

ENFORCEMENT DIVISION

1. Formal Complaint Files. Complaints filed against common carriers in accordance with Section 1.720 et seq. of the Commission's Rules. The files contain the original complaints and related correspondence, pleadings and Commission orders.

Destroy two (2) years after final action and all appeals exhausted.

- ~~2. Informal Complaint and Inquiry Files. Complaints filed against common carriers in accordance with Section 1.716 et seq. of the Commission's Rules. The files contain the original complaints and related correspondence and carriers reports.~~

~~Destroy two (2) years after case closure.~~

3. Enforcement Action Case Files. Investigations, mergers and requests for declaratory rulings pertaining to common carriers. The files contain correspondence, pleadings and Commission orders.

Destroy two (2) years after final action and (where relevant) all appeals exhausted.

4. Pole Attachment Case Files. These files contain correspondence, background materials and complaints on pole attachment matters (i.e., cable television attachments to utility poles).

Destroy two (2) years after final action and all appeals exhausted.

- ~~5. Interlocking Directorate Files. Applications and reports filed pursuant to Part 62 of the Commission's Rules for authority to hold interlocking directorates (i.e., position of director in more than one common carrier). The files contain the original applications and related correspondence and Commission rulings.~~

~~Destroy upon cancellation of authorization.~~

- ~~6. Freedom of Information Act (FOIA) and Privacy Act Request Files. Requests for records filed pursuant to the FOIA or Privacy Act. The files contain the original requests, related correspondence and Common Carrier Bureau rulings, along with copies of the requested records.~~

~~a. If request is granted within statutory time limits and, in no way, appealed, destroy two (2) years after date of reply.~~

~~b. If request is either partially or fully denied, appealed or answered after expiration of statutory time limits, destroy seven (7) years after reply.~~

ASSISTANT BUREAU CHIEF, INTERNATIONAL

Conference Staff

7. Committee and Conference Files. Copies of contributions, reports, notices, publications and work papers of interagency and international organizations such as CCITT (International Telegraph and Telephone Consultative Committee), a part of the ITU (International Telecommunication Union). The CCITT work is coordinated with the U.S. National Committee for CCITT, under the chairmanship and direction of the U.S. State Department.

- a. CCITT Study Group Contributions and Meeting Reports - Containing the ongoing information of the work within CCITT dealing with development of international telecommunications standards and recommendations. (Study Groups I through XVIII).

Destroy when no longer needed for current business and/or at the end of each CCITT Plenary Period (usually four (4) years).

- b. CCITT Circular Letters, CCITT Collective Letters, ITU Operational Bulletins and Notifications - Containing update material and current information relative to CCITT and ITU activities provided to Administrations.

Destroy when no longer needed for current business or obsoleted, whichever comes first.

- c. CCITT Publications (Ship Station Lists, Coast Station Lists, CCITT Recommendations, etc.)

Destroy when no longer needed for current business and/or at the end of each CCITT Plenary Period (usually four (4) years).

8. Fixed Satellite Advisory Committee - These files document the United States study of the impact of the recommendations by a 1977 World Administrative Radio Conference (WARC) for regulating fixed communications satellites. Deliberations of the committee, composed of industry and Governmental representatives, are included in the records. A report of the Committee's findings and recommendations is in Docket 20271 files and formed the basis for the United States recommendations to the 1979 WARC.

Transfer to the Federal Records Center five (5) years after close of the 1979 WARC. Destroy fifteen (15) years after close of 1979 WARC.

9. INTELSAT Related Materials. These files contain documents which relate to the International Telecommunications Satellite Organization (INTELSAT). The files consist of documents prepared within INTELSAT

necessary for the overall management and administration of the organization. For example, technical reports, statistics, financial material. These are in sufficient detail for INTELSAT to take major decisions concerning matters involving organization, procurement, rates and services, etc. The files also include documents which pertain to the U.S. government oversight of COMSAT in the INTELSAT organization. These include materials related to matters under consideration by INTELSAT and consist of internal government memoranda, correspondence between government agencies and correspondence between government agencies and COMSAT. For example, the Department of State formally instructs COMSAT before each meeting of the INTELSAT Board of Governors concerning certain agenda items. State's letter of instruction is included in the file. Permanent documentation of this function is maintained by the Department of State.

A file of COMSAT/INTELSAT documents has been established consisting of: Data Handbook, COMSAT Corporate R&D Programs and Project Reports, INTELSAT Data Handbook, INTELSAT Patent Portfolios, INTELSAT Tariff Manual, and INTELSAT Board of Governors documents and related materials. These documents have been made available in the Common Carrier Bureau Reference Room for public inspection and duplication.

INTELSAT related reports, studies and statistics. Transfer to Federal Records Center when ten (10) years old.
Destroy when twenty-five (25) years old.

10. INMARSAT Related Materials. These files contain documents which relate to the International Maritime Satellite Organization (INMARSAT). The files consist of documents prepared within INMARSAT necessary for the overall management and administration of the organization. For example, technical reports, statistics, financial material. These are in sufficient detail for INMARSAT to make major decisions concerning matters involving organization, procurement, rates and services, etc. Permanent documentation of this function is maintained by the Department of State.

A file of INMARSAT Council documents and related materials has been established in the Common Carrier Bureau reference room for public inspection and duplication.

INMARSAT related reports, studies and statistics.
Transfer to Federal Records Center when ten (10) years old.
Destroy when twenty-five (25) years old.

POLICY AND PROGRAM PLANNING DIVISION

11. Project Case Files. These files include working papers, notes, drafts and comments concerning such matters as petitions for declaratory rulings from common carriers, petitions for rulemaking, jurisdictional interpretations and decisions (including jurisdictional separations), legislative initiatives, rulemaking proceedings and investigations, entry and market structure policy and plans, policy objectives, integration and implementation, domestic and international plans and policies. Original filings, pleadings, comments, replies and applications should be filed with Dockets Branch or any other official office of record.

Destroy final staff studies six (6) years after completion of project.

Destroy working papers, notes, drafts or comments when no longer needed for current business or obsoleted whichever comes first.

12. Official Office of Record Files. These files contain original filings, pleadings, comments, replies and applications in non-docketed proceedings that are assigned to the Policy Division.

Destroy ten years after proceeding is closed.

13. Public Files for General Inspection. These files contain duplicate filings, pleadings, comments, replies and applications in non-docketed proceedings that are available for public inspection.

Destroy files after proceeding is closed.

ACCOUNTING AND AUDITS DIVISION

Legal Branch

14. Duplicate Case Files. These files contain copies of carrier waiver requests, petitions, public comments, public notices, and Commission orders and correspondence.

Maintain in office.

Destroy three (3) years after case is closed.

15. Petitions for Waivers, Clarifications or Declaratory Rulings. These files contain copies of non-docketed petitions seeking waiver, clarification or declaratory ruling regarding matters within the Division's responsibilities including Computer II projects. Files also contain responsive pleadings, staff memoranda and copies of applicable orders and correspondence.

Maintain in office.

Transfer to Federal Records Center five (5) years after case is closed.

Destroy ten (10) years after case is closed.

Cost Analysis Branch

16. ~~Automated Reporting and Management Information System (ARMIS). Reports are required to be filed by telephone companies that are subject to FCC jurisdiction and have annual operating revenues in excess of \$100 million. The reports include the 43.01 Quarterly Report, the 43.02 USOA Report, the 43.03 Joint Cost Report, the 43.04 Separations and Access Report, the FCC 495A Forecast of Investment Usage Report, and the FCC 495B Actual Usage of Investment Report. The first reports cover 1988.~~

~~Filing Arrangements. Reports are filed in hard copy and on computer disk and include a public version and a confidential version.~~

~~Annual Accretion. Each year's report contains approximately 30 cubic feet of hard copies and four cubic feet of computer disks.~~

~~Disposition. Permanent.~~

~~Transfer to the Federal Records Center when five (5) years old.~~

~~Offer to National Archives when fifteen (15) years old in 10 year blocks (e.g., offer 1988 - 1997 block in 2013).~~

17. Carrier Cost Allocation Manuals. In Docket CC 86-111 the Commission required carriers, that have annual revenues in excess of \$100 million and provide both regulated and nonregulated services, to file a detailed cost allocation manual that specifies how the carrier will allocate its cost between its regulated and nonregulated operations. Carriers are required to revise their cost manuals and to implement these revisions in 60 days if the Commission staff does not object to the revisions.

Cost Analysis Branch

16. Automated Reporting and Management Information System (ARMIS). [1988 and thereafter] ARMIS is financial and operating information required by FCC to administer its accounting, joint cost, jurisdictional separations, rate base disallowance, and access change rules. ARMIS consist of information that is required to be filed by Tier 1 telephone companies that are subject to FCC jurisdiction. Tier 1 telephone companies/carriers are those entities having annual revenues from regulated telecommunications operations of \$100 million or more.

A. Input/Source Records

1. 43-01 Quarterly Report (paper copy). Collects Parts 32, 64, 36, and 69 financial data, at the study area level, on an aggregated basis. This report includes revenues, expenses, taxes, plant in service, other investment, depreciation reserves and return data as allocated between regulated and nonregulated operations pursuant to Part 64; as allocated between the state and interstate jurisdictions pursuant to Part 36; and as apportioned among the access elements pursuant to Part 69. The quarterly report is a cumulative report for each reporting quarter of the year. The ARMIS Quarterly Report file specifies information requirements in a consistent format and is essential to the FCC to monitor revenue requirements, in a consistent format and is essential to the FCC to monitor revenue requirements, rate of return, jurisdictional separations and access charges.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

2. 43-01 Quarterly Report (electronic copy). Collects Parts 32, 64, 36, and 69 financial data, at the study area level, on an aggregated basis. This report includes revenues, expenses, taxes, plant in service, other investment, depreciation reserves and return data as allocated between regulated and nonregulated operations pursuant to Part 64; as allocated between the state and interstate jurisdictions pursuant to Part 36; and as apportioned among the access elements pursuant to Part 69. The quarterly report is a cumulative report for each reporting quarter of the year. The ARMIS Quarterly Report file specifies information requirements in a consistent format and is essential to the FCC to monitor revenue requirements, in a consistent format and is essential to the FCC to monitor revenue requirements, rate of return, jurisdictional separations and access charges.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

3. 43-02 Uniform System of Accounts Report (paper copy). Collects the operating results of the local exchange carrier's total activities, at the operating company level, for every account in the Uniform System of Accounts (USOA), as specified in Part 32 of the Commission's rules. This report consists of a balance sheet schedule and an income statement schedule. The ARMIS USOA Report File specifies information requirements in a consistent format and is essential to the FCC to monitor revenue requirements, rate of return, jurisdictional separations and access charges.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

4. 43-02 Uniform System of Accounts Report (electronic copy). Collects the operating results of the local exchange carrier's total activities, at the operating company level, for every account in the Uniform System of Accounts (USOA), as specified in Part 32 of the Commission's rules. This report consists of a balance sheet schedule and an income statement schedule. The ARMIS USOA Report File specifies information requirements in a consistent format and is essential to the FCC to monitor revenue requirements, rate of return, jurisdictional separations and access charges.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

5. 43-03 Joint Cost Report (paper copy). Collects the allocations to regulated and nonregulated activities, at the study area level, for those accounts that are involved in the rate making process. This report consists of the total amount of regulated and nonregulated operating activities, as required by Part 64 of the Commission's Rules. The ARMIS Joint Cost Report File specifies information requirements in a consistent format and is essential to the FCC to monitor revenue requirements and joint cost allocations.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

6. 43-03 Joint Cost Report (electronic copy). Collects the allocations to regulated and nonregulated activities, at the study area level, for those accounts that are involved in the rate making process. This report consists of the total amount of regulated and nonregulated operating activities, as required by Part 64 of the Commission's Rules. The ARMIS Joint Cost Report File specifies information

requirements in a consistent format and is essential to the FCC to monitor revenue requirements and joint cost allocations.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

7. 43-04 Separations and Access Report (paper copy). Provides operating results of the carriers' allocation of costs which are subject to separations pursuant to separations and access rules. This file consists of subject to separation amount, state amount, interstate amount, common line amount, inside wire amount, traffic sensitive amount, equal access amount, billing and collection amount, interexchange amount, e.g.,.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

8. 43-04 Separations and Access Report (electronic copy). Provides operating results of the carriers' allocation of costs which are subject to separations pursuant to separations and access rules. This file consists of subject to separation amount, state amount, interstate amount, common line amount, inside wire amount, traffic sensitive amount, equal access amount, billing and collection amount, interexchange amount, e.g.,.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

9. 495A Forecast of Investment Usage Report (paper copy). Collects forecasts of expected regulated and nonregulated investment usage. These forecasts are an integral part of the cost support that accompanies the carrier's proposed access tariffs for the next calendar year. This report consists of forecasted regulated use of investment. This file includes a public version and a business confidential version.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

10. 495A Forecast of Investment Usage Report (electronic copy). Collects forecasts of expected regulated and nonregulated investment usage. These forecasts are an integral part of the cost support that accompanies the carrier's proposed access tariffs for the next calendar year. This report consists of forecasted regulated use of investment. This file includes a public version and a

business confidential version.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

11. 495B Actual Usage of Investment Report (paper copy). Collects the actual levels of regulated and nonregulated investment use for the previous calendar year. The actual usage in a reporting period is compared to the forecasted usage for that same period, pursuant to Part 64 of the Commission's Rules. This file includes a public version and a business confidential version.

Disposition: TEMPORARY. Destroy when the information is no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

12. 495B Actual Usage of Investment Report (electronic copy). Collects the actual levels of regulated and nonregulated investment use for the previous calendar year. The actual usage in a reporting period is compared to the forecasted usage for that same period, pursuant to Part 64 of the Commission's Rules. This file includes a public version and a business confidential version.

Disposition: TEMPORARY. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or data base, whichever is later.

B. Master Files

1. 43-01 Quarterly Report Master File. Aggregated financial data reflecting the results of accounting, rate base, and cost allocation requirements. This file consists of the total amount of regulated and nonregulated operating results, nonregulated amount, common line amount e.g.,. The fourth quarterly report is cumulative data covering the year to date.

Any Privacy Restrictions: There are no privacy restrictions.

Current volume:1 reel. Annual accumulation:1 reel.

Disposition: TEMPORARY. Delete when no longer needed.

2. 43-02 Uniform System of Accounts (USOA) Report Master File. Provides the operating results of the carriers' total activities for every account in the USOA, as specified in Part 32 of the Commission's rules. This file consists of income statement total amount, salaries and wages, rents, benefits, e.g.,.

Statement of Restrictions: There are no restrictions.

Current volume: 1 reel. Annual accumulation:1 reel.

Disposition: PERMANENT. Cutoff annually. Transfer to NARA when 5 years old.

3. 43-03 Joint Cost Report Master File. Provides study area data for regulated and nonregulated operations for those accounts which are related to a carrier's revenue requirement. This file consists of the total amount of regulated and nonregulated operating results, directly assigned-regulated amount, directly assigned-nonregulated amount, attributed-regulated amount, attributed-nonregulated amount, e.g.,.

Statement of Restrictions: There are no restrictions.

Current volume:1 reel. Annual accumulation:1 reel.

Disposition: PERMANENT. Cutoff annually. Transfer to NARA when 5 years old.

4. 43-04 Separations and Access Report Master File. Provides operating results of the carriers' allocation of costs which are subject to separations pursuant to separations and access rules. This file consists of subject to separation amount, state amount, interstate amount, common line amount, inside wire amount, traffic sensitive amount, equal access amount, billing and collection amount, interexchange amount, e.g.,.

Statement of Restrictions: There are no restrictions.

Current volume:1 reel.

Estimated annual accumulation:1 reel.

Disposition: PERMANENT. Cutoff annually. Transfer to NARA when 5 years old.

5. FCC 495A Forecast of Investment Usage Report Master File. Provides the forecasts and resulting investment allocations incorporated in a carrier's cost support for its access tariffs. This file consists of cost category, regulated use, nonregulated use projected gross investment, total investment, nonregulated investment, regulated investment, e.g.,. This file includes a public use version and a business confidential version.

Any Privacy Restrictions: There are privacy restrictions.

Current volume:1 reel for each version.

Estimated annual accumulation:1 reel for each version.

Disposition: TEMPORARY. Delete when no longer needed.

6. FCC 495B Actual Usage of Investment Report Master File. Provides the carrier's costs between regulated and nonregulated operations. This file consists of cost category, regulated use, nonregulated use projected gross investment, total investment, nonregulated investment, regulated investment, e.g.,. This file includes a public use version and a business confidential version.

Statement of Restrictions: There are FOIA/Privacy Act restrictions.

Current volume: 1 reel for each version.

Estimated annual accumulation: 1 reel for each version.

Disposition: PERMANENT. Cutoff annually. If the restrictions apply at the time of transfer, transfer both versions to NARA when 5 years.

C. System Documentation.

1. 43-01 Quarterly Report File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file.

2. 43-02 Uniform System of Accounts (USOA) Report File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: PERMANENT. Transfer copy of documentation with Master file. Transfer updates and changes annually with subsequent transfer of the Master file.

3. 43-03 Joint Cost Report Master File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: PERMANENT. Transfer copy of documentation with Master file. Transfer updates and changes annually with subsequent transfer of the Master file.

4. 43-04 Separations and Access Report Master File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: PERMANENT. Transfer copy of documentation with Master file. Transfer updates and changes annually with subsequent transfer of the Master file.

5. FCC 495A Report Master File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file.

6. FCC 495B Report Master File. Systems specifications, file specifications, codebooks, record layouts, user guides, output specifications and final reports (regardless of medium) relating to the master file.

Disposition: PERMANENT. Transfer copy of documentation with Master file. Transfer updates and changes annually with subsequent transfer of the Master file.

Maintain active manuals on file in office.

Destroy superseded pages when obsolete or no longer required for current business or administrative purposes.

18. Federal- State Joint Board Activity. These files include data and comments used to evaluate revisions in jurisdictional separation of costs between the state and interstate jurisdiction as prescribed in Part 36 of the Commission's rules. These data and comments are filed in response to Commission and Joint Board requests, to assist them in determining possible alternative methods of separating costs.

Maintain in office.

Destroy when obsolete or no longer required for current business or administrative purposes.

Audits Branch

19. Audit Workpapers and Reports. Confidential reports and workpapers on audits and investigations of international record carriers, Western Union, and telephone companies. This information is located in the Branch's New York Field Office and in the Washington, D.C. Office.

Transfer to the Federal Records Center when three (3) years old.

Destroy when seven (7) years old.

Depreciation Rates Branch

20. Depreciation Rates Subject File. Correspondence, memoranda and other data in connection with depreciation rate studies between FCC and communications common carriers, state commissions and others.

Maintain in office.

Transfer to Federal Records Center when four (4) years old.

Destroy when eleven (11) years old.

21. Depreciation Rates Filings. Filings of proposed changes in depreciation rates in compliance with Section 43.43 of the Rules and its predecessor requirement, FCC Order #100. These filings, which are submitted by the larger FCC-subject local exchange carriers and AT&T on a 3 year rotating basis, are two page letters with six page attachments per State. The filings propose changes in depreciation rate for plant equipment and other long-term assets. The accounting entries derived will affect the asset account balances of all future financial statements. These records contribute to the financial history of the rate structures of the carriers.

Maintain in office.

Transfer to Federal Records Center when ten (10) years old.

Destroy when forty (40) years old.

22. Depreciation Studies. Data furnished by telephone and telegraph companies at specific staff request in connection with procedure of prescribing depreciation rates and consists of future plans for the retirement of plant and future expected salvage costs of removal of retired plant. Also included are data covering all outside plant classes, buildings, central office equipment, certain classes of private branch exchanges, motor vehicles, furniture, and office equipment and historical data for plant classes for which mortality data are not available, and data concerning gross salvage recoveries and cost incurred on removal of plant.

Maintain in office.

Transfer to the Federal Record Center when three (3) years old.

Destroy when ten (10) years old.

23. Salvage Data. Workpapers and other reference data underlying staff study of depreciation and prescription of rates for telephone and telegraph companies. Also included are the determination of service lives of property by computer mortality turnover and other methods and analysis of historical salvage value and costs of removal.

Maintain in office.

Destroy material as superseded.

24. Service Life Reference Material. Reference material concerning the development of average service lives and consists of typical life tables applicable to physical properties, growth adjustment charts for turnover cycle studies, charts and textual material describing retirement rate methods of service life equipment. Also kept as reference material are descriptions of the application of the indicated survivor method of service life determination and graduation routines.

Maintain in office.

Destroy material as superseded.

25. Theoretical Reserve Studies. Depreciation reserve requirements studies.

Maintain in office.

Destroy when obsolete or no longer required for current business or administrative purposes.

26. Depreciation Rates Prescriptions. Depreciation study (reference) material concerning prescription of rates for international record carriers and Western Union.

Maintain in office.

Destroy when obsolete or no longer required for current business or administrative purposes.

Accounting Systems Branch

27. Uniform System of Accounts Files. In accordance with Parts 32, 33, 34, 35, 42, 43, and 64 of the Rules, official files relating to the Uniform System of Accounts and related rules and regulations, i.e., pension accrual data, disposition units, exchange of securities, acquisition of property, and carriers reports of amounts due or unpaid for communications services rendered candidates for Federal office.

Maintain in office.

Destroy when superseded or no longer required for current business or administrative purposes.

28. Original Continuing Property Records. These are reports filed by carriers in accordance with Parts 32, 34, 35, 64 of the Rules, together with associated correspondence, memoranda, workpapers and reference data.

Maintain in office.

Destroy obsolete and superseded material.

29. USOA Rewrite Files. This is the historical record of the rewrite of the Uniform System of Accounts for Telephone Companies (USOA), Part 32. This consists of the meeting files, related correspondence, memoranda and work papers of the Telephone Industry Advisory Group (TIAG) which was established to assist in writing the new USOA.

Maintain in office.

Destroy when no longer required for current business or administrative purposes.

DOMESTIC FACILITIES DIVISION

Domestic Radio Branch

30. Station Files. These records, filed by license name and call sign, are for all applicable radio common carrier services under Part 21 of the Commission's Rules. Files contain all applications for construction permits, licenses, assignments of license, transfer of control or for renewals of licenses which have had final dispositions.
- a. Bell Operating Companies, American Telephone and Telegraph Companies, Continental Telephone Company, General Telephone Company and United Telephone Company Documents.
- Transfer to Federal Records Center when two (2) years old.
Destroy when ten (10) years old.
- b. All Other Companies.
- Transfer to Federal Records Center when two (2) years old.
Destroy when twenty (20) years old.
- c. Vacated/Deleted Stations.
- Transfer to Federal Records Center annually.
Destroy when eleven (11) years old.
31. Special Temporary Authorization Files. These files contain temporary authorizations for the various common carrier services in the Domestic Branch. Temporary authorizations are issued usually for not more than 180 days after which a regular license may be issued. These files consist of working, reference copies. The record copy is maintained in item 30 above.
- Destroy one (1) year after temporary authorization has expired.
32. FCC Form 430. These files are the legal qualifications, Form 430. Under Part 21.11 of the Commission's Rules, the Commission is required to know various aspects of legal and financial ownership of common carriers, connected with the stations stipulated in item 30 above.
- Destroy all material as it is superseded. (Destruction is after review of Branch Chief or designated attorney).
33. Ownership File. Under Section 310 of the Communications Act and Part 1 of the Commission's Rules, when 50% of ownership or ownership changes (new), then either one of two forms is filed for those stations listed in item 30 above. FCC Form 702, Assignment of Permit/License, or FCC Form

704, Transfer of Control of License, are the required forms. Arrangement is by company.

Maintain in office.

Destroy when portions are superseded or become obsolete.

34. Antenna Pattern Files. These files contain reference data as to the manufacturer (serial number, technical data, etc.) of the antenna which an applicant for license (see item 30 above) intends to use.

Destroy obsolete or superseded files.

Domestic Services Branch

- ~~35. Authorization for Extension of Lines and Discontinuance of Service Files. These records are authorizations issued to common carriers under Section 214 of the Communications Act and Part 63 of the Commission's Rules.~~

~~Transfer to Federal Records Center two (2) years after date of grant.~~

~~Destroy when fifty (50) years old.~~

36. History Cards for 214 Authorizations. These contain a compilation of all key actions for 214 authorizations covered in item 35.

Maintain in office.

Destroy when no longer needed.

- ~~37. Summaries of Processing Status of Applications. These files contain the annual and monthly summaries of the processing status of applications for station licenses. The applications were submitted under Section 214 of the Communications Act and Part 21 of the Commission's Rules. This is a dead file no longer used.~~

~~Maintain in office for reference purpose.~~

~~Destroy when no longer needed.~~

- ~~38. Equipment Registration Files. Under Part 68 of the Commission's Rules, the Commission requires information concerning characterization of registered equipment. This category concerns terminal equipment connected to the telephone network. The file contains the original FCC Form 730, authorization, and related papers.~~

~~Transfer to Federal Records Center when one (1) year old.~~

~~Destroy when seven (7) years old.~~

Satellite Radio Branch

- ~~39. Domestic Satellite Space Station Files. These case files related to authorizations under Title III of the Communications Act and Part 25 of~~

the Commission's Rules to transmit and/or receive domestic traffic with earth stations via communications satellite space stations. The files include applications to construct, modify, launch and operate such stations; FCC authorizations or other actions; and related papers. These files are maintained in alphabetical order by company.

a. Current Authorizations.

Destroy twenty (20) years after authorization is granted.

b. Vacated Authorizations.

Destroy two (2) years after authorization is vacated or application denied.

40. Domestic Satellite Earth Station Files. These case files relate to applications under Title III of the Communications Act and Part 25 of the Commission's Rules, for earth stations to transmit and/or receive traffic from communications satellites. The files include applications to construct, modify or operate earth stations; assignments or transfers of control; amendments; FCC authorizations or other actions; and related papers. These files are maintained by call sign.

Transfer to Federal Records Center when one (1) year old.

Destroy when twenty (20) years old.

41. Special Temporary Authorizations. These files contain temporary authorizations for various communications satellite operations authorized by the Satellite Radio Branch. Temporary authorizations are issued for operations not intended to last longer than six months or for interim operations pending the issuance of a regular license. These files consist of working or reference copies with the record copy maintained. Files are maintained alphabetically by licensee name.

Destroy one (1) year after temporary license has expired.

42. Other Non-routine Satellite Matters. These case files relate to authorizations under Titles II and III of the Communications Act and Part 25 of the Commission's Rules. Matters in this category include, but are not limited to applications for earth station networks, petitions for declaratory ruling or other relief. These files consist of original filing, comments, final FCC order and/or authorization as appropriate.

Retain in office

Destroy five (5) years after final action.

~~the Commission's Rules to transmit and/or receive domestic traffic with earth stations via communications satellite space stations. The files include applications to construct, modify, launch and operate such stations; FCC authorizations or other actions; and related papers. These files are maintained in alphabetical order by company.~~

a. Current Authorizations.

Destroy twenty (20) years after authorization is granted.

b. Vacated Authorizations.

Destroy two (2) years after authorization is vacated or application denied.

40. Domestic Satellite Earth Station Files. These case files relate to applications under Title III of the Communications Act and Part 25 of the Commission's Rules, for earth stations to transmit and/or receive traffic from communications satellites. The files include applications to construct, modify or operate earth stations; assignments or transfers of control; amendments; FCC authorizations or other actions; and related papers. These files are maintained by call sign.

Transfer to Federal Records Center when one (1) year old.

Destroy when twenty (20) years old.

41. Special Temporary Authorizations. These files contain temporary authorizations for various communications satellite operations authorized by the Satellite Radio Branch. Temporary authorizations are issued for operations not intended to last longer than six months or for interim operations pending the issuance of a regular license. These files consist of working or reference copies with the record copy maintained. Files are maintained alphabetically by licensee name.

Destroy one (1) year after temporary license has expired.

42. Other Non-routine Satellite Matters. These case files relate to authorizations under Titles II and III of the Communications Act and Part 25 of the Commission's Rules. Matters in this category include, but are not limited to applications for earth station networks, petitions for declaratory ruling or other relief. These files consist of original filing, comments, final FCC order and/or authorization as appropriate.

Destroy five (5) years after final action.

INTERNATIONAL FACILITIES DIVISION

~~43. International Telecommunications Application Files (ITC). These files are for international telecommunications services under Section 214 of the Communications Act and Part 63 of the Commission's Rules. They contain applications for certificates; the official copies of authorizations or other actions taken on the applications; and related papers. Arrangement is by file number.~~

~~Cut off on decision date. Transfer to Federal Records Center when two (2) years old.~~

~~Destroy when seven (7) years old.~~

44. Uniform Settlement Policy Case Files (USP). These files contain applications, FCC authorizations and related papers for waiver of the FCC's Uniform Settlements Policy.

Cut off on decision date. Transfer to Federal Records Center when two (2) years old.

Destroy when five (5) years old.

~~45. Cable Landing License Files. These licenses are for landing international submarine cables under the Submarine Cable Landing License Act of 1921. Included are applications to land cables, FCC authorizations, and transfers of ownership. These records date from 1917 and relate to the establishment of important communications links involving foreign countries.~~

~~a. Files began between 1917 and 1934 Permanent. Arrangement is by file number. Volume 3 cubic feet. Accretion per year negligible. Offer to Archives when authorization is vacated. Offer in 20 year blocks.~~

~~b. Files began after 1934. Destroy twenty (20) years after authorization is vacated.~~

~~46. History Cards, International Telecommunications Applications. These reference cards, arranged by file numbers, of International Telecommunications Applications (case files above), also include such summary data as applicant's (licensee's) name, service applied for, and dates of key case transactions.~~

~~Maintain in office.~~

~~Destroy when no longer needed for current business.~~

~~47. International High Frequency Point-to-Point Telegraph and Telephone Files. These case files concern regulation of facilities licensed in the International Fixed Public Radio Communications Service under Part 23 of the Commission's Rules to provide terrestrial fixed high frequency or~~

microwave radio services. Contents include applications to construct, modify and operate facilities; FCC authorizations; and related papers.

~~Break file if superseded or a major modification occurs.
Transfer to Federal Records Center when one (1) year old.
Destroy when eight (8) years old.~~

48. International Satellite Space Stations. These case files contain applications, FCC authorizations and related papers for the construction and operation of international space stations under Title III of the Communications Act, the Communications Satellite Act, and Part 25 of the Commission's Rules. The file contents are similar to those of the Domestic Satellite Space Station Files, but are arranged by file number rather than call sign.

Current authorizations.

Destroy twenty (20) years after authorization is granted or denied.

49. International Communications Satellite Earth Stations. These case files contain applications, FCC authorizations and related papers for the construction and operation of international earth stations, under Title III of the Communications Act and Part 25 of the Commission's Rules. Renewals are made every ten years.

Break file if superseded or a major modification occurs.
Destroy when no longer required for current business.

50. Satellite and Earth Station History Cards. These reference card files contain summary data on applications for authority to construct, modify, or operate communications earth stations and communications satellite space stations in both the domestic and international services. They reference key documents (transactions) in case files.

Destroy when no longer required for current business.

51. Quarterly Reports on International High Frequency (IHF) Stations. These files contain usage and frequency reports for IHF point-to-point radio stations. Carriers submit the reports in accordance with Sections 23.41 and 23.53 of the Commission's Rules.

Destroy when five (5) years old.

MOBILE SERVICES DIVISION

52. Applications. License applications are filed under Part 22 of the Commission's Rules and are renewable every ten (10) years. An original paper application plus three (3) microfiche copies are submitted for all applications.

a. At the time of filing (regardless of action on application):

- (1) The third microfiche copy is transferred to the Commission's duplicating contractor for fulfillment of requests by the general public.

Destroy when requests diminish.

b. If the application is granted:

- (1) Two (2) microfiche copies of the application are kept in the Mobile Services Division.

Destroy when station goes out of existence or after 15 years.

- (2) The original is transferred to the Federal Records Center.

Destroy when 15 years old.

c. If application is not granted:

- (1) Original and microfiche copies are returned to applicant upon request. Otherwise they are kept by the Division.

Destroy 120 days after no further appeals are pending.

53. Pleadings. Pleadings are filed under Parts 1 and 22 of the Commission's Rules. All pleadings in excess of five pages must be filed with an original and two (2) paper copies as well as three microfiche copies. Pleadings of five pages or less are exempt from the microfiche requirement.

a. At the time of filing:

- (1) The second paper copy and the third microfiche copy are transferred to the Commission's duplicating contractor for fulfillment of requests by the general public.

Destroy when requests diminish.

b. If the application to which the pleading pertains is granted:

- (1) Two microfiche copies of the application are kept in the Mobile Services Division. (For pleadings of five pages or less the Division will make the microfiche copies).

Destroy when station goes out of existence or after 15 years.

- (2) The original is transferred to the Federal Records Center.

Destroy when 15 years old.

- (3) The paper copy is kept in the Division.

Destroy when application is granted.

- c. If application is not granted:

- (1) Original, paper copy and two microfiche copies are kept by the Division.

Destroy 120 days after no further appeals are possible.

54. Correspondence and Miscellaneous Filings. Correspondence and miscellaneous filings are filed under Parts 1 and 22 of the Commission's Rules. All such filings in excess of five pages must be filed with an original and two (2) copies as well as three microfiche copies. Correspondence and miscellaneous filings of five pages or less are exempt from the microfiche requirement.

- a. At time of filing:

- (1) Depending upon the nature of the filing, one paper copy and one microfiche copy may be transferred to the Commission's duplicating contractor for fulfillment of requests by the general public.

Destroy when requests diminish.

- b. If action is required:

- (1) Two microfiche copies of the filing will be retained by the Mobile Services Division.

Destroy when station ceases to exist or after 15 years.

- (2) The original will be transferred to the Federal Records Center.

Destroy after 15 years.

c. If no action (other than reply) is required:

(1) The original will be kept by the Divison.

Destroy after five (5) years.

(2) All other copies will be retained by the Division.

Destroy after determination (or reply) is made.

TARIFF DIVISION

Tariff Review Branch

~~55. Currently effective tariffs filed by domestic and international carriers pursuant to Section 203 of the Act which requires carriers to file tariffs with the FCC (2 sets).~~

~~a. Current Tariff (Record Copy).~~

~~Maintain in office. When pages are suspended, transfer those pages to Item #56, this schedule. When entire tariff is cancelled, transfer the tariff to Item #57.~~

~~b. Current Tariff (Public Copy).~~

~~Maintain in office.
Destroy when pages are superseded.~~

~~56. Superseded tariff pages are replaced pages of a partially superseded tariff. They are transferred to cancelled official tariff file when the entire tariff is cancelled.~~

~~Maintain in office until entire tariff is cancelled, then transfer to Item #57.~~

~~57. Cancelled tariff material are tariffs cancelled in their entirety.~~

~~Transfer to Federal Records Center.
Destroy when five (5) years old.~~

58. Official copies of special tariff permissions. Applicants under Section 61.151 for waiving FCC Part 61 rules to set charges or regulations.

Maintain in office until associated tariff is cancelled then transfer to Item #57.

~~59. Cost support material filed by domestic and international carriers pursuant to Section 61.38 of Rules to support new or changed rates.~~

~~Destroy when five (5) years old.~~

60. Contracts. These are documents required to be filed by Sections 43.51 and 43.53 of the Commission's Rules, 47 C.F.R. Sections 43.51, 43.53.

Retain pursuant to the requirements of Part 42 of the Commission's Rules, 47 C.F.R. Part 42.

Disposition. Retain as long as contract or division of tolls is in effect. This would include the original contract and all amendments. Destroy document 5 years after it has been cancelled in total.

*per Eileen Cheney - Branch
Info. & Resources
11-07-90*

Legal Branch

~~61. Petitions to suspend or reject a tariff and oppositions, replies and related material filed in accordance with Parts 1.773 and 1.45 of the Rules.~~

~~Destroy five (5) years after case closure.~~

~~62. Interlocutory pleadings. Filings on tariff matters filed under the Communications Act and Part 1 of the Commission's Rules.~~

~~Destroy one (1) year after case closure.~~

~~63. Special inquiries. Actions by order of Bureau Chief, into tariff practices of carriers, as authorized by Part 0 of the Commission's Rules. (In general, matters arise as a result of staff or Bureau action on its own motion).~~

~~Destroy three (3) years after completion of inquiry.~~

INDUSTRY ANALYSIS DIVISION

64. Annual Report - FCC Form M. Prescribed for the use of telephone companies operating telephone exchanges and having annual operating revenues in excess of \$100 million. Each report is filed no later than March 31st of each year covering the preceding calendar year. These reports are filed under section 43.21(a) of the Commission Rules. Files are cut off yearly.

Filing Arrangement - By code numbers assigned on a permanent basis to all reporting companies. AT&T and the Bell Operating Companies assigned numbers between 001 and 075 in alphabetical order. The independent companies assigned numbers 105 through 515. Not all numbers in the range have been allocated.

Annual Accretion - Approximately 4 cubic feet.

Disposition - Permanent.

Transfer to Federal Records Center when five (5) years old.

Offer to National Archives when fifteen (15) years old in 10 year blocks (e.g., offer 1970-1979 block in 1995).

- ~~65. Annual Report - FCC Form O/R. Filed by Wire Telegraph ocean cable and radio telegraph carriers with annual operating revenues exceeding \$50,000. These reports are filed under section 43.21(a) of the Commission's rules. Filed annually (nlt 3/31 for the preceding year). Files are cut off yearly.~~

~~Filing Arrangement - Numerically.~~

~~Annual Accretion - Approximately 1/2 cubic feet.~~

~~Disposition - Permanent.~~

~~Transfer to Federal Records Center in six year blocks when five years old (e.g., 1970-1975 in 1981).~~

~~Offer to National Archives when fifteen years old.~~

66. Overseas Telecommunications Traffic Data. These are submitted by carriers annually on IBM compatible floppy diskettes (5 1/4") format in accordance with Part 43.61 of the Rules. Data are recorded on paper printouts.

a. Diskettes.

Recycle floppy diskettes after final computer listings have been generated.

b. Magnetic media. Historical data on telegraph and telex traffic originating or terminating in foreign countries exist on magnetic tape. Data is by country and includes total number of messages and words as well as total revenues.

Destroy when no longer required for research or reference purposes.

c. Printouts.

Transfer printouts to Federal Record Center when ten (10) years old.

Destroy when twenty (20) years old.

~~67. Monthly Carrier Administrative Reports. These carrier submitted reports include financial, plant and operating data. Reports are reference material.~~

~~Destroy when material is no longer needed for reference and research purposes.~~

~~68. Independent Telephone Association Annual Reports. This includes published financial and operating data. Reference material.~~

~~Destroy when no longer needed for current business.~~

69. Annual Employment Report Filed by Common Carriers (FCC Form 395). These records are filed as provided by Sections 1.815, 21.307, 22.307 and 23.55 of the Communications Act and Parts 1, 21, 22 and 23 of the Commission's Rules. This file series contains reports from each common carrier licensee or permittee with 16 or more full time employees, which are due on or before May 31 of each year.

Destroy when seven (7) years old.

~~70. Annual Complaint Reports Filed by Common Carriers - Under Sections 21.307(e), 22.307(e) and 23.55(e) of the Communications Act and Parts 21, 22 and 23 of the Commission's Rules.~~

~~Destroy when seven (7) years old.~~

71. Equal Employment Opportunity Programs (Affirmative Action Plans). These plans are submitted by carriers under Section 21.307(b), 22.307(b) and 23.55(b) of the Communications Act and Parts 21, 22 and 23 of the Commission's Rules. The affirmative action plans of the Bell System Operating Companies, comprising a nationwide system, document an industry's installation and operation of a nationwide affirmative action program, arising from the landmark equal employment opportunity case in a precedential consent decree (FCC Docket 19143).

Destroy two (2) years after supersession.

72. Complaints and Investigation Files. These files relate to Equal Employment Opportunity Programs of the ~~Common Carriers.~~

Destroy when seven (7) years old.

73. Monthly Data on Long Distance Companies Purchasing Switched Access From Bell Operating Companies. These files contain a list of carriers and the geographic areas which they serve that purchase switched access and equal access from the Bell Operating Companies. Reports are reference material.

Destroy when material is no longer needed for reference and research purposes.

74. Semiannual Data on Quality of Service for the Bell Operating Companies. These files contain service quality measures on: (1) customer satisfaction levels; (2) percent of switching machines performing at or above dial tone speed objectives; (3) percent of offices meeting all transmission objectives; (4) percent of calls encountering equipment failure or blocking; and (5) percent of on time service orders. Reports are reference material.

Destroy when material is no longer needed for reference and research purposes.

75. Semiannual data on telephone service price indexes and local telephone rates. These files contain data on Bureau of Labor statistics telephone price indexes; local rates from a 95 city sample; lifeline and Link Up rates; and changes in telephone rates since 1983. Reports are reference material.

Destroy when material is no longer needed for reference and research purposes.

76. Quarterly data on state telephone rate cases. These files contain data on telephone rate cases decided by state public utility commissions. Data are available on new rate cases filed by companies and rate cases pending before and completed by state public utility commissions.

Destroy when material is no longer needed for reference and research purposes.

77. Quarterly Report - FCC Form 492. Prescribed for the Local Exchange Carriers that file individual access tariffs with the Commission. The files contain interstate rate of return data on a quarterly and

culmulative basis with separate data for common line, special access and switched traffic sensitive categories.

Transfer to Federal Records Center when 10 years old.

Destroy when twenty years old.

78. Annual State Telephone Assistance Report - FCC Form 496. Prescribed for all entities (states and telephone companies) that participate in Federal telephone assistance under Parts 69 and/or 36 of the FCC Rules. The files contain data on participating companies, particulars to program participants, costs, service area and charges, and program descriptions.

Transfer to Federal Records Center when ten (10) years old.

Destroy when twenty (20) years old.

ASSISTANT CHIEF, MANAGEMENT (Administrative Office)

79. Management Information Files. These files include copies of draft Congressional annual reports for the Bureau, input for major matters report, background on application processing and evaluation, and workload reports on docketed proceedings, petitions and Bureau projects. Some final reports are produced on major programs if requested by Bureau Chief. *

Destroy final staff studies three (3) years after completion of project.
Destroy working papers, notes, drafts, or comments when no longer needed for current business or obsoleted, whichever comes first.

80. License Application, Tracking and Management Systems. To assist the Common Carrier Bureau's regulatory responsibilities, several automated systems have been developed for various units of the Bureau and are monitored by the Bureau's Data Automation Liaison Officer. These relate to such functions as the processing of license applications, issuing of construction permits, generation of public notices, tracking Bureau projects, and inventorying communications equipment. Records include:

Mobile Services Division - Common Carrier Land Mobile
- Land Mobile Individual Processing System

Domestic Facilities Division - Common Carrier Microwave Applications
System
- Earth Station Applications System
- Interconnection System

Administrative Office - Common Carrier Project Management Tracking
System

International Facilities Division - International 214 System

Destroy data elements when superseded or no longer required for program use.