

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: nc1-134-76-09

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 4/14/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All approved schedule items are active except the ones listed below

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 2 is superseded by NC1-134-83-06 Item 1  
Item 4 is superseded by NC1-134-83-06 Item 2  
Item 5 is superseded by NC1-134-83-06 Items 5 and 14  
Items 8, 9 and 10 are superseded NC1-134-83-06 Item 5  
Item 12 is superseded by NC1-134-83-06 Item 6  
Item 15 is superseded by NC1-134-83-02 Item 7  
Item 16 is superseded by NC1-134-83-02 Item 1  
Item 17, 18, and 19 are superseded by NC1-134-83-06 Item 5  
Item 22 and 23 are superseded by NC1-134-83-06 Item 13  
Item 24 is superseded by NC1-134-83-06 Item 5  
Item 26 is superseded by NC1-134-83-06 Item 5  
Item 27 is superseded by NC1-134-83-06 Item 8  
Item 28 is superseded by NC1-134-83-06 Item 5  
Item 30 is superseded by NC1-134-83-06 Item 9  
Item 31 is superseded by NC1-134-83-06 Item 10  
Item 32 is superseded by NC1-134-83-06 Item 11  
Item 33 is superseded by NC1-134-83-06 Item 5

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <b>NC1-134-76-9</b>	
DATE RECEIVED <b>AUG 25 1976</b>	
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the disposal request including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
1-13-77 <i>Date</i>	<i>James B. Hood</i> <i>Archivist of the United States</i>

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

1. FROM (AGENCY OR ESTABLISHMENT)  
**Interstate Commerce Commission**

2. MAJOR SUBDIVISION  
**Bureau of Operations**

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
**Lucille H. MacPhee**

5. TEL EXT  
**275-7497**

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 15 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 <b>AUG 20 1976</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert Oswald</i>	E. TITLE <b>Secretary</b>
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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
	<b><u>BUREAU OF OPERATIONS</u></b>  The Bureau of Operations, Interstate Commerce Commission, performs functions delegated by the Commission pursuant to Parts I, II, III, and IV of the Interstate Commerce Act.  <u>Bureau of Operations.</u> Performs duties in connection with the Commission's programs insofar as they involve keeping informed of and advising the Commission concerning operations and practices of surface transportation industries; initiating and administering the rules and regulations governing the filing and approval of security of insurance for the protection of the public and designation of agents for service of process; initiating and administering the rules and regulations governing the lease and interchange of vehicles by motor carriers; initiating and administering the rules and regulations involving the car service provisions of the Act which include preparing proposed regulations and emergency orders regarding the use, control, supply, movement, distribution, interchange and return of rail locomotives, cars and other vehicles used in the transportation of		

*Copy to Agency 1-17-77*  
*Copy to NCRW 1-28-77*

*36 items*

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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>property by rail; initiating and administering the rules and regulations applicable to water carriers, freight forwarders, and rate bureaus; processing applications for temporary operating authority and exemptions; making field inspections of the operations and records of carriers and others to inform them of the requirements of the Act and regulations to discover unauthorized operations or violations with regard to tariffs, rebates, accounts, insurance, annual reports and extensions of credit; investigating violations, and recommending and assisting in prosecutions; issuing informal interpretations of Commission's certificates, permits, licenses and regulations affecting motor, water, freight forwarder, and broker operations; regulating railroads, water carriers and freight forwarders under Parts I, III and IV of the Act; providing technical assistance to the field staff in the investigations of railroads, water carriers, freight forwarders and others and assisting in the processing of cases involving violations. The Bureau coordinates the Commission's overall mobilization activities which include the National Defense Executive Reserve Program, and provides liaison with other Federal and State agencies. The Bureau is charged with other duties relating to mobilization assigned to the Commission by Executive Orders or Congressional Acts other than those responsibilities delegated by the Chairman to the Director of Personnel concerning personnel security, and to the Secretary concerning national security document control activity and continuity of agency functions.</p> <p>This schedule supersedes the following schedules:</p> <p>NN-3502      Bureau of Motor Carriers</p> <p>NN-162-95    Bureau of Safety and Service</p> <p>NN-164-102   Bureau of Water Carriers and Freight Forwarders</p> <p>Items in the new schedule which also appeared in the superseded schedules cited above are cross-referenced. Some items appearing in the superseded schedules are now covered by the Commission General Schedule (NN-169-103). These items are listed below along with those items deleted because they are no longer maintained by the Bureau of Operations.</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
<p><u>Bureau of Motor Carriers - NN-3502      New Schedule Reference</u></p>			
1	NN-169-103, 7		
2	NN-169-103, 10		
3	NN-169-103, 12		
5	NN-169-103, 2		
6	NN-169-103, 3		
7	NN-169-103, 11		
8	NN-169-103, 5		
9	NN-169-103, 9		
10	NN-169-103, 4		
11	NN-169-103, 12a		
12	NN-169-103, 1		
13	NN-169-103, 12b		
14	NN-169-103, 8		
15	NN-169-103, 6		
17	NN-169-103, 12a		
19	NN-169-103, 12b		
50	NN-169-103, 12b		
52	NN-169-103, 4d		
<p><u>Bureau of Safety and Service - NN-162-95      New Schedule Reference</u></p>			
1	NN-169-103, 3		
2	NN-169-103, 11		
3	NN-169-103, 5		
4	NN-169-103, 10		
6	NN-169-103, 12		
7	NN-169-103, 2		
8	NN-169-103, 4		
9	NN-169-103, 1		
10	NN-169-103, 6		
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12	NN-169-103, 12		
13	NN-169-103, 12		
16	NN-169-103, 1		
30	NN-169-103, 10		

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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>Bureau of Water Carriers and Freight Forwarders - NN-164-102</p> <p style="text-align: right;">New Schedule Reference</p> <table border="0"> <tr><td>1</td><td>NN-169-103, 2</td></tr> <tr><td>2</td><td>NN-169-103, 3</td></tr> <tr><td>3</td><td>NN-169-103, 11</td></tr> <tr><td>4</td><td>NN-169-103, 7a</td></tr> <tr><td>5</td><td>NN-169-103, 5</td></tr> <tr><td>6</td><td>NN-169-103, 9</td></tr> <tr><td>7</td><td>NN-169-103, 4</td></tr> <tr><td>8</td><td>NN-169-103, 1</td></tr> <tr><td>9</td><td>NN-169-103, 8</td></tr> <tr><td>10</td><td>NN-169-103, 6</td></tr> <tr><td>11</td><td>NN-169-103, 10</td></tr> <tr><td>18</td><td>Office of Proceedings</td></tr> <tr><td>19</td><td>Office of Proceedings</td></tr> <tr><td>22</td><td>NN-169-103, 5</td></tr> <tr><td>23</td><td>NN-169-103, 12b</td></tr> </table> <p style="text-align: center;"><u>Items Deleted</u></p> <p><u>Bureau of Motor Carriers - NN-3502</u></p> <table border="0"> <tr><td>4</td><td>Item should not be filed.</td></tr> <tr><td>16</td><td>No longer maintained.</td></tr> <tr><td>22-38</td><td>Function transferred to the Department of Transportation.</td></tr> <tr><td>40 and 46</td><td>No longer maintained.</td></tr> <tr><td>47</td><td>Should not be filed.</td></tr> <tr><td>55</td><td>No longer maintained.</td></tr> <tr><td>58</td><td>No longer maintained.</td></tr> </table> <p><u>Bureau of Safety and Service - NN-162-95</u></p> <table border="0"> <tr><td>5</td><td>Item should not be filed.</td></tr> <tr><td>14</td><td>Item should not be filed.</td></tr> <tr><td>15</td><td>No longer maintained.</td></tr> <tr><td>24</td><td>No longer maintained.</td></tr> <tr><td>31-99</td><td>Function transferred to the Department of Transportation.</td></tr> </table>	1	NN-169-103, 2	2	NN-169-103, 3	3	NN-169-103, 11	4	NN-169-103, 7a	5	NN-169-103, 5	6	NN-169-103, 9	7	NN-169-103, 4	8	NN-169-103, 1	9	NN-169-103, 8	10	NN-169-103, 6	11	NN-169-103, 10	18	Office of Proceedings	19	Office of Proceedings	22	NN-169-103, 5	23	NN-169-103, 12b	4	Item should not be filed.	16	No longer maintained.	22-38	Function transferred to the Department of Transportation.	40 and 46	No longer maintained.	47	Should not be filed.	55	No longer maintained.	58	No longer maintained.	5	Item should not be filed.	14	Item should not be filed.	15	No longer maintained.	24	No longer maintained.	31-99	Function transferred to the Department of Transportation.		
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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>Bureau of Water Carriers and Freight Forwarders - NN-164-102</u></p> <p>13 and 14                      Maintained in Field.                      15-17, 20 and 21            Office of the Secretary.                      18 and 19                      Office of Proceedings.</p> <p style="text-align: center;"><u>DIRECTOR'S OFFICE</u></p> <p><u>Director's Correspondence File</u> - Correspondence of the Bureau director consisting of letters, memoranda, messages, and other papers relating to the general planning and supervision of the bureau's program.</p> <p style="padding-left: 40px;">Permanent. Break file every 5 years. Keep 5-year segment in office 5 additional years, then transfer to the Federal Records Center. Offer to Archives when 20 years old.</p> <p>2. <u>Statistical Reports File</u> - Monthly and annual statistical reports of field activities consisting of Form BOp-F-2 indicating action taken with respect to operating authority, traffic, insurance, and administration. See NN-3502, Item 53 and NN-162-95, Items 17 and 18.</p> <p style="padding-left: 40px;">(a) Monthly Reports - Destroy when 3 years old.</p> <p style="padding-left: 40px;">(b) Annual Reports - Break file annually. Destroy when 5 years old.</p> <p>3. <u>Monthly Narrative Reports</u> - Narrative reports submitted by field personnel concerning matters affecting transportation and regulation thereof. See NN-3502, Item 54, and NN-162-95, Item 29.</p> <p style="padding-left: 40px;">Break file annually. Destroy 1-year segment when 2 years old.</p>		

*Withdrawn*

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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
4.	<p><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.</p> <p>Destroy when superseded.</p> <p><u>WATER CARRIER AND FREIGHT FORWARDERS INVESTIGATIONS</u></p> <p>The Chief of Water Carrier and Freight Forwarder Investigations is assigned in the Office of Director. He provides technical and administrative direction to the various sections and the field staff of the Bureau in water carrier and freight forwarder matters and in connection with the compliance program under Parts III and IV of the Interstate Commerce Act. He provides guidelines and procedures for investigations, informally interprets matters within the purview of Parts III and IV of the Act, formulates manual instructions regarding water carrier and freight forwarder activity, and coordinates Section 5a - Rate Bureau matters.</p>		
5.	<p><u>Interpretations Case Files</u> - Records produced and maintained in furnishing informal interpretations and other information concerning the water carrier and freight forwarder provisions of the Act and regulations issued thereunder. Includes interpretations and opinions concerning regulations and compliance relating to operating authorities, status of operations, and other matters within the purview of Parts III and IV of the Act.</p> <p>Close file every 5 years and transfer to the Federal Records Center 5 years later. Destroy 15 years after <del>transfer to the Federal Records Center.</del> <i>close of file.</i></p>		
6.	<p><u>Water Carrier and Freight Forwarder Certificates and Permits</u> - Public reference file of Water Carrier and Freight Forwarder certificates and permits documenting operating rights approved by the Commission. Official copies filed in dockets.</p> <p>Destroy when cancelled.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
7.	<p><u>Correspondence File</u> - Letters, memoranda, and messages documenting the planning and supervision of the water carrier and freight forwarder program. See NN-164-102, Item 12.</p> <p>Destroy when 3 years old.</p> <p style="text-align: center;"><u>SECTION OF MOTOR CARRIERS FILES</u></p> <p>This section performs work in connection with the administration of certain provisions of Part II of the Act relating to motor carriers and brokers. Responsible for coordination, planning, general oversight, and direction of the Commission's program to improve motor carrier compliance with ICC regulations on a nationwide basis. Promotes public awareness of ICC regulations governing motor carrier operations, particularly those pertaining to household goods carriers, passenger carriers, and the handling of small shipments through a "consumer awareness program" so that the public will be aware of its rights and recourses when problems arise. Advises the bureau director, carriers, shippers, and others regarding interpretations of motor carrier operating rights and regulations; develops recommendations for new or revised regulations and programs pertaining to motor carriers and brokers; furnishes instructions, information, and assistance to the field staff in matters involving motor carrier regulations; develops programs governing compliance and investigative matters; assembles, prepares, and maintains reference materials in such matters; and in coordination with the Director's office and Regional Directors, monitors and evaluates the bureau's field activities with respect to the section's assigned programs.</p>		
8.	<p><u>Interpretations Files</u> - Records created and maintained by the Interpretations staff in furnishing informal legal interpretations and other information concerning the motor carrier 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</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
	<p>important court and Commission decisions and informal 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; questions submitted for early court tests; limitations on carriers rights to transport certain commodities; litigation regarding overcharges and undercharges by carriers; and statutes of limitation regarding adjustment of revenues between motor carriers. See NN-3502, Item 18.</p> <p>Close file every 5 years. Transfer closed file to the Federal Records Center after 5 additional years.  <i>ibf</i> Destroy 15 years after transfer to Federal Records Center. close of file.</p>		
9.	<p><u>Vehicle Rental Application File</u> - Application File for carriers, including Motor Carrier Leasing Board actions, seeking authority to enter into contracts for leasing of vehicles submitted in accordance with Section 207.6 of the regulations (Ex Parte No. MC-43). Includes copies of vehicle rental contracts, approvals and disapprovals, and related correspondence. A copy of the contract is filed in the official motor carrier docket files. See NN-3502, Item 20.</p> <p>Destroy when 5 years old.</p>		
10.	<p><u>Vehicle Lease and Interchange Petition Waiver</u> - File of petitions from motor carriers requesting waiver of provisions of the Commission's "Lease and Interchange of Vehicles" regulations. Includes correspondence with the Department of Transportation concerning safety compliance, staff recommendations, and orders of approval or disapproval. Also includes Motor Carrier Leasing Board actions.</p> <p>Destroy when 5 years old.</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
11.	<p><u>Motor Carrier Certificates and Permits</u> - Public file of motor carrier certificates and permits indicating operating rights approved by the Commission. Official copy maintained in docket files. See NN-3502, Item 21.</p> <p>Destroy when cancelled.</p>		
12.	<p><u>Cancelled Embargo Notice File</u> - Public notification by motor carriers of property of inability to perform all authorized transportation services. Includes cancellation of embargoes and related indexes. See NN-3502, Item 56.</p> <p>Break file annually. Destroy 1-year segments when 5 years old.</p>		
13.	<p><u>Household Goods Carriers Agent Agreements</u> - Copies of contracts between principal carrier and agent for transportation of household goods submitted to the Commission for approval. Includes statement describing agent's physical facilities, financial data on agent, and termination notices.</p> <p>Destroy 5 years after cancellation of agreement.</p>		
14.	<p><u>Household Goods Carriers Questionnaires Summary</u> - Annual summaries of data submitted by the public to field offices on the performance of household goods carriers. Used in evaluating performance of household goods carriers. These summaries are prepared from the questionnaire sheets given to the public by carriers, and filled out by the public and submitted to Commission field offices.</p> <p>Destroy when 3 years old.</p>		
15.	<p><u>Carrier Annual Performance Report</u> - Reports submitted annually by every household goods carrier including data relating to performance. Available for use by public and used by the Commission as a source of data on carriers in determining how many household goods carriers held operating authority</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
16.	<p>and how many actually performed services under that authority, the total number of household goods shipments in a given year, and other facts.</p> <p style="text-align: center;">Destroy when 5 years old.</p> <p style="text-align: center;"><u>SECTION OF RAILROADS</u></p> <p>This section performs necessary duties relating to the administration of the railroad economic regulatory provisions of the Act, including car service provisions pertaining to use, control, supply, movement, distribution, exchange, interchange and return of locomotives, cars and other vehicles used in the transportation of property, including special types of equipment; provides data for use as the basis for issuance of service orders, permits and freight car distribution orders and directives; advises the Bureau Director and others concerning freight car conditions throughout the country; develops recommendations for new or revised regulations pertaining to rail transportation; develops programs governing compliance and enforcement matters; and in coordination with the Director's office and Regional Directors supervises the bureau's field activities with respect to these items.</p> <p><u>Service Order Case Files</u> - Service order case files, including Railroad Service Board actions, consisting of Commission's orders designating and authorizing the Director, Bureau of Operations, and other officials to act as agents for the Commission in car service matters, agent's orders directing action to provide equitable distribution of available cars to meet shipper's requirements and to secure freight car efficiency, permits authorizing deviations from the provisions of these orders, and correspondence relating to the orders. Files containing exemptions from mandatory car service rules issued by the Director, Bureau of Operations, under authority of the Commission in Ex Parte No. 241. Passenger train rerouting orders issued by agents appointed by the Commission. Issued pursuant to authority delegated to the Commission in paragraph 17, Part I, Section I, of the ICC Act. When Commission</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
	<p>determines that shortage of equipment, congestion of traffic, or other emergency exists requiring immediate action, it is authorized to issue orders suspending existing car service rules, regulations, or practices; to direct car service operations without regard to ownership; to require joint or common use of terminals; to give priorities in transportation, embargoes, or movement of traffic; and to direct the handling, routing, and movement of traffic of one carrier over other lines of railroads when such action will promote service in the interest of the public and commerce. See NN-162-95, Item 19. Formerly "Retain" item.</p> <p style="text-align: center;">Destroy 3 years after expiration.</p>		
17.	<p><u>Locomotive and Car Control Correspondence File</u> - Correspondence with field service agents, carriers, and the public concerning the use, control, supply, movement, distribution, exchange, interchange, and return of locomotives, cars, and other vehicles used in the transportation of property by rail. Also includes reports from field service agents. See NN-162-95, Item 20.</p> <p style="text-align: center;">Destroy when 5 years old.</p>		
18.	<p><u>Congressional Correspondence</u> - Routine correspondence with Congress concerning railroad economic regulation, use of locomotives and cars in transportation of property, freight car conditions, and recommendations for new or revised regulations pertaining to rail transportation. See NN-162-95, Item 21. Formerly "Retain" item.</p> <p style="text-align: center;">Destroy when 5 years old.</p>		
19.	<p><u>Demurrage Correspondence File</u> - Correspondence with field agents, railroads, and industries regarding informal complaints and decisions pertaining to demurrage rules. See NN-162-95, Item 22.</p> <p style="text-align: center;">Destroy when 5 years old.</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
20.	<p><u>Inquiry and Compliance Case File</u> - Field agents' reports of violations of Commission's car service rules, regulations, and orders, and correspondence from the Bureau of Operations to the Bureau of Enforcement referring cases for action. See NN-162-95, Item 23.</p> <p>Destroy 3 years after case is closed.</p>		
21.	<p><u>Railroad Service Agent Report File</u> - Reports prepared by railroad service agents in the performance of periodic checks of carrier records and car service facilities to determine the general efficiency of car handling and movements, and the proper assessment and collection of charges. Includes Form BOp R-2, Yard or Terminal Check, Service Order Compliance Check (Form BOp Field 29), and related letter reports. See NN-162-95, Item 25.</p> <p>Destroy when 2 years old.</p>		
22.	<p><u>Commodity Reports File</u> - Reports submitted to the section by service agents, railroad companies, and the American Association of Railroads relating to the status of commodity shipments, storage facilities, and the availability of cars. Reports submitted periodically or during the seasonal period for such commodities as grain and other agricultural products, iron ore, coal, and others to keep section informed as to availability of storage facilities, car availability, and car flow to meet seasonal or major commodity shipment car supply requirements. Reports are basis for directing corrective action on anticipated or actual occurrence of car shortages. See NN-162-95, Item 27.</p> <p>Destroy when 2 years old.</p>		
23.	<p><u>Car Supply Conditions Weekly Summaries</u> - Weekly summary of car supply conditions, revenue freight loaded, freight car surpluses and shortages and notes, and tabulations used in compiling Commodity Reports. See NN-162-95, Item 28.</p> <p>Destroy when 2 years old.</p>		

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24.	<p><u>Train and Station Compliance Reports</u> - Reports of the inspection of on-board passenger trains and passenger station facilities to determine compliance with the Commission's regulations adopted in Ex Parte No. 277 (Sub-No. 1).</p> <p>Close file annually. Destroy 1-year segment when 2 years old.</p>		
25.	<p><u>Passenger Complaint File</u> - Reports of complaints filed by passengers with carriers. Used in determining validity of complaint, and whether or not to recommend a formal investigation and processing of the complaint to the Bureau of Enforcement for further action.</p> <p>Destroy closed complaints after 1 year.</p>		
26.	<p><u>Final Investigation Reports</u> - Reports of full investigation of alleged violations of Ex Parte No. 277 (Sub-No. 1) requirements which concern passenger train and station facilities. Used in determining if sufficient documentary evidence was obtained to support violations reported by investigators.</p> <p>Destroy closed files when 2 years old.</p>		
<p><u>SECTION OF INSURANCE</u></p>			
<p>The Section of Insurance formulates and administers for the Commission, rules and regulations to carry out the provisions of Sections 211(c), 215, 221(c) of Part II of the Interstate Commerce Act, and Section 403(c) and (d) of Part IV of the Act, and duties with respect to security filed in behalf of Canadian carriers under P. L. 522 83rd Congress. These records are created and accumulated by the section in reviewing the financial status and reliability of insurance and surety companies seeking to qualify to file security with the Commission; in maintaining records of security filed with the Commission and records serving as a basis for accepting security; in reviewing application for self-insurance; in answering information regarding insurance requirements; and in assisting the public with claim problems.</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
27.	<p><u>Motor Carrier, Broker, and Freight Forwarder Insurance and Surety Bond File</u> - Insurance or surety bonds for motor carriers, freight forwarders, and brokers. Also includes designation of agents for service of legal process. See NN-3502, Item 44. Formerly "Retain" item; <i>und item 42.</i></p> <p>Retain in office until operating authority is revoked or cancelled plus 5 additional years, then transfer to the Federal Records Center. Destroy 15 years after <del>transfer to Federal Records Center.</del> <i>revocation or cancellation.</i></p>		
28.	<p><u>Insurance Authority Correspondence and Reports</u> - Correspondence with motor carriers, brokers, and freight forwarders concerning proper filing of insurance authorities, and compliance with other requirements for insurance. Also includes reports. See NN-3502, Item 39.</p> <p>Break file every 3 years and transfer 3-year segment to the Federal Records Center. Destroy 3 years after transfer to Federal Records Center.</p>		
29.	<p><u>Company Qualification Fee File</u> - Copies of letters to insurance companies and of certificates of insurance filed alphabetically by insurance company name, used to determine companies' annual qualification fees. See NN-3502, Item 49. Formerly "Retain" item.</p> <p>Destroy when 2 years old.</p>		
30.	<p><u>Self-Insured Motor Carrier and Freight Forwarder Application File</u> - Self-insured case files of motor carriers and freight forwarders approved for self-insurance under rules and regulations of the Commission under Parts II and IV of the Act, 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. See NN-3502, Item 41.</p>		

## Request for Records Disposition Authority – Continuation

JOB NO

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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>(a) Destroy Quarterly Financial Statements and Claims Report when 3 years old.</p> <p>(b) All other material - Destroy 10 years after expiration of self-insurance authority. Formerly "Retain" item.</p> <p>31. <u>Insurance Company Quarterly Financial Statements</u> - Insurance company quarterly financial statements, annual financial work-sheets, and related correspondence.</p> <p>Destroy when 2 years old.</p> <p>32. <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. See NN-3502, Item 48.</p> <p>Destroy annually when superseded.</p> <p>33. <u>Carrier Claim Correspondence</u> - Correspondence concerning loss and damage claims against household goods carriers and other motor carriers.</p> <p>Break file every 2 years and transfer 2-year segment to the Federal Records Center. Destroy 3 years later.</p> <p>34. <u>Insurance Board Orders and Memoranda</u> - Official orders issued by the Insurance Board under the Section of Insurance, concerning bonds or security assuring financial responsibility of brokers; bonds, insurance, or other security furnished by motor carriers and freight forwarders for protection of the public; and orders relating to the designation by motor carriers and brokers of persons upon whom orders and notices may be served, and the designation of agents upon whom service of process may be made.</p> <p>Break file every 3 years. Keep 3-year segment in office 3 additional years, then transfer to the Federal Records Center. Destroy 19 years after transfer to Federal Records Center.</p>		

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