

Request for Records Disposition Authority

Records Schedule Number **DAA-0358-2017-0004**

Schedule Status **Approved**

Agency or Establishment **Federal Maritime Commission**

Record Group / Scheduling Group **Records of the Federal Maritime Commission**

Records Schedule applies to **Major Subdivision**

Major Subdivision **Office of Consumer Affairs and Dispute Resolution Services**

Schedule Subject **CADRS Records**

Internal agency concurrences will be provided **No**

Background Information **These files concern the development, administration, and evaluation of the Office of Consumer Affairs and Dispute Resolution Services. Among its other duties, CADRS is an independent, confidential, informal, and neutral conflict resolution practitioner. CADRS maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of parties requesting dispute resolution services in accordance with the Administrative Dispute Resolution Act (ADRA). This includes protecting the identity of any individual contacting CADRS and the information provided in confidence and shall not be disclosed.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	0	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0358-2017-0004

Sequence Number	
1	CADRS Working Case Files Disposition Authority Number: DAA-0358-2017-0004-0001
2	CADRS Case Management Database Disposition Authority Number: DAA-0358-2017-0004-0002
3	CADRS Workload and Case Management Logs Disposition Authority Number: DAA-0358-2017-0004-0003
4	CADRS Issue Analysis and Reports Disposition Authority Number: DAA-0358-2017-0004-0004
5	CADRS Standard Operating Procedures Disposition Authority Number: DAA-0358-2017-0004-0005

Records Schedule Items

Sequence Number	
1	<p data-bbox="343 421 730 453">CADRS Working Case Files</p> <p data-bbox="343 474 1114 506">Disposition Authority Number DAA-0358-2017-0004-0001</p> <p data-bbox="343 527 1458 740">During the course of working an ombuds, mediation, facilitation, or arbitration matter, CADRS may maintain communication (including intake materials and emails), handwritten notes, and supporting documentation relating to the matter. In accordance with the ADRA, this confidential material is protected from disclosure or inspections by all other persons, including any other Office of the Federal Maritime Commission.</p> <p data-bbox="343 761 895 793">Final Disposition Temporary</p> <p data-bbox="343 815 831 846">Item Status Active</p> <p data-bbox="343 868 802 900">Is this item media neutral? Yes</p> <p data-bbox="343 921 790 1038">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="343 1070 651 1102">Disposition Instruction</p> <p data-bbox="343 1123 1230 1155">Cutoff Instruction Cutoff upon resolution of the matter.</p> <p data-bbox="343 1176 1177 1208">Retention Period Destroy immediately after cutoff</p> <p data-bbox="343 1251 651 1283">Additional Information</p> <p data-bbox="343 1304 927 1336">GAO Approval Not Required</p>
2	<p data-bbox="343 1357 863 1389">CADRS Case Management Database</p> <p data-bbox="343 1410 1121 1442">Disposition Authority Number DAA-0358-2017-0004-0002</p> <p data-bbox="343 1464 1406 1570">Files contain non-identifying and non-confidential information relating to CADRS ombuds matters (case type, amount in controversy, resolution, type of complainant, type of respondent, etc.).</p> <p data-bbox="343 1591 895 1623">Final Disposition Temporary</p> <p data-bbox="343 1644 831 1676">Item Status Active</p> <p data-bbox="343 1698 802 1730">Is this item media neutral? Yes</p> <p data-bbox="343 1751 802 1857">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p>

	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-358-09-6/2
	Disposition Instruction	
	Cutoff Instruction	Cutoff when no longer required for business purposes.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
3	CADRS Workload and Case Management Logs	
	Disposition Authority Number	DAA-0358-2017-0004-0003
	Information in these records reflect the number, assignment, and procedural history of mediation conferences (formal dockets), mediation matters, arbitration, and facilitation matters. Files do not contain confidential, privileged or other protectable information.	
	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
	Disposition Instruction	
	Cutoff Instruction	Cutoff when no longer required for business purposes.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
4	CADRS Issue Analysis and Reports	
	Disposition Authority Number	DAA-0358-2017-0004-0004
	Information in these records relate to single or multiple CADRS matters, but do not include confidential or privileged material. Memoranda discussing trends and providing analysis and recommendation to the Chairman, Commissioners and other FMC program offices. These files include quarterly workload reports to the	

Commission (internal to the agency; quarterly report to the Commission regarding the workload statistics and work highlights of CADRS).

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

Disposition Instruction

Cutoff Instruction Cutoff when no longer required for business purposes.

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

CADRS Standard Operating Procedures

Disposition Authority Number DAA-0358-2017-0004-0005

These files include standard operating procedures developed to implement policies formalized by CADRS which governs workforce administrative activities.

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

Disposition Instruction

Cutoff Instruction cutoff when no longer required for business purposes.

Retention Period Destroy immediately after cutoff

Additional Information

GAO Approval Not Required

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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
01/26/2017	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director
01/08/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/23/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist