

## Request for Records Disposition Authority

Records Schedule Number DAA-0358-2017-0007  
Schedule Status Approved  
  
Agency or Establishment Federal Maritime Commission  
Record Group / Scheduling Group Records of the Federal Maritime Commission  
Records Schedule applies to Department-wide  
Schedule Subject OFFICE OF THE SECRETARY FILES  
Internal agency concurrences will be provided No

### Background Information

The Office of the Secretary serves as the focal point for all matters and documents submitted to and emanating from the Commission. The Office receives and processes a variety of documents filed by the public including: formal and informal complaints initiating proceedings involving alleged violations of the shipping statutes; special docket applications and applications to correct clerical or administrative errors in service contracts; all communications, petitions, pleadings, briefs, or other legal instruments in regulatory and administrative proceedings; and subpoenas served on the Commission or its members.

The Office also is responsible for preparing and submitting regular and notation agenda matters for consideration by the Commission, and preparing and maintaining the minutes of actions taken on these agenda and notation matters; maintaining official files and records of all formal proceedings; issuing orders and notices of actions of the Commission; compliance with Freedom of Information, Government in the "Sunshine", and Privacy Acts; responding to information requests from the maritime industry and the public, issuing publications and authenticating instruments and documents of the Commission; compiling and publishing Commission historical decisions; maintaining and promulgating official copies of the Commission's regulations; maintaining a Public Reference/Law Library and a Docket Library; distributing public filings; and overseeing the organization and content of the Commission's website.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	3	3	0

GAO Approval

## Outline of Records Schedule Items for DAA-0358-2017-0007

Sequence Number	
1	<b>FMC Minutes</b> Disposition Authority Number: DAA-0358-2017-0007-0001
2	<b>Chairmen and Commissioners' Appointment Files</b> Disposition Authority Number: DAA-0358-2017-0007-0002
3	<b>Non-Attorney Practitioner Files</b> Disposition Authority Number: DAA-0358-2017-0007-0003
4	<b>Subject Files</b> Disposition Authority Number: DAA-0358-2017-0007-0004
5	<b>Official Docket Files (Temporary)</b> Disposition Authority Number: DAA-0358-2017-0007-0006
6	<b>Official Docket Final Orders and Decisions</b> Disposition Authority Number: DAA-0358-2017-0007-0007

## Records Schedule Items

Sequence Number											
1	<p><b>FMC Minutes</b></p> <p>Disposition Authority Number      <b>DAA-0358-2017-0007-0001</b></p> <p>These files contain the official record of agendas for Commission meetings along with memoranda or other documents prepared by the staff presenting matters to the Commission for action, and a record of the Commission's actions thereon. Includes transcripts of closed Commission meetings.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>NC1-358-81-2/20</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>cutoff at end of calendar year</b></p> <p>Transfer to Inactive Storage            <b>Transfer to Washington National Records Center in 5 year blocks when 15 years old.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives in 5 year blocks 30 year(s) after most recent record is 5 years old</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>1988</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 1988 To 1993</b></p> <p>How frequently will your agency transfer these records to the National Archives?      <b>Every 5 Years</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td><b>Electronic/Digital</b></td> <td></td> <td></td> </tr> <tr> <td><b>Paper</b></td> <td><b>180 Cubic feet</b></td> <td><b>5 Cubic feet</b></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	<b>Electronic/Digital</b>			<b>Paper</b>	<b>180 Cubic feet</b>	<b>5 Cubic feet</b>
	Estimated Current Volume	Annual Accumulation									
<b>Electronic/Digital</b>											
<b>Paper</b>	<b>180 Cubic feet</b>	<b>5 Cubic feet</b>									

Microform		
Hardcopy or Analog Special Media		

2

**Chairmen and Commissioners' Appointment Files**

Disposition Authority Number **DAA-0358-2017-0007-0002**

**These files contain Affidavits and Certificates of Appointments and biographies of the Chairmen and Commissioners.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-358-09-7/10**

**Disposition Instruction**

Cutoff Instruction **cut off at end of calendar year in which Chairman/ Commissioner leaves the agency.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after most recent record is 5 years old**

**Additional Information**

First year of records accumulation **1994**

What will be the date span of the initial transfer of records to the National Archives? **From 1994 To 2003**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	

Microform		
Hardcopy or Analog Special Media		

3

**Non-Attorney Practitioner Files**

Disposition Authority Number      **DAA-0358-2017-0007-0003**

These files contain application forms and letters of reference for persons, not attorneys, who apply for or are granted permission to practice before the Commission. [These records are subject to the Privacy Act.]

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **No**

GRS or Superseded Authority Citation      **N1-358-09-7/2**

**Disposition Instruction**

Cutoff Instruction                      **Cut off at end of calendar year in which it is established that applicant no longer practices before the Commission.**

Retention Period                      **Destroy 30 year(s) after cutoff**

**Additional Information**

GAO Approval                          **Not Required**

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**Subject Files**

Disposition Authority Number      **DAA-0358-2017-0007-0004**

These files contain letters, memoranda, reports and other documents created or acquired from other offices and/or agencies in formulating and implementing plans, responses and decisions on matters of major policy impact or in providing operational and managerial guidance concerning all programs, functions and objectives of the Commission. Files are arranged alphabetically by subject matter, and material therein is filed chronologically.

Final Disposition                      **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-358-09-7/9**

**Disposition Instruction**

Cutoff Instruction **cut off at end of calendar year**

Retention Period **Destroy no sooner than 3 year(s) after cutoff but longer retention is authorized**

**Additional Information**

GAO Approval **Not Required**

**Official Docket Files (Temporary)**

Disposition Authority Number **DAA-0358-2017-0007-0006**

These files contain the record copies of formal, informal (small claims), and special docket and rulemaking proceedings instituted by Commission order or by formal complaint or small claim alleging a violation of the Shipping Act, 1916, as amended, the Shipping Act of 1984, as amended, and other applicable laws, or proposing rules. The docket consists of orders, notices, correspondence, transcripts, pleadings and exhibits, motions, petitions and briefs, and other documents submitted as evidence in proceedings.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-358-09-7/4a  
N1-358-09-7/4b**

**Disposition Instruction**

Cutoff Instruction **cut off at end of calendar year in which proceeding is completed.**

Retention Period **Destroy 15 year(s) after cutoff**

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**Additional Information**

GAO Approval **Not Required**

**Official Docket Final Orders and Decisions**

Disposition Authority Number **DAA-0358-2017-0007-0007**

These files contain complaints or petitions filed by the public alleging a violation of the Shipping Act, 1916, as amended, the Shipping Act of 1984, as amended, and other applicable laws; orders of the Commission initiating investigative or other docketed proceedings; proposed and final rules, initial decisions of the Administrative Law Judges; and all dispositive orders of formal, informal (small claims) petition, and rulemaking proceedings. Dispositive orders may include final orders and decisions, reconsideration orders, final rules, dismissal orders, summary judgment orders, default orders or any other order that disposes of all or part of a proceeding.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **cut off at end of calendar year in which proceedings is completed**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after most recent record is 5 years old.**

**Additional Information**

First year of records accumulation **1987**

What will be the date span of the initial transfer of records to the National Archives? **From 1987 To 2002**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	1 GB	75 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
02/15/2017	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director
11/03/2017	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/19/2017	Submit For Certification	Donna Lee	Management Analyst	Federal Maritime Commission - Federal Maritime Commission
11/28/2018	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director
03/11/2020	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/06/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/06/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist