

DOMESTIC PERSONAL PROPERTY RATE    SOLICITATION D-7

**CHAPTER VI - INTERSTATE RATE FILING INSTRUCTIONS**

ITEM 600.

**PURPOSE**

These instructions provide procedures, automated filing formats, and other information required to properly file voluntary rates. Rates will be filed in conjunction with this rate solicitation and modification letters issued every 6 months on behalf of carriers engaging in the movement of Department of Defense (DOD) and U.S. Coast Guard (USCG)-sponsored shipments of household goods within the continental United States (the 48 contiguous states and Alaska). Detailed instructions, formats, and error descriptions/codes for rate filings and cancellations are provided in this chapter. Carriers filing rates in response to a HQMTMC rate solicitation will use these instructions in conjunction with rate solicitation modifications to ensure a totally responsive rate filing.

ITEM 601.

**INDUSTRY RATE SUBMISSIONS**

a. **Carriers are solely responsible for the submission and quality control of their rates. The failure of submissions to actually arrive in the anonymous File Transfer Protocol (FTP) computer at HQMTMC by the designated filing date will result in nonacceptance of the submissions.** Carriers/ADP agent are responsible for the selection and actions of their on-line service provider. Carriers are also responsible for any internal company computer security and control/use of issued passwords for access to the FTP computer. HQMTMC may, however, grant carriers/ADP agent one additional opportunity, within 4 working hours after notification by HQMTMC, to submit a new FTP file if the original file fails to process or complete loss in transmission before the filing deadline is proven. HQMTMC will produce a summary of rates on each FTP file submitted. An analysis will be completed to identify any major problem, such as lack of interstate DOD approval for a particular SCAC, rejection of total rate field, etc. HQMTMC does not guarantee that all rejections and/or errors will be identified through this analysis.

b. I/F, M/T, or L/C rates may be filed with HQMTMC prior to the designated dates. Carriers discovering mistakes in rates submitted before the designated date may add, delete, change, or correct such rates in accordance with Item 616b(1). The latest FTP submission received on or before the applicable I/F, M/T, or L/C filing deadline will prevail as the carrier's rate filing. However, where multiple rates are actually processed, Item 602 will apply.

c. FTP files or individual rate records which are not properly prepared or submitted in accordance with provisions of this chapter will be rejected.

ITEM 602.

**USE OF ADP AGENTS**

Carriers using ADP agents are required to restrict their use to one agent and are responsible for the actions of that agent, with regards to rate submissions. Multiple files submitted by one or more ADP agents containing rates for the same origin/destination record will result in the acceptance of the first submission by HQMTMC before the required designated date for processing. Carriers are solely responsible for the accuracy of their submitted rates.

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ITEM 603.

**TIME OF SUBMISSIONS**

These dates represent the receipt cutoff times for carrier submissions to be considered responsive to the applicable solicitation. **Submissions, in response to any designated filing date posted on the Personal Property homepage, must arrive at the anonymous FTP file at HQMTMC prior to 12:00 midnight, Eastern Standard Time, on the designated date.** If the date falls on a Federal holiday, the designated date will be the next Government workday. Failure to submit FTP transmissions by the designated rate filing deadlines will result in the carrier being nonresponsive and the rates not being accepted.

ITEM 604.

**LATE SUBMISSION OF FTP FILE**

- a. I/F and M/T Filing Submissions: An I/F or M/T FTP file received after the designated filing deadline will result in the carrier being nonresponsive and the rates not being accepted. This will preclude participation in the I/F-M or M/T-B, as appropriate. Carriers missing the I/F rate filing may submit rates in the L/C.
- b. L/C Filing Submission: An L/C FTP file, including those containing added or cancelled individual rate records, will be considered for the appropriate update filing period (L/C-1, L/C-2, L/C-3 or L/C-4), depending upon which filing deadline the FTP file is received. For example, if an FTP file is received after the filing deadline of the L/C-1, L/C-2 or L/C-3 filing , it will be returned unprocessed and may be submitted in the next L/C.

ITEM 605.

**INDIVIDUAL RATE RECORDS**

Each rate record should be constructed to stand alone without regard to individual rate records for other origin/destination and code of service combinations. Each individual solicitation stands alone, is not influenced by prior practices or procedures, and will not be subject to modification prior to and subsequent to the deadline and acceptance stipulated, unless specifically modified by HQMTMC for the mutual benefit of all parties by letter or telegram prior to the solicitation deadline.

ITEM 606.

**RESERVED FOR FUTURE USE**

ITEM 607.

**EFFECTIVE PERIOD FOR ACCEPTED RATES**

a. Rates, accepted by HQMTMC, must remain in effect until the Letter of Intent/Cancellation (L/C) submission, but cannot be in effect for more than the duration of the rate cycle.

(1) All rates accepted by HQMTMC for November 1 or the effective date of the L/C filing submission will expire at 11:59 p.m., April 30, unless cancelled earlier.

(2) All rates accepted by HQMTMC for May 1 or the effective date of the L/C filing submission will expire at 11:59 p.m., October 31, unless cancelled earlier.

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ITEM 608.

NEW APPROVALS

a. Newly Approved Carrier. A newly approved DOD/USCG carrier may M/T another carrier's rates currently on file at HQMTMC for a given PPSO during any L/C submission. **A carrier must have an accepted valid LOI on file prior to filing rates .**

b. Expansion of Operating Authority. An approved DOD/USCG carrier gaining new authority to serve more states may M/T another carrier's rates to those states during any L/C submission. **A carrier must have an accepted valid LOI on file, which includes the additional authority, prior to filing rates .**

ITEM 609.

CROSS-FILING

a. M/T Submission. Carriers may cross-file between Code 1 service and Code 2 service (or vice versa).

b. Procedures. Cross-filing is identified by meeting another carrier's Code 2 service by a Code 1 service (and vice versa).

ITEM 610.

DUALITY

Two or more rates of a carrier, submitted during the same filing cycle for the same code of service and the same origin/destination combinations (dual rates) are not permitted. However, a Code 1 rate will not be considered dual with a Code 2 rate (and vice versa).

ITEM 611.

NAME/OWNERSHIP CHANGE

a. When a carrier undergoes a name and/or ownership change, the carrier must maintain existing rates or cancel them during the L/C submission.

(1) Name Change: For administrative purposes, a carrier will continue to use the old name and SCAC reference until the end of the existing cycle. For the following cycle, the carrier will use the new name and SCAC reference. Carriers are required to obtain approval by HQMTMC, and new LOIs must be filed at each PPSO served to show the carrier's new name.

(2) Ownership Change: The carrier must notify HQMTMC of a change in ownership and, after acceptance by HQMTMC, new LOIs must be filed at each PPSO served. Carriers may continue the existing rates filed by the previous management or cancel them during the L/C submission.

ITEM 612.

ORIGINS

Origin installations (PPSOs) must be specified by the appropriate four-character alphabetic code (GBLOC) representing each PPSO as shown in Chapter IX. Failure to use the correct code will result in the rejection of individual rate records or the acceptance of rates for the wrong origin PPSO.

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ITEM 613.

DESTINATIONS

a. The following procedures apply to all destinations for which individual rate records are filed:

(1) Any destination state must be specified by the appropriate two-letter postal abbreviation representing each state.

(2) If a carrier chooses to serve a destination state, then the carrier must serve the destination state in its entirety.

(3) Rates filed under the provisions of CARTS have no intrastate application. Therefore, if a carrier lists the destination state in which the origin installation resides, the shipment must originate in another state within the origin's consignment authority and must be delivered into the destination state listed (i.e., interstate shipment).

ITEM 614.

RESERVED FOR FUTURE USE

ITEM 615.

ORIGIN/DESTINATION COMBINATION

Area of responsibility to destination state will be the only filing option (origin/destination combination) allowed. Only one individual rate record for each origin/destination and code of service combination will be permitted.

ITEM 616.

RATE FILING PROCEDURES

a. General. Rates will be submitted to HQMTMC by FTP. Carriers are solely responsible for the proper preparation, and submission of their FTP transmissions in accordance with the procedures and formats prescribed within these instructions. Carriers are responsible for establishing quality control procedures that permit the review of rates prior to actual submission to HQMTMC. Filing deadlines will be established by HQMTMC, and carriers will be notified of these dates via a rate filing schedule posted on the Personal Property homepage prior to each filing cycle. Failure to submit FTP transmissions by the designated filing deadlines will result in the carrier being nonresponsive and the rates not being accepted.

(1) **Procedures for Rate Filing Via FTP** . Rates may be submitted during each phase within the rate filing cycle. FTP Electronic transmissions, in response to any designated filing date, must arrive at the anonymous FTP file at HQMTMC prior to 12:00 midnight , Eastern Standard Time, on the designated date. FTP transmissions can be made daily to update the file until the disclosure date. Only one set of rates per carrier, per channel, per day, may be submitted. Each rate filing cycle will be subject to edit and validation criteria, prior to acceptance or rejection. **Upon closure of the designated rate filing date, rates may not be changed** .

b. Rate Filing. I/F, M/T or L/C rates may be filed with HQMTMC prior to the designated dates. Carriers discovering mistakes in rates submitted before the designated date may, if they so desire, add, delete, change, or correct such rates. The latest FTP submission received on or before the applicable I/F, M/T or L/C filing date will prevail as the carrier's rate filing. However, where multiple rates are actually processed, Item 602 will apply.

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(1) **Correction of FTP Files Submitted Prior to the Filing Deadline** . Carriers/ADP agents who desire to add, delete, or change individual rate records previously filed must submit a replacement FTP file. ADP agents must resubmit the rates of all carriers contained on the original submission, which includes the affected carrier's rates. Replacement rates submitted prior to the applicable filing deadline will be accepted and will replace the FTP file previously filed. Only one replacement file is allowed in each filing. Rate submissions submitted after the filing deadline will not be processed.

c. **Rate Percentages** All rate submissions must be prepared using the exact format specified in this chapter. Voluntary individual rate records must be expressed as "percentage of" the baseline rates contained in the rate solicitation and not as "percentage off" the baseline rates. Also, individual rate records must be expressed in full percentages (i.e., 095; 100; 110), and not as fractions (i.e., 95.2; .95). Leading zero(s) must be used when expressing a "percentage of" less than 100 percent. Where no rate is filed, the rate field must be left blank, since "000" will be construed as an actual filing.

(1) Rates for interstate application will be filed as a percentage of the baseline rates. A carrier who desires to serve a PPSO may offer service at any percentage above, below, or equal to the baseline rates contained in the rate solicitation. **The percentage filed will cover all aspects of the shipment except the following : reweigh; additional shipment charges; third party services; ferry, bridge and service charges; full replacement protection; SIT and warehouse handling at destination; delivery out of SIT at destination; any accessorial services performed in connection with destination SIT, and packing inspection for shipments out of nontemporary storage warehouses and SIT warehouses, in certain instances.**

(2) **Tariff to Individual Rate Record Conversion.** Carriers cannot submit a percentage of their commercial interstate tariff nor a percentage of any other rate basis as a substitute for the rate solicitation. Carriers' individual rate records must provide rates which are not greater in application than the correlative rates in their interstate commercial tariffs.

d. **I/F Filing:**

(1) **General.** There are two I/F cycles per year. During each filing cycle, competitive rate levels are established to move DOD/USCG personal property shipments within CONUS (including Alaska). The I/F cycle provides carriers maximum flexibility to establish the specific, compensatory rates at which they desire to move personal property shipments from any origin PPSO to any destination state. Filing deadlines are announced via a rate filing schedule posted on the Personal Property homepage prior to each I/F cycle.

(a) **I/F-A (Initial Submission)** The individual rate records, contained in the prescribed automated format, will be subject to edit and validation criteria. Carriers will have one opportunity to review and change rates which pass the editing and validation criteria (but did not reflect what the carrier intended to file), add rates which were unintentionally omitted in the I/F-A submission, and correct I/F-A rejected rates. Carriers may submit the changed, the added, and/or corrected rejected rates in the I/F-M.

(b) **I/F-M (Change/Correction Submission)** Rates filed in the I/F-M will only be the changed, the added, and/or the corrected rejected rates. All rates which have previously passed the editing and validation criteria in the I/F-A that the carrier does not desire to change will be considered accepted. The individual rate records contained in the I/F-M will again be subject to the same editing and validation criteria as in the I/F-A. ADP agents do not need to submit the rates of carriers not exercising this option that were filed in the original submission.

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**NOTE:** In the event the I/F-M submission contains an incorrect carrier's SCAC, the appropriate carrier or ADP firm who submitted the rates will have two working days from the date of notification to submit a correct rate submission. If the carrier or designated ADP firm fails to replace the rates before the deadline or the replacement submission still contains an incorrect carrier's SCAC, the rates shall be voided from further consideration in the I/F-M. This situation will constitute a second or final rejection for the carriers involved and the rates which passed the I/F-A editing and validation criteria for these carriers will be considered accepted.

e. M/T Filing.

(1) **General.** There is a M/T filing submission in conjunction with each I/F submission. The M/T provides carriers with the opportunity to precisely adjust their rates downward to (equal) the lower rates of other carriers established during the I/F cycle. Carriers may remain at their initial rate . **In order to participate in the M/T, a carrier must have an accepted individual rate record established in the I/F cycle.**

(2) **M/T-A (Initial Submission)** . The individual rate records contained in the prescribed automated format will be subject to edit and validation criteria. Carriers will have one opportunity to add rates that were unintentionally omitted from the M/T-A and to correct M/T-A rejected rates in the M/T-B. Carriers may not change rates that passed the edit and validation criteria in the M/T-A.

(3) **M/T-B (Correction Submission)** . **Rates filed in the M/T-B must only include the added and the corrected rejected rates** . All rates that have previously passed the edit and validation criteria in the M/T-A will be considered accepted. The individual rate records will be subject to the same editing and validation criteria as in the M/T-A.

**NOTE 1:** M/T rates may be filed only for those individual records (i.e., origin/destination and code of service combinations) for which a carrier has an accepted I/F rate record.

**NOTE 2:** A carrier's rate record accepted in the I/F will automatically remain in effect if the carrier does not participate in the M/T or the M/T record is rejected.

**NOTE 3:** An accepted M/T rate replaces the I/F submission. The I/F rate will no longer apply.

f. LOI/Cancellation Submission (L/C) . There are four L/C submissions allowed each filing cycle. The filing deadlines for these submissions will be announced in the rate filing schedule posted on the Personal Property homepage prior to each filing cycle. The L/C filing submissions provide carriers newly approved at an installation, including those meeting the expansion in operating authority provision, with the opportunity to precisely meet (equal) the rates of other carriers during the 6-month rate cycle, and provides carriers with the opportunity to cancel existing rates. When a carrier cancels an accepted rate, the carrier will be considered serving at its next lowest applicable rate.

ITEM 617.

CANCELLATION OF RATES

a. M/T Submission Rates, accepted in the I/F, will be considered cancelled when the carrier meets another carrier's rate for an origin/destination and code of service combination. Otherwise, rates filed in the I/F will remain in effect, unless the rates are cancelled in the L/C.



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<b><u>ERROR CODE</u></b>	<b><u>DESCRIPTION</u></b>
9	<b>Improper Me-too, No Match on File.</b> This SCAC, origin/destination and code of service combination being met is not on file.
11	<b>Must Equal 1 or 2.</b> Code of service or M/T code of service must equal a "1" or "2"
12	<b>Record Already Cancelled.</b> This individual rate record was already cancelled in a previous L/C filing cycle.
13	<b>Must Equal "C."</b> To cancel a rate record, the cancellation code must equal a "C."
14	<b>No Interstate DOD Approval For This SCAC.</b> Carrier does not have interstate approval.
15	<b>No Record Filed During the I/F Cycle.</b> M ust have an I/F record on file for this SCAC, origin/destination, and code of service combination in order to participate in the M/T.
16	<b>Duplicate Key Fields Records Rejected.</b> The same SCAC, origin GBLOC, destination state, and code of service was coded two or more times in the same filing. <b>All of these records are rejected.</b>
17	<b>M/T Rates Do Not Match Rates On File.</b> The rates entered to meet (M/T) this SCAC, origin/destination, and code of service combination do not match the current rates on file for this combination.
19	<b>Can't M/T a Cancelled Rate.</b> A rate that has been cancelled can't be metooed.
20	<b>Invalid Filing, M/T Record Already Exists :</b> Only one M/T rate for a SCAC, GBLOC, destination state, and code of service can be filed.
21	<b>Can't M/T A Rate Higher Than Your I/F.</b> I/F rate can't be increased by a M/T filing.
25	<b>Can't M/ T SCAC Without LOI/Operating Authority.</b>
28	<b>No Approval to Alaska for this Code of Service.</b>
29	<b>No Approval From Alaska for this Code of Service.</b>
30	<b>Can't File M/T Without I/F LOI/Operating Authority.</b> Rate filed for t3he carrier was removed during LOI update for lack of LOI or proper operating authority or both.
31	<b>Can't Cancel A Rate Deleted For No LOL</b> The rate was removed during the LOI update for lack of LOI or proper operating authority or both.
34	<b>CARTS Rates Apply to Interstate Service Only.</b> Rates shown from an Alaska installation to AK do not apply for interstate service.
35	<b>Cannot Lower Rates for Cycle.</b>

<b>RECORD SPECIFICATION</b> For use of this form, see TB 1B-111; the proponent agency is DCSPPP					1. DATE 01-Nov-01
2. ID NAMING CONVENTION		3. TITLE CARTS CARRIER ACCEPTED RATES			
4. DESCRIPTION ASCII NOTE 1: USER MAY USE THE GZIP COMPRESSION ROUTINE.					5. LENGTH 30
					6. SECLAS/PRIV U/N
7. POSITION	8. FIELD	9. FIELD TITLES	10. CLASS	11. LENGTH	12. REMARKS
1-4	1	STANDARD CARRIER ALPHA CODE	A	4	
5-8	2	ORIGIN GOVERNMENT BILL OF LADING OFFICE CODE	A	4	
9-10	3	DESTINATION STATE	A	2	
11	4	CODE OF SERVICE	N	1	
12-14	5	RATE	N	3	1
15-18	6	ME-TOO SCAC	A	4	
19	7	ME-TOO CODE OF SERVICE	N	1	
20-22	8	ME-TOO RATE	N	3	1
23	9	CANCELLATION CODE	A	1	
24-29	10	CANCELLATION DATE	N	6	
30	11	LOI INDICATOR	A	1	
COL. 10 (CLASS):    A = Alphabetic    N = Numeric  COL. 11 (LENGTH): The number of characters required to complete the data field.  COL. 12 (REMARKS):  1 – Percentages of rates will be between 000 and 999. Leading zero(es) will be used for percentages below 100, thus 75% must be entered as 075.					

FIGURE 1

<b>RECORD SPECIFICATION</b> For use of this form, see TB 1B-111; the proponent agency is DCSPPP							1. DATE
2. ID		3. TITLE					5. LENGTH
NAMING CONVENTION		CARTS CARRIER INPUT FORMAT					
4. DESCRIPTION						6. SECLAS/PRIV U/N	
NOTE 1: USER MAY USE THE GZIP COMPRESSION ROUTINE. ASCII NOTE 2: MUST HAVE A CARRIAGE RETURN FOLLOWING EACH RECORD.							
7. POSITION	8. FIELD	9. FIELD TITLES	10. CLASS	11. LENGTH	12. REMARKS		
1-4	1	STANDARD CARRIER ALPHA CODE	A	4			
5-8	2	ORIGIN GOVERNMENT BILL OF LADING OFFICE CODE	A	2			
9-10	3	DESTINATION STATE	A	2			
11	4	CODE OF SERVICE	N	1			
12	5	FILLER 5		1	2		
13-15	6	SEGMENTED RATE TABLE	N	3	1		
16-18	7	FILLER 7		3	2		
19-21	8	FILLER 8		3	2		
22-25	9	ME-TOOED SCAC	A	4			
26	10	CODE OF SERVICE ME-TOOED	N	1			
27	11	CANCELLATION CODE	A	1			
28	12	FILLER 12		1	2		
COL. 10 (CLASS):    A = Alphabetic    N = Numeric COL. 11 (LENGTH): The number of characters required to complete the data field. COL. 12 (REMARKS): 1 - Percentages of rates will be between 000 and 999. Leading zero(es) will be used for percentages below 100, thus 75% must be entered as 075. 2 - Must be blank.							

FIGURE 2