

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 N1-358-087	DATE RECEIVED 9-18-2007
1. FROM (Agency or establishment) Federal Maritime Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Bureau of Trade Analysis			
3. MINOR SUBDIVISION Office of Service Contracts and Tariffs			
4. NAME OF PERSON WITH WHOM TO CONFER Jane E. Gregory	5. TELEPHONE 202-523-5800	DATE 12-11-07	ARCHIVIST OF THE UNITED STATES WITHDRAWN

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 1 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 9/5/2007	SIGNATURE OF AGENCY REPRESENTATIVE <i>Jane E. Gregory</i>	TITLE Director, Office of Administration
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	SEE ATTACHMENTS		
<i>WITHDRAWN 12-11-2007</i>			

FEDERAL MARITIME COMMISSION

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
BUREAU OF TRADE ANALYSIS (BTA)			
<u>Office of Service Contracts & Tariffs (OSCT)</u>			
1	<u>Tariffs</u> contain freight tariffs, amendments, supplements, Form FMC-1 copies, and other documents submitted by carriers in accordance with Section 18(b)(3), Shipping Act, 1916, as amended; and Section 8(a)(1), Shipping Act of 1984, as amended.	N1-358-91-1/7	Deleted: Foreign and Domestic Commerce
		a a a	Deleted: ; and section 2, Intercoastal Shipping Act, 1933
<u>DISPOSITION: Temporary. Media Neutral.</u>			
	(a) <u>Microfilm</u> – Paper documents filed through January 1993 available through fiscal year 1997 - filmed in duplicate.	a a	Deleted: D Deleted: will be
1	(1) <u>Silver Original</u> – Cut off at end of calendar year in which tariff is cancelled. Retain in locked file cabinet for security storage purposes for 2 years from date of cutoff. Then destroy.	a	Deleted: 20 Deleted: tariff cancellation
2	(2) <u>Diazo Duplicate</u> – Cut off at end of calendar year in which tariff is cancelled. Retain as reference copy in the Office for 2 years after date of cutoff. Then destroy.	a a a	Deleted: Tariff Control Center Deleted: 20 Deleted: tariff cancellation
3	(b) <u>Image</u> – Paper documents filed through February 1993 not microfilmed and still available in fiscal year 1998 – retain OCR image database in computer server located on Commission premises for 9 years from date of tariff cancellation. Then delete/scrub files.		
4	(c) <u>Computer Drive</u> – Cut off at end of calendar year in which tariff or essential terms (“ET”) is cancelled. Maintain electronic tariff and ET documents filed beginning February 1993 in historical database file, and FMC-1 forms on computer server located on Commission premises. for 9 years from date of cutoff. Then delete/scrub files.		
<u>NOTE:</u> All documents under (a), (b) and (c), except Form FMC-1 under (c), were cancelled April 30, 1999 and will be eligible to be destroyed May 1, 2008.			
2	(d) <u>Original Paper Tariffs</u> – destroy in agency after inspection of microfilm or image for adequacy of reproduction and coverage. <u>Terminal Tariff Files</u> contain terminal operator tariffs, amendments, and supplements submitted by terminal operators in connection with the U.S. waterborne foreign commerce pursuant a	N1-358-91-1/13	Deleted: b Deleted: 1 Deleted: the domestic offshore commerce of Deleted: pursuant to Section 17, Shipping Act, 1916, as amended and in the
		a a a	

Item No. Description of Item and Proposed Disposition

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Action Taken (NARA Use Only)

to sections 10(d)(1) and 17 of the Shipping Act of 1984.

DISPOSITION: Temporary. Media Neutral.

(a) Microfilm - Paper documents will be filmed in duplicate.

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(1) Silver Original - Cut off at end of calendar year in which tariff is cancelled. Retain in locked file cabinet for security storage purposes for 9 years from date of cutoff. Then destroy.

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(2) Diazo Duplicate - Cut off at end of calendar year in which tariff is cancelled. Retain as reference copy in the Office for 9 years after date of cutoff. Then destroy.

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NOTE: All documents under (a) were cancelled April 30, 1999 and will be eligible to be destroyed May 1, 2008.

(b) Original Tariffs - destroy in agency after inspection of microfilm or image for adequacy of reproduction and coverage.

3 Sections 35 and 16 Tariff Filing Exemptions contain applications for exemption of the tariff filing/publishing requirements of the Shipping Act, 1916, and the Shipping Act of 1984, as amended, respectively. Files contain applications, recommendations, and related correspondence.

N1-358-91-1/10

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DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which exemption is granted. Retain in office for 9 years after cutoff, then destroy.

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4 Delegation of Authority contain the powers of attorney to file/publish tariffs, amendments, and revisions by other persons on behalf of parties subject to the Shipping Acts of 1916 and 1984.

N1-358-91-1/11

DISPOSITION: Temporary. Media Neutral. Destroy when the carrier cancels tariff and ceases operations.

5 Special Permission Applications contain requests from carriers to deviate from the Commission's tariff filing/publishing requirements and correspondence granting or denying such application.

N1-358-91-1/12

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DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which case is decided by the Commission. Destroy when 9 years old.

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6 Correspondence Records, Special Studies & Reports and Miscellaneous Papers contain material concerning freight and terminal tariffs filed/published by carriers and/or conferences and

NC1-358-81-2/51

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Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	terminal operators, minutes of staff meetings, reports and studies relating to special committees established internally to study ocean freight rate problems or terminal related matters.		Deleted: C
12	DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which carrier, conference or terminal operator ceases operations; transfer to WNRC. Destroy when 9 years old. Reports, studies etc. not falling in above category: retain for 5 years after completion, or as long as active or used for reference purposes, whichever is later. Then destroy.		Deleted: Close file when Deleted: 10
7	Carrier and Marine Terminal Operator ("MTO") Organization Registration Files contain Form FMC-1 (copy), correspondence and memoranda.	N1-358-91-1/6	Deleted: Correspondence Deleted: foreign and domestic Deleted: , complaints received from shippers, carriers, terminal operators, etc. concerning problems relating to rate matters, disparities, tariff rules, classifications, etc Deleted: 5 Deleted: and
13	DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which carrier cancels tariff and ceases operations, including any marine terminal operator. Retain in office for 9 years; then destroy.		Formatted: Strikethrough Formatted: Font: Bold
8	Anti-rebate Certifications contain carrier and freight forwarder certifications.	N1-358-91-1/4 [Dropped Series]	Deleted: 5 Deleted: and Formatted: Strikethrough Formatted: Font: Bold
	DISPOSITION: Temporary. Cutoff at the end of the fiscal year. Retain in office for 5 years and then destroy.		
9	Fact Finding Investigations (Terminals/Carriers) files contain background and preliminary investigation correspondence, orders, recommendations to the Commission, notices, rules, correspondence generated after an investigation has begun or ended, and other related material for investigations held where information is needed for purposes of rulemaking, or helpful in carrying out duties, or to determine whether Commission administered rules have been violated.	NC1-358-81-2/58	
14	DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which investigation is closed. Retain files in office for 1 year after cutoff; then destroy.		Deleted: close of investigation Deleted: ,
10	Docketed Files (Terminals/Carriers) contain duplicates of selected docketed material maintained by the Office of the Secretary and miscellaneous correspondence accumulated in connection with docketed proceedings involving terminal matters.	NC1-358-81-2/59	
15	DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which case is closed. Retain in office for 1 year after cutoff, then destroy.		Deleted: 2 Formatted: Font: Bold Deleted: s Deleted: close of docketed proceeding Formatted: Strikethrough
11	Financial Report Files contain Forms 377 and 378 and company	N1-358-91-1/8	

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	wide financial reports of domestic offshore steamship companies and audit reports filed by company name.	[Dropped Series]	Formatted: Font: Bold
	<p>NOTE: Effective October 1, 1996, the Federal Maritime Commission was no longer responsible for regulating the domestic offshore trades. That responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.</p>		
12	Financial Correspondence Files contain correspondence with carriers and other Commission offices, including Investigation and Suspension memos (I&S). Filed by firm name.	N1-358-91-1/9 [Dropped Series]	Formatted: Strikethrough Formatted: Font: Bold, Underline
	<p>NOTE: Effective October 1, 1996, the Federal Maritime Commission was no longer responsible for regulating the domestic offshore trades. That responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.</p>		
13	Rejection Letters contain letters and forms of rejected tariff matter submitted by carriers for nonconformance with Commission regulations and/or shipping statutes.	NC1-358-81-2/57	Deleted: Foreign and Domestic
	<p>DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which rejection occurs or after carrier or conference becomes inactive in waterborne commerce. Retain in office for 1 year, then transfer to WNRC. Destroy when 9 years old.</p>		
	<p>NOTE: Commission rules and regulations pertaining to tariff rejection were repealed effective May 1, 1999. When all documents in this category become eligible for disposal in 9 years, i.e., May 1, 2008, this item can be deleted from the records disposition schedule manual.</p>		
14	Informal Rate Cases contain complaints received from shippers, carriers, terminal operators, etc. concerning problems relating to rate matters, disparities, tariff rules, classifications, etc.	NC1-358-81-2/63	Deleted: (Foreign and Domestic)
	<p>DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which complaint is concluded. Retain in office until 3 years old, then destroy.</p>		
15	Electronic Mail and Word Processing Copies: Electronic copies of records created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of other items covered in this schedule.	New	Deleted: Close file upon conclusion of complaint and r

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DISPOSITION: Temporary. Delete after the recordkeeping copy has been produced.



ATTACHMENT B

FEDERAL MARITIME COMMISSION

IDENTIFICATION OF CHANGES TO RESCHEDULED ITEMS

<u>Item</u>	<u>Series Title</u>	<u>Description of Changes</u>
1.	Tariffs	Minor changes to description. Disposition changed to "Media Neutral." Imaging and electronic files added; retention period reduced from 20 years to 9 years.
2.	Terminal Tariff Files	Minor changes to description. Disposition changed to "Media Neutral." Retention period reduced from 20 years to 9 years.
3.	Sections 35 and 16 Tariff Filing Exemptions	Minor changes to description. Disposition changed to "Media Neutral."
4.	Delegation of Authority	Minor changes to description. Disposition changed to "Media Neutral."
5.	Special Permission Applications	Minor changes to description. Disposition changed to "Media Neutral." Files no longer transferred to WNRC, but rather kept in office until final disposition. Retention period changed from 10 years to 9 years.
6.	Correspondence Records, Special Studies & Reports and Miscellaneous Papers	Minor changes to description. Disposition changed to "Media Neutral." Retention period changed from 10 to 9 years.
7.	Carrier and Marine Terminal Operator ("MTO") Organization Registration Files	Changes to description. Disposition changed to "Media Neutral." Retention period increased from 5 to 9 years.
8.	Anti-Rebate Certifications	This series of records is no longer maintained and should be dropped. The requirements to collect this information were repealed by the Ocean Shipping Reform Act of 1998.
9.	Fact Finding Investigations (Terminals/Carriers)	Minor changes to description. Disposition changed to "Media Neutral."
10.	Docketed Filed (Terminals/Carriers)	Minor changes to description. Disposition changed to "Media Neutral." Retention period changed from 2 years to 1 year.
11.	Financial Report Files	This series of records is no longer maintained and should be dropped. Effective October 1, 1996, the FMC was no longer responsible for regulating the domestic offshore trades. The responsibility was

transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.

12. Financial Correspondence Files

This series of records is no longer maintained and should be dropped. Effective October 1, 1996, the FMC was no longer responsible for regulating the domestic offshore trades. The responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.

13. Rejection Letters

Minor changes to description. Disposition changed to "Media Neutral."

14. Informal Rate Cases

Disposition changed to "Media Neutral."

15. Electronic Mail and Word Processing Copies

New series of records.