - Quarterly trend analysis reports of field activities indicating action taken with respect to operating authority, traffic, insurance, and administration, 3 cubic feet; 1981-1983. (See NC1-134-76-9, Item 2)</p> <p>Destroy when 2 years old.</p>	NC1-134-76-9/2916	
2.	<p>1. <u>National Defense Transportation Plans</u> - National Defense classified files consisting of plans and directives for developing and implementing programs for National Defense transportation emergencies, 1-1/2 cubic feet; 1980-1983. (See NC1-134-76-9, Item 4)</p> <p>Destroy when superseded.</p>	NC1-134-76-9/4	
3.	<p><del>1. <u>Regional Assistance Reviews</u> - Reports concerning inspections conducted at regional and field offices and related material, 3 cubic feet; 1980-1983.</del></p> <p><del>Destroy when 3 years old.</del></p>		WITHDRAWN
4.	<p>1. <u>Correspondence File</u> - Copies of letters, memorandums, and reports prepared by the Office staff, 12 cubic feet; 1980-1983. (See <del>NC1-134-76-9, Item 1</del>)</p> <p>Destroy when 3 years old.</p> <p style="text-align: center;"><u>SECTION OF OPERATIONS</u></p> <p>The Section of Operations serves as a focal point for receiving, processing, and answering telephonic and written consumer complaints and inquiries and provides assistance to consumers, i.e., travelers and shippers throughout the Nation for all modes of regulated carriers; and performs work in connection with the administration of certain provisions of the Act relating to railroads, motor and water carriers, freight forwarders and brokers.</p>	GRS 231	

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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
5	<p><i>b.</i> Correspondence File - Copies of letters, memorandums, and reports prepared by the Section staff, 40 cubic feet; 1980-1983.</p> <p>Destroy when 3 years old.</p>	<p>NC1-134-76-9/5,8,9,10,17,18,19,24,26,28 &amp; 33.</p>	
6	<p><i>b.</i> Cancelled Embargo Notices - Public notification by motor carriers of property of inability to perform authorized transportation services, 1/3 cubic feet; 1972-1982. (See NC1-134-76-9, Item 12)</p> <p>Destroy 1 year after cancellation.</p>	<p>NC1-134-76-9/12</p>	
7	<p><i>f.</i> Carrier Annual Performance Report - Reports submitted annually by household goods carriers including data relating to performance. Available for use by public and used by the Commission as a source of data relating to service performance by the individual carriers and the industry, 2 cubic feet; 1980-1982. (See NC1-134-76-9, Item 15)</p> <p>Destroy when 5 years old.</p>	<p>NC1-134-76-9/15</p>	
8	<p><i>f.</i> Insurance and Surety Bond File - Certificates of insurance, surety bonds and cancellation notices for motor carriers, freight forwarders and brokers. Also includes designation of agents for service of legal process maintained by contractor. (See NC1-134-76-9, Item 27)</p> <p><i>Cutoff on revocation or cancellation of operating authority.</i></p> <p>Destroy 5 years after <del>operating authority is revoked or</del> cancelled.</p>	<p>NC1-134-76-9/27</p>	
9	<p><i>f.</i> Self-insured Motor Carrier and Freight Forwarder Application File - Self-insured case files of motor carriers and freight forwarders approved for self-insurance under rules and regulations of the Commission, consisting of applications to self-insure with attached financial and claims data, a copy of the ICC order of authority to self-insure, quarterly financial statements in the form of balance sheets, quarterly reports with respect to claims authorized to self-insure, and related documents and correspondence, 8 cubic feet; 1936-1983. (See NC1-134-76-9, Item 30)</p>	<p>NC1-134-76-9/30</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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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	(a) Destroy Quarterly Financial Statements and Claims reports when 3 years old.		
10. <del>10.</del>	(b) All other material - Destroy 5 years after expiration of self-insurance authority.  <u>Insurance Company Financial Statements</u> - Insurance company quarterly financial statements, annual financial worksheets, and related correspondence, 6 cubic feet; 1982-1983. (See NC1-134-76-9, Item 31)  Destroy when 2 years old.	NC1-134-76-9/31	
11. <del>11.</del>	<u>Designated Insurance Companies Financial Statements</u> - Annual financial statements submitted by designated insurance companies used to evaluate the companies' ability to furnish motor carriers bodily injury, property, and cargo damage insurance, 6 cubic feet, 1982-1983. (See NC1-134-76-9, Item 32)  Destroy annually when superseded.	NC1-134-76-9/32	
12. <del>12.</del>	<u>Revocation of Authority File</u> - Confidential file containing correspondence, staff recommendations, requests for revocation of operating authority and decisions of the Revocation Board, 75 cubic feet; 1982-1983.  Destroy 90 days after effective date of final decision.		
13. <del>13.</del>	<u>Commodity Reports and Car Supply Summaries</u> - Reports and summaries from the Association of American Railroads involving status of commodity shipments, storage facilities and car supply conditions, 6 cubic feet, 1978-1983. (See NC1-134-76-9, Item 22 and 23)  Destroy when 5 years old.	NC1-134-76-9/22+23	

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14. ✓	<p style="text-align: center;"><u>SECTION OF ENFORCEMENT</u></p> <p>The Section of Enforcement develops and implements the Commission's consumer protection programs particularly through investigation and prosecutions with respect to all modes of surface transportation subject to Commission jurisdiction.</p> <p><u>Interpretations Files</u> - Records created and maintained by the Interpretations staff in furnishing informal legal interpretations and other information concerning the rail, motor, water and forwarder provisions of the Act and the regulations and operating authorities issued thereunder; advising and assisting in the development of recommendations and proposals pertaining to motor carrier regulations; preparing recommendations on carrier rental contracts; preparing administrative rulings; and in preparing and maintaining an Interpretations Manual which includes digests of important court and Commission decisions and information interpretations as they relate to motor carriers. Interpretations files created by the Interpretations staff in furnishing interpretations and opinions relating to the various aspects of regulations and compliance such as matters relating to limitations of carriers' operating authorities; carriers' liability for shipments; and limitations on carriers' rights to transport certain commodities, 21 cubic feet; 1980-1983. (See NC 1-134-76-9, item 5)</p> <p>Close file every 3 years. Transfer closed file to the Federal Records Center and destroy 6 years after closed.</p>	NCI-174-76-9/5	
15. ✓	<p style="text-align: center;"><u>PRACTITIONER INVESTIGATIVE FILES</u></p> <p>Practitioner files relating to alleged unethical conduct of practitioners before the Commission. Consists of investigative reports, correspondence, and record of action taken, 90 cubic feet; 1982-1983. (See NC1-134-76-8, Item 1)</p>	NCI-174-76-8/1	

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16.	<p><i>cancel when case is closed.</i></p> <p><del>1 Retain file at ICC <i>3</i> years then</del>  Transfer to Federal Records Center? Destroy when 20 years old.</p> <p><i>old.</i></p> <p><u>ENFORCEMENT COURT CASE FILES</u> - Files concerning the Section's participation in criminal and civil court actions brought against carriers and shippers and others for violation of the Interstate Commerce Act, the Elkins Act, the Clayton Antitrust Act, or related acts. Includes copies of memoranda to the Commission by attorneys setting forth alleged violations, descriptions of parties involved, facts bearing on the case, and recommendations; memoranda from field attorneys; 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, 240 cubic feet; 1982-1983. (See NC1-134-76-8, Items <del>2, 3, 4, 6, 7, 8 and 9</del>)</p> <p>(a) Case exhibits and reference documents.</p> <p>Destroy 1 year after close of case.</p> <p>(b) Enforcement files for those court cases specifically identified in the annual reports of the Commission as having been decided by the United States Supreme Court.</p> <p>Permanent. Transfer to the Federal Records Center 3 years after case is closed. Offer to NARA 15 years after case is closed <i>in 5 year blocks.</i></p> <p>(c) All other case files.</p> <p>Transfer to the Federal Records Center 3 years after case is closed. Destroy 15 years after case is closed.</p>	NC1-134-76-8/407	

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ADMINISTRATIVE PROCEEDINGS CASE FILES

Files relating to the section's participation in administrative proceedings before the Commission 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 releases indicating the Commission's action on case, and related papers. Arranged by 4-digit number, 68 cubic feet; 1983. (See NC1-134-76-8, Item 5)

NC1-134-  
76-8/5+8

*Cutoff when case is closed.*

(a) Destroy exhibits and reference documents 1 year after close of case. ~~Retain file at Commission when 3 years old. Then transfer to the Federal Records Center. Destroy 10 years after close of case.~~

18. ~~18.~~

INVESTIGATIVE REPORT CASE FILES

Investigative report case files consisting of investigative reports, correspondence, exhibits necessary for initiating court actions or administrative proceedings against carriers for alleged violation of Commission regulations. Includes data on carrier, compliance record, basis and facts of investigation, recommendations, and notification of actions, arranged numerically with district, 68 cubic feet; 1983.

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76-8/2

(a) Destroy exhibits and reference documents 1 year after close of case. Transfer prosecuted cases to Enforcement Court Case

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Files or Administrative Proceedings Case Files as appropriate and follow disposition therein.

(b) Transfer non-prosecuted cases to the Federal Records Center 3 years after case is closed. Destroy ~~7~~ years after case is closed. (See NC1-134-76-8, Item ~~2~~)

*Review per  
 Ms. Sandra Stovall  
 ICC 5/24/86. RSH*