

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 NI-358-07-5	DATE RECEIVED 8/20/07
1. FROM (Agency or establishment) Federal Maritime Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Bureau of Enforcement			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Jane Gregory, Management Analyst	5. TELEPHONE 202-523-5800	DATE 8/29/07	ARCHIVIST OF THE UNITED STATES All Work

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 Manuel for Guidance of Federal Agencies,

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

DATE 9/24/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Stephanie Burwell</i>	TITLE Acting Chief Information Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	CASE TRACKING SYSTEM (BOE HEAR) - See Attachment	New	

10/16/08 copies sent to agency, NWME, & NWOM

ATTACHMENT A

FEDERAL MARITIME COMMISSION

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
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BUREAU OF ENFORCEMENT (BOE)

Case Tracking System (BOE HEAR) – This is an automated information system that collects, records, and reports information about the nature, handling, course, and outcome of investigations and legal matters performed by BOE staff, and are reflective of BOE's Investigative Case Files (Surveillance, Intelligence, and Liaison Files). The current electronic system, which is in Access, has been in existence since 1995; previous systems, which date back to the early 1970s, are in various electronic forms and the information has been archived to disks. The files are arranged by a unique, sequentially assigned file number. BOE uses the information in this system to assign cases to staff; to monitor the status and work on those cases; to identify and analyze workload trends and issues; to devise annual and special budget requests; and to report on caseloads, activities, performance, and needs. [These records are subject to the Privacy Act.]

New

System Inputs. Case-related documents (examples include opening memorandum, correspondence, pleadings, and case closing record) used as sources to create, update, or modify records in the case tracking system.

DISPOSITION: Temporary Media Neutral. File in appropriate case file or other appropriate file. Destroy or accession to NARA according to approved disposition authorities for the associated file.

FILING INSTRUCTIONS.
CASE FILE SCH. AS
TEMP 44-358-07-6, ITEM
#3

Master Data Files. All data are maintained on-line. The master data files include data elements common to most cases and additional information entered as available, pertinent, and needed. Data elements recorded for each case can include, but are not limited to, name of investigator; name of case attorney; special program code (type of case); indication of

ITEM
#1

whether or not it arose from an audit conducted by the Bureau of Certification and Licensing (BCL); date opened; date closed; docket number, if any; C number (cross reference to former Bureau of Hearing Counsel case); status; amount settled; and date payment received. Each record also allows up to 3 subject fields for search purposes (primary subject, secondary subject, and Area Representative initials). The records can be searched by subject or file number.

DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which case file actions are concluded. Archive 7 years after cut-off. Destroy 25 years after cut-off.

3. **System Outputs.** Outputs include Monthly Reports, Attorney Staff Reports, Investigative Staff Reports, Special Program Reports, Open Cases by Date (most widely used), Alphabetical Listing, Case Closed by Date, Special Program Code Report (Closed Cases), Penalty Reports (Amounts), and Settlement Reports. BCL also uses the system to run Audit Reports (Opened Cases).

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

DISPOSITION: Temporary. Media Neutral. Cut off report file at end of calendar year. Destroy file 1 year after cut-off or when no longer needed for reference.

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.

GRS 20/112

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