

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

Interstate Commerce Commission

2. MAJOR SUBDIVISION

Office of Compliance and Consumer Assistance

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Carroll Stearns

5. TEL EXT

275-0993

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED <u>3-22-83</u>	JOB NO <u>NCT-134-83-2</u>
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 "with drawn" in column 10	
<u>11-8-83</u> (Date)	<u>[Signature]</u> Archivist of the United States

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

3/16/83 Date [Signature] Signature of Agency Representative Secretary (Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p align="center">OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE</p> <p>The Office of Compliance and Consumer Assistance performs duties relative to the oversight of surface transportation operations and activities, and the handling of consumer and shipper complaints and inquiries. Operational oversight responsibilities include the review and monitoring of the surface transportation industry's compliance with the revised Interstate Commerce Act and Commission regulations related to operations; keeping the Commission advised concerning operations and practices of surface transportation industries; development and implementation of a nationwide investigatory and prosecutory program for all modes of surface transportation subject to the Commission's jurisdiction; providing assistance to the general public by receiving and resolving complaints and inquiries; the processing and decision as to whether to grant, deny, or grant or deny in part, applications for temporary authority and emergency temporary authority for motor and rail carriers; coordination of the Commission's overall mobilization activities, including the National Defense Executive Reserve Program; and providing liaison with other Federal and state agencies, and the Association of American Railroads.</p> <p>As one of its primary functions, the Office administers rules and regulations involving the car service provisions of the Interstate Commerce Act, including proposing and/or issuing regulations and emergency orders</p>		

115-106 NIP sent 11-10-83 by DMW NEW sent 3-9-84 4 item
 Mass Data Change Sheet Not Required
 STANDARD FORM 115
 Revised and Reprinted
 Prescribed by General Services Administration
 FPMR (41 CFR) 101-11.4

regarding the use, control, supply, movement, distribution, interchange, and return of rail locomotives, cars, and other vehicles used in the transportation of property by rail.

Additional responsibilities of the Office include, but are not limited to, the following:

(1) Issuing informal interpretations of the Commission's certificates, permits, licenses, and regulations affecting motor, water, and rail carriers, and freight forwarder and broker operations;

(2) Coordinating the Commission's mobilization activities and administering the National Defense Executive Reserve (NDER) program. Providing liason with other Federal and state agencies and performing other responsibilities assigned to the Commission by Executive Orders and/or congressional acts; duties relate to security clearance of personnel, national security document control activity, and continuity of agency functions, including relocation site arrangements and the repositioning of essential records;

(3) Administering a program to monitor the operations of regulated surface transportation and to gather data on impediments that periodically occur; keeping the Commission informed about carrier operations and practices; providing protection to the general public and, in particular, consumers in matters such as household goods moves; and increasing carriers' response to the public's need for adequate service;

(4) Administering a program to provide assistance to consumers, to improve carriers' responses to and resolution of complaints, and to improve the reliability and quality of regulated surface transportation;

(5) Administering a program of granting, denying, or partially granting applications of carriers seeking temporary authority or emergency temporary authority;

(6) Administering an enforcement program including the initiation of administrative, civil and criminal cases;

(7) Providing policy guidance and technical assistance to the regional staff in the direction of the enforcement program.

Finally, the Office has certain responsibilities delegated by the Commission, to employee boards and certain individuals within the Office. These include the responsibility to act under the delegation of authority by the Commission, on railroad matters relating to the shortage of equipment, congestion of traffic, or other emergencies requiring immediate action. The specific functions of these delegations are as follows:

(a) Consideration of proceedings relating to car service and emergency directives, including suspension of any or all rules, regulations, practices, or tariff provisions;

(b) Promulgation of equitable and reasonable directives, without regard to ownership, to best promote rail carrier service in the interest of the public and the commerce of the people;

(c) Promulgation of directives for the movement of traffic under permits, under provisions of 49 U.S.C. 11123 and 11124, with certain exceptions.

In the performance of the duties outlined previously, this office and its predecessors have issued a total of 1499 emergency and directed service orders (with nearly 300 revisions), 174 Exemption Orders, 83 Rerouting Orders, and 49 emergency Passenger Train Orders. While these orders are in different form, they are similar in that they give instructions to common carriers by rail with respect to operations, utilization of equipment, or obviation of certain tariff provisions. All official docket files relating to the issuance of decisions by the Railroad Service Board and delegated agents of the Commission, are maintained by this office.

The following schedule describes the specific types of document files maintained by this office and asserts that, because these issuances are directly related to specific tariff publications, all docket files should be maintained a similar period of time to that established by the Bureau of Traffic. This will permit coordinated research of pertinent matters brought before the Commission in informal and formal proceedings, which involve altered tariff applications authorized by a particular order.

1. OFFICIAL SERVICE ORDER DOCKET FILES -- Official service order files, consisting of an official copy served by the Commission, describing the transportation to be performed by the carriers and any applicable rates, charges, tariff exceptions, classifications, rules, regulations, service requirements of the order, and specific effective periods. These orders are issued under authority of 49 u.s.c. 11123, 11125, and Section 122 of the Rock Island Railroad Transition and Employee Assistance Act(45 U.S.C. 1017). 1920 - . See NCl-134-76-9, Item 16.
2. EXEMPTION ORDER OFFICIAL DOCKET FILES -- Official exemption order files, consisting of an official copy of the order served by the Commission, describing the type and nature of the equipment being exempted from the Commission's rules and regulations; the responsibilities of rail carriers utilizing such equipment; any conditions imposed by the equipment owner; the tariff authority under which the equipment is described; the service to be made of the order, and its effective periods. These orders were authorized under 49 CFR 1033.19, and Ex Parte No. 241. 1920 - .
3. REROUTING TRAFFIC ORDER OFFICIAL DOCKET FILES -- Official Reroute Order files, consisting of an official copy of the order issued by the Commission, describing the nature of the rerouting being authorized; the rail carriers permitted to effect rerouting; the tariff conditions imposed if the authorized is exercised; the notification requirements to shippers whose movements would be affected by the rerouting; the railroads, other entities, and Federal Register upon which service must be made, and the order's effective periods. The orders are issued under authority of Service Order No. 1344 (49 U.S.C. 11123) and 49 U.S.C. 11124. 1920 - .

4. PASSENGER TRAIN OPERATIONS ORDER OFFICIAL DOCKET FILES -- Official passenger train order files, consisting of an official copy of the order issued by the Commission, describing the nature of the operations being required; the carrier required to perform the operations; the line segment to be used; the service requirements of the order, and its effective periods. These orders are authorized and required by Section 402 (c) of the Rail Passenger Service Act of 1970 (45 U.S.C. 562 (c)). 1920 - .

Keep all docket files described in Items 1-4 for five (5) years after expiration of the order, then transfer to Federal Records Center. Destroy ten (10) years after expiration.