

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-134-77-02

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 4/15/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 4 is superseded by NC1-134-83-05 Item 3.  
Item 5 is superseded by N1-134-87-001 Item 1.  
Item 37 is superseded by NC1-134-83-05 Item 31.  
Item 38 is superseded by NC1-134-83-05 Item 32.  
Item 47 is superseded by NC1-134-83-05 Item 45.

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

LEAVE BLANK	
JOB NO <b>NC 1-134-77-2</b>	
DATE RECEIVED <b>NOV 29 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<i>2-23-79</i> Date	<i>James B. Hooper</i> Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)

**Interstate Commerce Commission**

2. MAJOR SUBDIVISION

**Bureau of Accounts**

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

**Carroll Stearns**

5. TEL EXT

**275-7696**

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 21 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

**A** Request for immediate disposal.

**B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	
11/22/76	<i>Robert Oswald</i>	Secretary	
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p align="center"><u>BUREAU OF ACCOUNTS</u></p> <p>The Bureau of Accounts performs the accounting, auditing, financial analysis, cost, valuation and reporting functions necessary in the regulatory work of the Commission to bring about accurate, uniform and comprehensive disclosure of financial data by carriers in the public interest. This involves the development of uniform systems of accounts, valuation regulations, destruction of carrier records, reporting requirements of annual and periodic reports, and examining the regulated industry's accounts, records, reports and financial statements; compilation and publication of transportation statistics and cost studies; analyses of the costs and revenues of transportation service; maintaining inventories of railroad and pipeline properties, and developing property valuation data; preparing accounting, cost and valuation data for use in proceedings before the Commission; analyzing cost evidence presented by other parties in rate proceedings; rendering assistance in accounting matters in finance</p> <p align="center">ICC concurs in changes made herein. RCT/NARS-NCD 2/01/79.</p>	60 items	

*Copy to ICC 2/23/79.  
Copy to NNF/NRTS/NNG/NCW: 2-26-79*

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>proceedings; preparation of cost analyses in connection with Commission's proceedings involving authority to construct, acquire or abandon lines of railroads; approval for regulated industry to enter into contracts for the pooling or division of traffic in earnings, to consolidate, merge, transfer ownership or acquire control of carriers; and responsible for the administration of the loan guaranty program provided for by the Transportation Act of 1958.</p> <p>This schedule supersedes the old schedule for the Bureau of Accounts, NN-3421, dated 5-2-62, and parts of the schedule for the Bureau of Transport Economics and Statistics, NN-3599, dated 3-7-62.</p> <p>Items 1-3, 6, 7, and 10 in Schedule NN-3421, and Items 1-14 in Schedule NN-3599 were deleted because they are covered in the Commission General Schedule NN-169-103, dated 4-18 69.</p> <p>Items 31 and 32 and 35 and 36 in Schedule NN-3421 were deleted because they are no longer maintained by the Bureau.</p> <p>Items 40, and 42-46 in Schedule NN-3421 were deleted because they are no longer maintained as separate files but are combined with new Item 49 listed in the Section of Audit herein.</p> <p>All items in the new schedule which also appeared in superseded schedules are cross-referenced.</p> <p style="text-align: center;"><u>SECTION OF ACCOUNTING</u></p> <p>The Section of Accounting prepares uniform systems of accounts and general accounting rules applicable to carriers subject to Commission regulation, revises and modifies such systems and rules, interprets accounting and related rules, assists in proceedings before the Commission, courts, and congressional committees, and prepares regulations governing forms, recording of passes for free transportation, and destruction of carrier records.</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
1.	<p><u>ACCOUNTING REGULATIONS REFERENCE FILE</u> - Reference files consisting of documents relating to projects undertaken to revise the Uniform Systems of Accounts, and regulations concerning preservation of carrier records. File relates to projects which result in formal rulemaking proceedings or stand as studies for possible future amendment to the accounting and reporting regulations. See II-NN-3421, Item 5.</p> <p>Destroy when superseded.</p>		
2.	<p><u>INTERPRETATION FILES</u> - Working file of interpretations of accounting policy, used in preparation of accounting policy statements such as series circulars, notices, or director's messages. See II-NN-3421, Item 4.</p> <p>Destroy when superseded.</p>		
3.	<p><u>ACCOUNTING AND REPORTING REGULATIONS FILE</u> - Accounting series circulars and orders of the Commission along with related background material dealing with formulation and revision of accounting and reporting regulations. Includes Uniform Systems of Accounts issues. See II-NN-3421, Item 8.</p> <p>Destroy when superseded.</p>		
4.	<p><u>ACCOUNT 80 FILES</u> - Correspondence and journal entries relating to adjustment of railroad property accounts in accordance with the Commission's 4-17-63 orders and subsequent clearance of primary property Account 80. See II-NN-3421, Item 9.</p> <p>Transfer to the Federal Records Center when closed. Destroy 15 years after closing.</p>		
5.	<p><u>DEPRECIATION FILES</u> - Correspondence with railroad, pipeline, and water carriers concerning depreciation of property. Includes requests to carriers for estimates of depreciation rates, property changes, and reports showing established depreciation rates. See II-NN-3421, Item 39.</p> <p>Destroy when superseded.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>DEPRECIATION WORKING FILES</u> - Computation sheets showing depreciation data for each carrier on individual pieces of equipment such as ledger values, gross salvage, service life, and annual depreciation charges. See II-NN-3421, Item 41.</p> <p>Destroy when superseded.</p> <p style="text-align: center;"><u>SECTION OF COST AND VALUATION</u></p> <p>The Section of Cost and Valuation prepares cost formulas and studies to reflect the cost of transportation by railroads, motor carriers, and inland, coastal, and intercoastal water carriers and furnishes cost data for use in considering rate proposals. The Section analyzes cost evidence submitted by carriers in petitions for vacation of suspension orders, in rate proceedings, and in abandonment of lines of railroads and discontinuance of passenger lines, and prepares cost exhibits and supplies witnesses in cases when directed by the Commission.</p>		
7.	<p><u>COST FINDING STUDIES</u> - Cost finding records showing conclusions and formulas developed in determining carrier costs. Includes published studies and manuscripts showing net costs, operating factors, cost scales, and formulas for determining costs. See II-NN-3421, Item 33.</p> <p>a. Motor-Regional Studies - Transfer to the Federal Records Center when 9 years old. Destroy when 20 years old.</p> <p>b. Rail-Regional Studies - Transfer to the Federal Records Center when 6 years old. Destroy when 20 years old.</p>		<p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</p>

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	<p>c. Special Studies - Transfer to the Federal Records Center upon completion of subsequent study. Destroy when 15 years old.</p> <p>d. Cases - Transfer to the Federal Records Center when 5 years old. Destroy when 20 years old.</p>		<p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</p>
8.	<p><u>CARRIER REPORTS</u> - Carrier reports used in collecting information from carriers and other sources for processing and inclusion in cost finding studies. Includes Highway Form A-7, Form 2 of Highway Form A and Form 4 of Highway Form A, showing origin of trips, hours spent, weight, pickup and delivery trip manifests, and working papers. See II-NN-3421, Item 34.</p> <p>Destroy 1 year after completion of study.</p>		
9.	<p><u>BOARD OF SUSPENSION MEMORANDA</u> - Memoranda transmitting cost finding data to the Board of Suspension for use in hearings. See II-NN-3421, Item 37.</p> <p>Break file annually and destroy one-year segment 1 year later.</p>		
10.	<p><u>CARRIER PROPERTY FIELD NOTES</u> - Field notes of carrier property including a complete inventory of the physical property of railroad, oil pipeline, and other carriers. Used in preparing engineering reports which in turn are used to determine the cost of reproducing carrier physical property as reflected in the final valuation reports of the Commission. See II-NN-3421, Item 11.</p> <p>Keep until superseded, then destroy.</p>		DISPOSAL NOT APPROVED
11.	<p><u>ENGINEERING WORK PAPERS</u> - Summary computation sheets (Collection Sheets) listing quantities of the same type property such as grading, ties, and rails, and summary sheets listing quantities of the same type property (Pricing Sheets) to which unit prices have been applied. Includes service condition per cent which is the part of the useful life of an article remaining in its present use from which cost of reproduction less depreciation is computed. Used to identify and price property items</p>		DISPOSAL NOT APPROVED

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	<p>of the same type retired from the basic inventory by common carriers. See II-NN-3421, Item 12.</p> <p>Keep until superseded, then destroy.</p>		DISPOSAL NOT APPROVED
12.	<p><u>ENGINEERING REPORTS</u> - Reports prepared in duplicate for every carrier inventoried pursuant to the Valuation Act of 1913. Indicates cost of reproduction now and cost of reproduction less depreciation of carrier physical property as reflected in initial Commission valuation reports. See II-NN-3421, Item 13.</p> <p>Destroy when superseded.</p>		DISPOSAL NOT APPROVED
13.	<p><u>ANNUAL REPORTS OF PROPERTY CHANGES</u> - Annual reports of property changes submitted by carriers in response to valuation orders issued by the Commission. Includes listings of all new construction, extensions, improvements, retirements, or other changes in the condition, use, and classification of carriers' properties subsequent to original valuations. See II-NN-3421, Item 14.</p> <p>Transfer to the Federal Records Center when 5 years old. Offer to the National Archives when 20 years old.</p>		DISPOSAL NOT APPROVED
14.	<p><u>OIL PIPELINE PROPERTY INVENTORIES</u> - Inventories of oil pipeline company physical property, submitted in response to Valuation Order No. 28, to which unit prices have been applied. Used in identifying and pricing periodic retirements of property units. See II-NN-3421, Item 15.</p> <p><del>Destroy when superseded</del> Transfer to the Department of Energy (DOE).</p>		
15.	<p><u>ABANDONMENT VALUATION RECORDS</u> - Valuation records for sections of property abandoned by active carriers. Consists of statements submitted by carriers authorized by the Commission to abandon property or operations indicating what disposition has been made of that which has been abandoned. Includes field notes of inventories, engineering work papers, and correspondence. See II-NN-3421, Item 16.</p> <p>Destroy 3 years after abandonment.</p>		

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16.	<p><u>CARRIER REGISTERS AND SCHEDULES</u> - Registers and schedules of physical property, supplies, and cost data submitted by carriers in response to Commission valuation orders. Includes registers of equipment and machinery, original cost data, lists of industrial track, schedules of materials and supplies purchased, costs thereof, and rates of compensation paid labor. See II-NN-3421, Item 17.</p> <p>Destroy 5 years after receipt of data.</p>		
17.	<p><u>CARRIER WORKING-CAPITAL QUESTIONNAIRES</u> - Replies submitted by carriers in response to the Commission's questionnaires showing selected accounting data for use by the Commission in developing working capital owned and used for common-carrier purposes. See II-NN-3421, Item 18.</p> <p>Break file annually. Destroy one-year segment <del>later.</del> <i>when 6 years old.</i></p>		
18.	<p><u>FIELD EXAMINERS' REPORTS</u> - Reports submitted by field examiners upon completion of examination of prescribed valuation records and reports held by carriers for the purpose of insuring reliability of the reports of property changes filed during the period covered. See II-NN-3421, Item 19.</p> <p>Break file every 5 years and transfer to the Federal Records Center 2 years later. Destroy <del>5 years after breaking file.</del> <i>when 12 years old.</i></p>		
19.	<p><u>LAND MAPS</u> <sup>a.</sup> Right-of-way, station, and detached land maps, submitted by carriers showing right-of-way boundaries, detached land, costs of acquisition, and grantor and grantee. See II-NN-3421, Item 20.</p> <p><i>b. Land volume grading profiles.</i></p> <p>Permanent. Transfer to the Federal Records Center upon completion of valuation. Offer to the National Archives 15 years after transfer. <i>Arranged alpha by name of carrier; thereafter by year. Volume 2235 c.f.</i></p>		
20.	<p><u>LAND INVENTORIES</u> - Inventories of land submitted under Valuation Order No. 7 consisting of DV Form 107 showing land</p>		DISPOSAL NOT APPROVED



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	<p>owned or used by carriers operating steam railroads at primary dates of valuation. Includes parcel numbers, kind of instrument, grantor, grantee, area, consideration, and date of dedication to public use. Also includes DV Form 108 showing similar data for land held by carriers for purposes other than those of a common carrier, plus additional data on costs of improvements, sales, and miscellaneous expenses. Located in the Federal Records Center. 1915-1928. See II-NN-3421, Item 21.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
21.	<p><u>VALUATION ORDER NO. 3 RETURNS</u> - Returns to Valuation Order No. 3, Subschedules L, M, and N of BV Form No. 588, and Valuation Order No. 24, showing changes subsequent to primary valuations for land owned or used for purposes of a common carrier, land held for purposes other than those of a common carrier, and changes in leases of land to municipalities, individuals, and others. See II-NN-3421, Item 22.</p> <p>Break file every 10 years. Transfer to FRC when 10 years old. Destroy when 20 years old.</p>		DISPOSAL NOT APPROVED
22.	<p><u>VALUATION ORDER NO. 16 RETURNS</u> - Returns to Valuation Order No. 16 on BV Forms Nos. 564 and 565, showing grants received from Federal or state governments or political subdivisions thereof, including grants of right-of-way and other lands, and other aids, grants, gifts, or donations. Located in the Federal Records Center. 1914-1928. See II-NN-3421, Item 23.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
23.	<p><u>VALUATION ORDER NO. 26 RETURNS</u> - Returns to Valuation Order No. 26 on BV Form Nos. 623, 624, and 625, showing parcel number, name of grantor in deeds, area of each parcel of land, amount paid for acquisition, and comparable data relative to land owned by pipeline carriers for common carrier</p>		

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	<p>purposes or purposes other than common carrier. See II-NN-3421, Item 24.</p> <p>Break file every 10 years. Destroy when 20 years old.</p>		
24.	<p><u>VALUATION ORDER NO. 15 RETURNS</u> - Returns to Valuation Order No. 15 on BV Form 307, showing land privileges and releases. Located in the Federal Records Center. 1914-1928. See II-NN-3421, Item 25.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
25.	<p><u>LAND APPRAISAL RECORDS</u> - Bound volumes of land field notes showing zones, valuation sections, metes and bounds of land, descriptions of land, opinions of local residents as to land values, photographs, and other data used for establishing values of land owned by carriers. Located in the Federal Records Center. See II-NN-3421, Item 26.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
26.	<p><u>LAND VALUE REPORTS</u> - BV Form No. 577 or comparable forms showing values of land owned by carriers and indicating zones, map numbers, and other location data, together with land maps and summaries of values of land owned by each carrier on BV Form No. 597 or comparable forms. See II-NN-3421, Item 27.</p> <p>Permanent. Break file every 10 years. Transfer to FRC when 5 years old. Offer to the National Archives when 20 years old.</p>		DISPOSAL NOT APPROVED
27.	<p><u>LAND COMPUTATION FILE</u> - Record of land ownership changes and valuation from returns submitted by carriers under various valuation orders to show current holdings and valuations. Reflects names of carriers, location, classes, use, and value of lands owned by carriers, aids, gifts, grants, and donations; rights in public domain, and rights in private land. See II-NN-3421, Item 28.</p> <p>Permanent. Break file every 10 years. Transfer to FRC when 5 years old. Offer to the National Archives when 10 years old.</p>		DISPOSAL NOT APPROVED

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
28.	<p><u>DISTRICT LAND VALUE SUMMARIES</u> - Summaries of land areas and values in the various districts, including lands and rights used by carriers and others, noncarrier property, aids, gifts, grants of right-of-way, and donations as of December 31, 1930. Located in the Federal Records Center. See II-NN-3421, Item 29.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
29.	<p><u>ACQUISITION COST RECORDS</u> - Bound volumes of reports showing location of state, class of land, area, and excess cost of acquisition of land owned or used by carriers. Located in Federal Records Center. See II-NN-3421, Item 30.</p> <p>Permanent. Offer to the National Archives.</p>		DISPOSAL NOT APPROVED
<u>SECTION OF REPORTS</u>			
<p>The Section of Reports sets forth policies and practices to be followed by carriers in filing annual and periodic reports, furnishes report forms to carriers, examines and verifies carrier's reports to determine accuracy, completeness, and compliance with reporting requirements, and conducts correspondence with carriers regarding same. The Section also prepares annual and periodic statistical and accounting publications, and examines the carriers reports for statistical and accounting implications particularly as related to the Early Warning Program, and carriers included in regional rail and motor carrier cost studies.</p>			
30.	<p><u>CARRIER ANNUAL REPORTS</u> - Annual reports filed by carriers under jurisdiction of the Interstate Commerce Act on forms prescribed by the Commission according to mode of carrier, i. e., railroad, motor, water, and other. Reports contain financial and operating data on carriers such as revenue, expenses, income, dividends, interest, tax accruals, investment, capitalization, road track, equipment, licenses, employees, and freight and passengers carried. Forms prescribing data to be reported vary according to carrier classification, which is</p>		DISPOSAL NOT APPROVED

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	<p>based on annual operating revenue. Reports submitted are listed as follows:</p> <ul style="list-style-type: none"> <li>a. Railroads (Classes I and II) (Forms R-1 and R-2).</li> <li>b. Motor Carriers (Classes I and II) (Forms M-1 and M-2).</li> <li>c. Holding Companies (Class I) (Forms M-1 and M-4 for motor carriers and R-1 for railroads).</li> <li>d. Pipelines (Form P).</li> <li>e. Motor Carriers of Passengers (Class I) (Form MP-1).</li> <li>f. Freight Forwarders (Forms F-1 and F-2).</li> <li>g. Electric Railways (Form R-50).</li> <li>h. Lessors (Form R-4).</li> <li>i. Water Carriers (Form W-1 and W-3).</li> <li>j. Maritime Carriers (Form W-4).</li> <li>k. Private Car Line Companies (Forms B-1 and C-1).</li> <li>l. Rate Bureaus and Organizations (Form RBO).</li> </ul> <p>See II-NN-3599, Item 16a.</p> <p>For annual reports 1915-1970, already in the Federal Records Center:</p> <p>Select for permanent retention in the National Archives reports for 1915 and each successive third year, i. e. , 1918, 1921, etc. , concluding with the year 1969. Also select for permanent retention in the National Archives the annual reports for Class I and Class II carriers for the years used in determining the Federal statistical</p>		

**DISPOSAL NOT APPROVED**

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31.	<p>index base periods (1947-49; 1957-59; and 1967-69). Destroy all other annual reports for the period 1915-1970 when 15 years old.</p> <p>For annual reports for the years 1971-- : Convert original records to microform in accordance with CFR 101-11.504. Offer duplicate of microfilm to the National Archives. Transfer originals to the Federal Records Center 5 years after close of reporting year. Destroy when 15 years old. Prior to disposal of any annual reports for the above-stated years, the National Archives will notify the ICC, Justice, Internal Revenue Service, Treasury, Department of Transportation (and any other agency that makes use of the reports), of the impending destruction, so that reports for any carriers under study by those agencies may be excepted from the disposal.</p> <p><u>OTHER ANNUAL REPORTS</u> - Other annual reports filed by carriers under jurisdiction of the Act on forms prescribed by the Commission. These reports contain data on freight, employment and wages, and stockholdings. Reports submitted are listed as follows:</p> <ul style="list-style-type: none"> <li>a. Motor Carriers of Property (Class III) (Form M-3). See II-NN-3599, Item 17.</li> <li>b. Motor Carriers of Passengers (Classes II and III) (Form MP-2). See II-NN-3599, Item 17.</li> <li>c. Motor Carriers (Class I) - Freight Commodity Statistics (Form TCS). See II-NN-3599, Item 20a 2 (b).</li> <li>d. Stockholders' Reports - II-NN-3599, Item 18a.</li> <li>e. Railroad Annual Report of Employment and Wages (Class I) (Forms A and B). See II-NN-3599, Item 19b.</li> <li>f. Railroad (Class I) Freight Commodity Statistics (Form QCS). See II-NN-3599, Item 20a 2(b).</li> </ul> <p>Destroy 5 years after filing date.</p>		DISPOSAL NOT APPROVED

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32.	<p><u>CARRIER QUARTERLY REPORTS</u> - Quarterly reports filed by carriers under jurisdiction of the Act on forms prescribed by the Commission. Reports submitted are listed as follows:</p> <p>a. Railroads (Class I) - Reports of income, dividends, expenditures, traffic, and rolling stock. (Forms RE&amp;I, CBS, OS-A, OS-B, OS-C, QCS, PTR-R, QL&amp;D-R and Ex Parte No. 305).</p> <p>b. Express - Data about shipments and employees (Forms R&amp;E AND WSX).</p> <p>c. Pipelines - Reports on traffic and capital expenditures (Form QPS).</p> <p>d. Motor Carriers (Classes I and II) - Reports on revenues, route mileage, expenditures, loss and damage claims and drivers wages. (Forms QFR, QPA, PTR-M and QL&amp;D).</p> <p>e. Freight Forwarders - Reports of revenue, expenses, number of shipments and their tonnage and piggyback services (Forms QFF and PTR-FF).</p> <p>f. Carriers by Water - Reports of revenue, tons, ton-miles and expenditures (Forms QWS and PTR-W).</p> <p>See II-NN-3599, Item 19a.</p> <p>Destroy 5 years after filing date.</p>		
33.	<p><u>CARRIER MONTHLY REPORTS</u> - Monthly reports filed by carriers under jurisdiction of the Act on forms prescribed by the Commission. Includes railroad reports on employment and wages (Wage Forms A and B and Preliminary Report of Number of Employees). See II-NN-3599, Item 19a.</p> <p>Destroy 5 years after filing date.</p>		

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34.	<p><u>CONTRACTS AND AGREEMENTS (SECTION 10, CLAYTON ANTITRUST ACT)</u> - Contracts and agreements and supporting records and statements filed by carriers covering transactions which, under the provisions of Section 10 of the Clayton Antitrust Act (15 USC 20), are required to be conducted under competitive bidding regulations prescribed in the Commission's Docket Ex Parte No. 54. (49 CFR 8 and 320). See NN-165-149, Item 1.</p> <p>Break file annually and transfer to the Federal Records Center 5 years later. Destroy 5 years after expiration of contract.</p>		<p><b>WITHDRAWN</b></p>
35.	<p><u>OTHER CONTRACTS AND AGREEMENTS</u> - Other than those filed under the provisions of Section 10 of the Clayton Antitrust Act [15 USC 20] - filed annually by all modes. These are contracts and agreements with carriers and other companies or persons which became effective during the current year and concerned in any way with the transportation of persons or things at other than tariff rates, or the purchase of equipment under conditional sales plans.</p> <p>Destroy 5 years after date of filing.</p>		
36.	<p><u>CORPORATE STRUCTURE FILES</u> - Corporate structure files or A-files relating to railroads and Class I and Class II motor carriers of property and Class I motor carriers of passengers containing copies of Commission reports and orders relating to abandonment and disposition of carrier property, purchase and merger of lines, issuance of stocks and bonds, information copies of memoranda from other Bureaus and predecessor agencies having a bearing on property ownership, and correspondence with carriers relating to submission of reports as a result of these actions. This file is used to determine corporate status of carriers as it may affect the proper reporting by carriers. See II-NN-3599, Item 24.</p> <p>Close file every 10 years. Destroy <sup>when</sup> 15 years <sup>OLD.</sup> later.</p>		

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37.	<p><u>REPORTS REVIEW CORRESPONDENCE</u> - Reports review correspondence files, consisting principally of correspondence with carriers regarding errors, omissions, and inconsistencies in reports; delinquencies; extension of time for filing reports; and authorized changes in reports. Material filed with motor carriers' reports prior to 1956 will be disposed of at the same time as the related report. See II-NN-3599, Item 25.</p> <p>Close file every 5 years. Destroy closed file <del>later.</del> <sup>When</sup> 8 years <del>later.</del> <sup>OLD.</sup></p>		
38.	<p><u>REPORTS CONTROL CARD FILES</u> - Card control files for reports showing date received and containing information relating to reporting or indicating why a carrier is no longer reporting. See II-NN-3599, Items 26a and b.</p> <p>Keep until superseded plus 5 additional years, then destroy.</p>		
39.	<p><u>REPORT CONTROL LISTS</u> - Reports control list files for Class III motor carriers of property and Classes II and III motor carriers of passengers, consisting of the names and addresses of carriers to whom reports were mailed and the dates reports were received from carriers. See II-NN-3599, Item 27.</p> <p>Close file annually. Destroy closed file <sup>When</sup> 6 years <del>later.</del> <sup>OLD.</sup></p>		
40.	<p><u>REPORT STATISTICAL TABULATIONS</u> - Statistical tabulations accumulated in the preparation of monthly, quarterly, and annual Commission reports or publications.</p> <p>a. Used in preparing monthly and quarterly reports. Destroy after receipt of succeeding report. (II-NN-3599, Item 28a)</p> <p>b. Used in preparing annual reports. Destroy <sup>When</sup> <del>after</del> 2 years <sup>OLD.</sup> (II-NN-3599, Item 28b)</p>		



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41.	<p>c. Used in preparing special studies and reports. Destroy tabulations when the data contained therein have been incorporated in related studies or reports. (II-NN-3599, Item 28f)</p> <p><u>CARRIER REPORTS PUBLICATION FILE</u> - Publications consisting of monthly, quarterly, and annual reports, bulletins, and summaries compiled from reports submitted by carriers subject to the ICC Act. See II-NN-3599, Item 15.</p> <p>Break file every 5 years and transfer to the Federal Records Center. Offer to the National Archives when 20 years old.</p> <p style="text-align: center;"><u>SECTION OF FINANCIAL ANALYSIS</u></p> <p>The Section of Financial Analysis prepares accounting and financial analyses in connection with pending applications involving authority to purchase, lease, merge, consolidate or acquire stock control; to issue securities or assume obligations and liability to modify capital structures; for reorganizations; and approval of accounting entries submitted by carriers pursuant to Commission orders in finance proceedings.</p> <p style="text-align: center;"><u>SECTION CHIEF</u></p> <p><u>GUARANTEE LOAN CASE FILES</u> - Records documenting the role of the Commission in the administration of Part V of the Act which concerns loan guarantees to railroads otherwise unable to obtain funds on reasonable terms for maintenance of and improvements to facilities. Consists of applications for loans by common carriers by railroads and amendments thereto; copies of by-laws, resolutions, balance sheets, letters from the carrier pledging collateral for the loan certificate by carrier as to legislative acts relating to its creation and growth; copies of statements of securities issued by carrier; note purchase agreements and collateral trust indentures; loan examiner's reports showing detailed data regarding financial status of carriers, and conclusions regarding the application; copies of</p>		<p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</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>reports from other Bureaus regarding such matters as examination of carrier's accounts and safety records; copies of guaranty agreements with related memoranda to the Commission; legal opinions; reports to the Commission; correspondence between the carrier, trustee, and the Commission regarding proposed amendments to the report trust indentures, guaranty agreements, and note purchase agreement; and post closing files relating to purchase of stock by trustees, including reports of purchases. See NN-164-111, Item 17.</p> <p>Permanent. Transfer to the Federal Records Center 3 years after final payment on the loan. Offer to the National Archives 15 years later.</p>		DISPOSAL NOT APPROVED
43.	<p><u>PART V LOAN GUARANTEE BANKRUPTCY PROCEEDINGS FILE</u> - Financial analyses, correspondence, and data on railroad companies which have outstanding loans guaranteed under Part V of the Act and which have gone bankrupt and are in reorganization. Used in documenting recovery of defaulted loans and the collateral securing those loans.</p> <p>Destroy 6 years after final payment or collection.</p> <p style="text-align: center;"><u>EARLY WARNING BRANCH</u></p>		
44.	<p><u>EARLY WARNING ANALYSES FILE</u> - Records documenting analyses of the financial condition of distressed carriers and those under special investigation by the Commission. Early Warning analyses of railroads and motor carriers include information on financial condition, debt capital stock ownership, and traffic data.</p> <p>Destroy when 5 years old.</p>		
45.	<p><u>CARRIERS' CASH REPORTS</u> - Cash reports, quarterly, and special reports on the financial status of railroad and motor carriers. Used in analysis of financial condition of distressed carriers and those under special investigation by the Commission.</p> <p>Destroy when 5 years old.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p style="text-align: center;"><u>FORMAL CASES BRANCH</u></p> <p>46. <u>FINANCE TRANSACTIONS AND SECURITY APPLICATION ANALYSES</u> - Records documenting the branch's review of applications received by the Commission for authority to purchase, merge, consolidate or acquire stock control or to issue securities or assume obligations and liabilities thereof. Includes analyses of Part 5 finance transactions and security applications under Sections 214 and 20a of the Act for the use of attorney advisors and Administrative Law Judges.</p> <p style="padding-left: 40px;">Break file every 5 years. Destroy 5-year segment when 5 years old.</p> <p>47. <u>SECURITIES ISSUANCE NOTIFICATION FILES</u> - Certifications submitted by carriers showing securities issued under Sections 20a and 214 of the Act, which require carriers to apply to the Commission for authority to issue securities. Includes correspondence.</p> <p style="padding-left: 40px;">Transfer to closed file upon receipt of carrier's final submission. Destroy 5 years <del>later</del> <i>after close of file.</i></p> <p>48. <u>RATE ANALYSES FILE</u> - Rate increase justification statements filed by carriers as required and reviewed by the branch. Includes rate analyses of bus passenger fare increase cases, railroad general increase cases, and motor carrier rate increase cases.</p> <p style="padding-left: 40px;">Destroy when 5 years old.</p> <p style="text-align: center;"><u>SECTION OF AUDIT</u></p> <p>The Audit Staff evaluates reports and related working papers pertaining to examinations made by the field staff; reviews the disposition of irregularities and matters reported for all special investigations by the Bureau's audit staff; performs special investigations as required; works with the Section of Accounting in the modification of prescribed rules and regulations resulting from examination of carrier's</p>		

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49.	<p>records and accounts; and modifies and updates existing scope of examination and operating manual with respect to new rules, regulations, or Financial Accounting Standards Board Statements.</p> <p><u>INVESTIGATIVE AND SPECIAL STUDY FILES</u> - General investigative and special study files consisting of materials developed in investigating and documenting violations by carriers of laws concerning compliance, valuation, and related regulations prescribed by the Commission. Includes copies of carrier records, records of companies affiliated with carriers or companies they do business with, auditors' working papers, and reports of interviews. Used in preparation of investigative reports which appear in dockets. Item of no General Accounting Office interest. See NCI-134-76-6, Item 1.</p> <p>Maintain file in office 3 years after final action, then transfer to the Federal Records Center. Destroy <del>8</del> years after <del>transfer</del> <b>FINAL ACTION</b>,</p>		
50 <del>49</del>	<p><u>CARRIER ACCOUNTING AND AUDIT FILES</u> - General Accounting and auditing files on carriers. Includes reports of examination of accounts and records of carriers, condition of carriers' accounts with exceptions and recommendations for correction of deficiencies, and requests to carriers for adjustments of accounts with replies and attachments showing correction of journal entries; accounting correspondence relative to transfer of operating rights between carriers, requests to the Account Board for exceptions to accounting rules, Board memorandums and decisions, correspondence regarding destruction of carriers' records, and accounting interpretations and comparable papers filed alphabetically by name of carrier. See II-NN-3421, Item 38.</p> <p>Break file every 5 years and transfer to the Federal Records Center 5 years later. Destroy 5-year segment when 10 years old.</p> <p><u>ACCOUNTING BOARD</u></p> <p>The Accounting Board acts on requests by carriers to amend or deviate from prescribed accounting procedures,</p>		

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51. <del>50X</del>	<p><u>ACCOUNTING BOARD FILES</u> - Files contain orders, voting slips, depreciation rate analyses, computation sheets, correspondence, and Memoranda to Recorder of Minutes documenting the following actions:</p> <ul style="list-style-type: none"> <li>a. Use of Prescribed Accounts - Authority to permit the use of prescribed accounts for carriers and other persons under the IC Act, which require special authority.</li> <li>b. Regulations Governing Forms and Recording of Passes - Authority to permit departures from general rules prescribing uniform systems of accounts to permit departures from Regulations to Govern the Forms and Recording of Passes for carriers and other persons under the Act.</li> <li>c. Depreciation Rates - Authority to prescribe by order rates of depreciation to be used by individual carriers by railroad, water and pipeline.</li> <li>d. Destruction of Records - Authority to issue special authorizations permitted by the prescribed regulations governing the destruction or records of carriers subject to the Act.</li> <li>e. Extension of Time in Filing Reports and Temporary Relief from Accounting and Reporting Requirements - Authority to grant extensions of time for filing annual periodical, and special reports, and authority to grant exemptions to individual carriers from reporting and accounting requirements. See NCI-134-76-1, Item 1.</li> </ul> <p>Break file annually. Retain 2 years, then dispose.</p> <p style="text-align: center;"><u>VALUATION BOARD</u></p> <p>The Valuation Board considers and acts on adoption of property valuation reports of oil pipeline carriers which are in ratemaking determinations.</p>		

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52.	<p>VALUATION BOARD FILES - File contains attachments, voting slips, valuation dockets, valuation reports, and orders documenting determination of property values of carriers which does not include public hearing testimony or submission of affidavits by opposing parties. See NCI-134-76-1, Item 2.</p> <p>Break file annually. Retain 2 years, then dispose.</p>		