

Request for Records Disposition Authority

Records Schedule Number DAA-0358-2017-0006
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 GENERAL COUNSEL RECORDS
Internal agency concurrences will be provided No

Background Information

The Office of the General Counsel (OGC) provides legal services to the Commission and to the Commission staff. The Office's key responsibilities include:

- Providing advice and recommendations to the Commission on legal and policy matters related to the Commission's responsibilities
- Providing advice to the Chairman and Commissioners on legal matters concerning adjudicatory and investigative proceedings
- Preparing final decisions, orders and regulations for Commission approval and issuance
- In collaboration with other Commission program offices, drafting orders, notices of inquiry, rulemakings, policy statements, and other documents to be considered or issued by the Commission
- Reviewing staff recommendations for Commission action to ensure materials take into account the legal and policy precedents established by the Commission
- Representing the Commission in litigation before the courts, including appellate review of Commission orders and rulemakings, seeking injunctions and other forms of relief in the Federal district courts, and representing the Commission's interests before other Federal agencies
- Preparing orders and formal opinions regarding administrative matters and representing the Commission in administrative proceedings
- Representing the Commission's interests in matters before Congress, including commenting on proposed legislation, preparing testimony for Commission officials, proposing legislation, and responding to congressional requests for information or assistance
- Providing technical and policy assistance to other government agencies engaged in bilateral and multilateral international negotiations or discussions on shipping matters

- Providing legal opinions to the Commission, its staff, and the general public in appropriate instances

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0358-2017-0006

Sequence Number	
1	International Affairs (Country) Files Disposition Authority Number: DAA-0358-2017-0006-0001
2	International Affairs (General) Files Disposition Authority Number: DAA-0358-2017-0006-0002
3	Docket Case Analyses, Workpapers, and Summary Disposition Authority Number: DAA-0358-2017-0006-0003
4	Federal and Other Court Cases (Non-Significant) Disposition Authority Number: DAA-0358-2017-0006-0004
5	Federal and Other Court Cases (Significant) Disposition Authority Number: DAA-0358-2017-0006-0005
6	Legislative Affairs Files Disposition Authority Number: DAA-0358-2017-0006-0006
7	General Subject Files Disposition Authority Number: DAA-0358-2017-0006-0007

Records Schedule Items

Sequence Number	
1	<p data-bbox="365 421 836 457">International Affairs (Country) Files</p> <p data-bbox="365 468 1136 500">Disposition Authority Number DAA-0358-2017-0006-0001</p> <p data-bbox="365 521 1453 627">These files contain background information and other unclassified material which is maintained for reference and background information, including international negotiation documents in dealing with foreign governments.</p> <p data-bbox="365 649 917 680">Final Disposition Temporary</p> <p data-bbox="365 702 852 734">Item Status Active</p> <p data-bbox="365 755 820 787">Is this item media neutral? Yes</p> <p data-bbox="365 808 803 925">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="365 946 966 1000">GRS or Superseded Authority Citation N1-358-08-8/2</p> <p data-bbox="365 1032 673 1074">Disposition Instruction</p> <p data-bbox="365 1095 1258 1127">Cutoff Instruction Cut off at end of each calendar year</p> <p data-bbox="365 1149 1421 1212">Retention Period Destroy 5 year(s) after cutoff, or when no longer needed for reference, whichever is later</p> <p data-bbox="365 1244 673 1287">Additional Information</p> <p data-bbox="365 1308 950 1340">GAO Approval Not Required</p>
2	<p data-bbox="365 1361 852 1393">International Affairs (General) Files</p> <p data-bbox="365 1415 1144 1447">Disposition Authority Number DAA-0358-2017-0006-0002</p> <p data-bbox="365 1468 1453 1574">These files contain background information and other unclassified material which is maintained for reference and background information in dealing with foreign governments.</p> <p data-bbox="365 1596 917 1627">Final Disposition Temporary</p> <p data-bbox="365 1649 852 1681">Item Status Active</p> <p data-bbox="365 1702 820 1734">Is this item media neutral? Yes</p> <p data-bbox="365 1755 803 1872">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

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Disposition Instruction

Cutoff Instruction Cut off file at end of each calendar year.

Retention Period Destroy 5 year(s) after cutoff, or when no longer needed for reference, whichever is later.

Additional Information

GAO Approval Not Required

Docket Case Analyses, Workpapers, and Summary

Disposition Authority Number DAA-0358-2017-0006-0003

These files contain analyses, workpapers, and summaries of formal docketed proceedings prepared by the staff for use in advising the Commission in its regulatory functions. Originals of these documents are also included in the Office of the Secretary's Interoffice Confidential Files.

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 N1-358-08-8/4

Disposition Instruction

Cutoff Instruction Cut off at end of calendar year in which case file actions are concluded.

Retention Period Destroy 3 year(s) after cutoff or when no longer needed for reference, whichever is later

Additional Information

GAO Approval Not Required

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Federal and Other Court Cases (Non-Significant)

Disposition Authority Number DAA-0358-2017-0006-0004

These files contain essential case filings, pleadings, judgments, orders, decrees, briefs, exhibits, and correspondence pertaining to the defense or prosecution of FMC regulations or authorities. (Cases are filed by (1) Court; (2) date; (3) case number; and (4) name of case.)

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	N1-358-08-8/3
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which proceeding is concluded.
	Retention Period	Destroy 10 year(s) after cutoff, or when no longer needed for reference, whichever is later.
	Additional Information	
	GAO Approval	Not Required
5	Federal and Other Court Cases (Significant)	
	Disposition Authority Number	DAA-0358-2017-0006-0005
	These files contain essential case filings, pleadings, judgments, orders, decrees, briefs, exhibits, and correspondence pertaining to the defense or prosecution of FMC regulations or authorities having wide public interest. (Cases are filed by (1) Court; (2) date; (3) case number; and (4) name of case.)	
	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	N1-358-08-8/3
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of calendar year in which proceeding is concluded.
	Retention Period	Destroy 20 year(s) after cutoff, or when no longer needed for reference., whichever is later
	Additional Information	

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GAO Approval Not Required

Legislative Affairs Files

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

These files contain requests from Congressional Committees or other agencies for comments on bills that have been introduced in the Congress; copies of proposed orders, bills, reports and correspondence with the White House, the Executive Office of the President, Congressional Committees and other agencies; interoffice memos and working papers; and other documents created or accumulated in coordination, preparing and responding to proposed legislation which may have an impact on the FMC. Files also contain FMC-initiated legislative proposals of interest to or affecting the Commission that is first sent to OMB for clearance and then submitted to Congress. Files are arranged by Congress.

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 N1-358-08-8/5

Disposition Instruction

Cutoff Instruction Cut off files at the end of each Congress.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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General Subject Files

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

These files contain general information on subjects of heightened FMC concern.

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 N1-358-08-8/6

Disposition Instruction

Retention Period

Destroy 3 year(s) after cutoff or when no longer
needed for reference, whichever is later.

Additional Information

GAO Approval

Not Required

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
02/02/2017	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director
03/05/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
03/08/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/08/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/09/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist