



7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. GRS Schedule 22, Item 1</p> <p><b>Disposition:</b> a. Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations. Destroy when 10 years old.</p> <p><i>Place in inactive file when closed. Cut off inactive file at end of fiscal year.</i></p> <p>b. All other investigative case files- Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 15 years after cutoff.</p>		
3	<p><b>AUDIT CASE FILES</b> contain case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors. Consists of audit reports, correspondence, memoranda, and supporting work papers. GRS Schedule 22, Item 2.</p> <p><b>Disposition:</b> Cut off at end of fiscal year in which case is closed. Destroy 15 years after cutoff.</p>		
	<p style="text-align: center;"><b><u>BUREAU OF DOMESTIC REGULATION</u></b></p> <p><b><u>Office of Carrier and Service Contract Operations</u></b></p>		
4	<p><b>ANTI-REBATE CERTIFICATIONS</b> contain carrier and freight forwarder annual certifications.</p> <p><b>Disposition:</b> Retain in office for five years and then destroy.</p>		
5	<p><b>SERVICE CONTRACTS</b> contain service contracts (SC) and Essential Terms Publications (ET).</p> <p><b>Disposition:</b> Retain in office for 5 years then microfiche. Microfiche to be retained for 20 years. Destroy originals after microfiching is completed and verified.</p>		

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6	<p><b>CARRIER CORRESPONDENCE FILES</b> contain foreign and domestic correspondence and memoranda, complaints received from shippers, carriers, terminal operators, etc. concerning problems relating to rate matters, disparities, tariff rules, classifications, etc.</p> <p><b>Disposition:</b> Retain in office for five years and then destroy.</p>	NC1-358- 81-2/63	
7	<p><b>TARIFFS, FOREIGN AND DOMESTIC COMMERCE</b> contain freight tariffs, amendments, supplements, and other documents submitted by carriers in accordance with Section 18(a), Shipping Act, 1916, as amended; Section 8(a), Shipping Act of 1984; and section 2, Intercoastal Shipping Act, 1933.</p> <p><b>Disposition:</b> (a) <b>Microfilm</b> - Documents will be filmed in duplicate.</p> <p>(1) <b>Silver Original</b> - Retain in locked file cabinet for security storage purposes for 20 years from date of tariff cancellation. Then destroy.</p> <p>(2) <b>Diazo Duplicate</b> - Retain as reference copy in Tariff Control Center for 20 years after date of tariff cancellation. Then destroy.</p> <p>(b) <b>Original Tariffs</b> - Destroy in agency after inspection of microfilm for adequacy of reproduction and coverage.</p>	NC1-358- 81-2 NC1-358- 81-1/1 & 1/2	
8	<p><b>FINANCIAL REPORT FILES</b> contain Forms FMC-377 and 378 and company-wide financial reports of domestic offshore steamship companies and audit reports filed by company name.</p> <p><b>Disposition:</b> (a) <b>Active carriers:</b> Retain all copies of reports in office for 5 years after filing, then destroy duplicates. Destroy when 15 years old.</p> <p>(b) <b>Inactive carriers:</b> Retain original or working copy for five years after carrier ceases activity, then destroy.</p>	NC1-358- 81/2/80	

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	(c) <b>Significant carriers:</b> Retain original or working copy of reports in office for 15 years after filing, then destroy. (The significance of these reports is reviewed annually).		
9	<b>FINANCIAL CORRESPONDENCE FILES</b> contain correspondence with carriers and other Commission offices, including Investigation and Suspension memos (I&S). Filed by firm name.  <b>Disposition:</b> Close file when carrier terminates business, then transfer to inactive file. Destroy when 5 years old.	NC1-358- 81-2/52 81	
10	<i>Per Louis Author 02-05-91</i> <b>TARIFF FILING EXEMPTIONS -</b> <b>SECTION 35 EXEMPTION - FOREIGN AND DOMESTIC TARIFFS</b> contain applications for exemption of the tariff filing requirements of the Shipping Act of 1984. Files contain applications, recommendations, and related correspondence.  <b>Disposition:</b> Retain in office for 10 years after granting of exemption, then destroy.	NC1-358- 81-2/52	
11	<b>DELEGATION OF AUTHORITY, FOREIGN COMMERCE AND DOMESTIC</b> contain the powers of attorney to file tariffs, amendments, and revisions by other persons on behalf of parties subject to the Shipping Acts of 1916 and 1984, and the Intercoastal Shipping Act, 1933.  <b>Disposition:</b> Destroy when the carrier ceases operations.	NC1-358- 81-2/54	
12	<b>SPECIAL PERMISSION APPLICATIONS - FOREIGN AND DOMESTIC</b> contain requests from carriers to deviate from the Commission's tariff filing requirements and correspondence granting or denying such application.  <b>Disposition:</b> Close file after Commission decision and maintain in office until 2 years old. Transfer to WNRC and destroy when 10 years old.	NC1-358- 81-2/56	
13	<b>Office of Terminal Operations</b> <b>TERMINAL TARIFF</b> files contain terminal operator tariffs, amendments, and supplements submitted by terminal operators in the domestic offshore commerce of the U.S. pursuant to	NC1-358- 81-2/50	

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	<p>Section 17, Shipping, 1916, as amended and in the foreign commerce pursuant to sections 10(d)(1) and 17 of the Shipping Act of 1984.</p> <p><b>Disposition:</b> (a) <b>Microfilm</b> - Documents will be filmed in duplicate.</p> <p>(1) <b>Silver Original</b> - Retain in locked file cabinet for security storage purposes for 20 years from date of tariff cancellation. Then destroy.</p> <p>(2) <b>Diazo Duplicate</b> - Retain as reference copy in Office of Terminal Operations for 20 years after date of tariff cancellation. Then destroy.</p> <p>(b) <b>Original Tariffs</b> - Destroy in agency after inspection of microfilm for adequacy of reproduction and coverage.</p>		
14	<p><b>TERMINAL AGREEMENT CARDS</b> - an alphabetical record of agreements by filing party.</p> <p><b>Disposition:</b> Keep in office as long as tariff and agreement files are retained, then destroy.</p>	NC1-358-81-2/53	
15	<p style="text-align: center;"><b><u>BUREAU OF INVESTIGATIONS</u></b></p> <p><b>BUREAU READING FILES</b> contain <sup>copies of</sup> all correspondence, memoranda, etc. emanating from the Bureau.</p> <p><b>Disposition:</b> Hold in office until 5 years old, then destroy.</p>		
16	<p style="text-align: center;"><b><u>OFFICE OF INFORMAL INQUIRIES AND COMPLAINTS</u></b></p> <p><b>CONSUMER AFFAIRS FILES</b> contain correspondence relating to consumer complaints against the practices, methods, operations, and rate levels established by those engaged in foreign and domestic waterborne commerce and the disposition of such complaints; and records incident to representing the Commission in dealing with industry, Federal, State, or local groups, civic bodies, and consumer affairs.</p> <p><b>Disposition:</b> Close file after disposition of complaint or inquiry. Hold in office 2 years, then transfer to WNRC. Destroy when 4 years old.</p>	NC1-358-81-2/15	