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| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER <i>NI-358-073</i> | DATE RECEIVED <i>7/31/07</i> |
| 1. FROM (Agency or establishment) Federal Maritime Commission | | NOTIFICATION TO AGENCY | |
| 2. MAJOR SUBDIVISION Bureau of Certification and Licensing | | | |
| 3. MINOR SUBDIVISION Office of Passenger Vessels & Information Processing | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Jane Gregory, Management Analyst | 5. TELEPHONE 202-523-5800 | DATE <i>1/23/08</i> | ARCHIVIST OF THE UNITED STATES <i>Alta D...</i> |

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 3 page(s) are not needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

| | | |
|------------------------|--|---|
| DATE <i>7/23/07</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Stephanie Burwell</i> | TITLE Acting Chief Information Officer |
|------------------------|--|---|

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|---|---|-----------------------------------|----------------------------------|
| 1 | REGULATED PERSONS INDEX (RPI) See Attachment | New Item | |
| <i>Re 1/30/08 copies sent to agency, NWMR, & NWMI</i> | | | |

ATTACHMENT A

FEDERAL MARITIME COMMISSION

| Item No. | Description of Item and Proposed Disposition | GRS or Superseded Job Citation | Action Taken (NARA Use Only) |
|----------|--|--------------------------------|------------------------------|
|----------|--|--------------------------------|------------------------------|

**BUREAU OF CERTIFICATION AND LICENSING (BCL)
Office of Passenger Vessels & Information Processing**

Regulated Persons Index (RPI) – The RPI contains information on entities regulated by the FMC, as well as entities that do business with the FMC. These entities include vessel-operating common carriers, marine terminal operators, ocean transportation intermediaries (OTIs), i.e., non-vessel-operating (NVO) common carriers and ocean freight forwarders, freight conferences, passenger vessel operators, attorneys, sureties, tariff publishers, and third-party filing agents. The RPI is used by the FMC as a source of address, phone, financial responsibility information (i.e., bond), and contact information. It is also used to identify entities in compliance with Commission regulations and to track ocean transportation intermediary application receipts and assignments. Each entity is assigned a unique 6-digit organization number and is labeled with one or more person-type codes, which identifies the type of service(s) it performs. Portions of the RPI are designated for internal and administrative use only and are generally not available to the public. The remainder of the RPI contains public information and is sold on CD in Microsoft Excel, Access or text file. The system is available to FMC staff via the FMC Intranet. [These records are not subject to the Privacy Act.]

New

~~1. **System Inputs.** Current organization information is primarily collected from Commission Forms FMC 1, Tariff Registration Form; FMC 18, Application for a License as an Ocean Transportation Intermediary; FMC 48, Ocean Transportation Intermediary Bond; FMC 69, Ocean Transportation Intermediary Group Bond Form; and FMC 131, Application for Certificate of Financial Responsibility, as they are filed with the Commission.~~

~~**DISPOSITION:** Temporary. Media Neutral. File in~~

~~appropriate subject file. Destroy or accession to NARA according to approved disposition authorities for the associated file.~~

FILING INSTRUCTION

2.

Master Data Files. All data are maintained on-line. The master data files include address, phone, financial responsibility (i.e., bond), and contact information, officers and data pertaining to the entity, as applicable. Also included are data to identify entities in compliance with Commission regulations and to track ocean transportation intermediary application receipts and assignments. Each entity is assigned a unique 6-digit organization number and is labeled with one or more person-type codes, which identifies the type of service(s) it performs. The records can be searched in a number of ways, including by organization number, legal/trade name, qualifying individual, address, phone number, NVO bond number, freight forwarder bond number, or license number.

ITEM
1

DISPOSITION: Temporary. Media Neutral. ~~Destroy or delete when superseded or no longer needed for reference, whichever is later.~~

Cut off at end of calendar year in which entity ceases to exist or offer services regulated by the Commission
Destroy 25 years after cutoff.

3.

System Outputs. ~~Record output issuances that are not filed to a separate recordkeeping system, such as statistics used for monthly report, Commission Annual Report, and Congressional budget; reports used to monitor and track workload and assignments; reports made available to the public containing the names, addresses and bonding information for active OTIs; and other similar reports.~~

DISPOSITION: Temporary. Media Neutral. ~~Destroy reports 180 days after report is generated or when no longer needed for reference, whichever is sooner.~~

GRS 20
ITEMS 4, 5, 6, 7
AND 12

4.

System Documentation. ~~Contains all system documentation that allows system usage and interpretation, such as data dictionaries, system and user manuals, and other related materials.~~

DISPOSITION: Temporary. Media Neutral. ~~Destroy or delete when superseded or no longer needed for reference, whichever is later.~~

GRS 20/112.