

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 N1-358-08-3	DATE RECEIVED 2-7-2008
1. FROM (Agency or establishment) Federal Maritime Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Administration			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Jane Gregory, Management Analyst	5. TELEPHONE 202-523-5800	DATE 6/27/09	ARCHIVIST OF THE UNITED STATES M. W. [Signature]

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 2/1/2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE 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 GRS OR SUPERSEDED JOB CITATION	10.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)
	SEE ATTACHMENTS The transfer/accession instruction for the permanent item on this schedule applies only to paper or hardcopy files. When FMC changes the record version from paper to electronic and establishes an electronic recordkeeping system, NARA and FMC will develop appropriate transfer instructions to cover the electronic records.		

SA 7/1/08 copies sent to Agency, NWMW, NR

115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE STANDARD FORM 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228

ATTACHMENT A

FEDERAL MARITIME COMMISSION

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
OFFICE OF ADMINISTRATION (OA)			
<u>Director's Office</u>			
1	<p><u>Reading File</u> contains incoming, outgoing, and internal correspondence prepared by the Office of the Director or by other offices for the Director's signature relating to the coordination, development and execution of programs, policies, plans and projects to accomplish the objectives established by the Chairman and/or the Commission in providing administrative and managerial direction to the offices under them. Correspondence prepared by other offices for the Director's signature is in addition to the files maintained by those offices.</p> <p><u>DISPOSITION: Temporary.</u> Cut-off file at the end of each calendar year. Hold in office. Destroy 3 years after cutoff.</p>	N1-358-95-1/9	
2	<p><u>Audit and Operational Review Follow-up Files</u> contain case files of internal Inspector General audits of agency programs, operations, and procedures, and of external audits of contractors, and subsequent follow-up by the Audit Follow-up Official. Files consist of audit reports, correspondence, memoranda, and supporting work papers, and are arranged by audit number. Most, if not all, documents are duplicative of the Inspector General's Audit Case Files.</p> <p><u>DISPOSITION: Temporary.</u> Cut off at end of fiscal year in which case is closed. Destroy 8 years after cut-off.</p>	New item	

3 **Performance Planning Records** – Records created in accordance with procedures mandated by OMB Circulars A-11 and A-123, including copies of the agency’s Initial and Final Annual Performance Plans, Performance and Accountability Report (PAR), and the agency’s Strategic Plans, all of which are submitted to OMB and/or Congress. Record copies of the PAR reside in the Office of Financial Management. New item

a. Initial and Final Annual Performance Plans, and Performance and Accountability Reports.

DISPOSITION: Temporary. Cut-off file at the end of each fiscal year. Hold in the office. Destroy 5 years after cut-off.

b. Strategic Plans. Strategic Plans are updated and revised every three years and submitted to Congress and OMB.

DISPOSITION: Temporary. Destroy when superseded or no longer needed for reference.

4 ~~**Management and Program Evaluation File** contains final reports of management studies and surveys of Commission programs, or existing procedures/organizational structure along with supporting papers documenting project initiation, scope, procedures, accomplishments, and other follow-up communications and data.~~ NC1-358-81-2/89 [Dropped Series]

~~**DISPOSITION:** Close file after completion of study or project. Transfer to inactive file and hold in office until 15 years old. Transfer to WNRC and destroy when 20 years old.~~

5 ~~**Plans or Report Forms Files** contain external use plans or report forms requesting information from 10 or more persons and submitted to OMB for clearance in accordance with their requirements, copies of reporting form or requirement, letter to OMB requesting clearance and supporting documentation for the form or requirement.~~ NC1-358-81-2/91 [Replace with GRS 16/6]

~~**DISPOSITION:** Close file when plan or report form has been discontinued in its entirety. Transfer to inactive file and hold in office until 3 years old. Transfer to WNRC and destroy when 8 years old.~~

6 ~~**Office of Regulatory Overview Subject Files**~~ contain letters, memoranda, and other documents created in formulating and implementing plans, responses and decisions on matters of policy impact or in providing operational and managerial guidance to organizational segments concerning programs, functions, and objectives of the Commission. Files are arranged alphabetically by subject and numerically by docket number.

NC1-358-86-1/5
[Dropped Series]

~~**DISPOSITION:**~~ Review files annually and close files where there has been no activity for one year or more. Destroy files 6 months thereafter.

7 ~~**Office of Regulatory Overview Code Files**~~ contain drafts, statutory materials and other documents created in formulating the submission to Congress of the Commission's draft recodification of its part of Title 46, United States Code. Files will be used for future comments to Congress and further editing of the Code as may be requested by Congress.

NC1-358-86-1/7
[Dropped Series]

~~**DISPOSITION:**~~ Maintain in office until no longer needed for reference. Then destroy.

Office of Financial Management

8 **Performance and Accountability Reports (PAR) Files** consist of the agency's record copy of annual reports sent to the Congress and other government agencies in accordance with OMB Circular A-123, Management Accountability and Control Systems, and Pub. L. 97-255, the Federal Managers' Financial Integrity Act (FMFIA). The PAR is comprised of the agency's Management's Discussion and Analysis (MD&A), the FMFIA Report, and the Annual Program Performance Report.

New item

Note: Currently, the official recordkeeping versions of these files are maintained on paper. Total accumulation is approximately 1 inch per year.

DISPOSITION: Permanent. Cut-off file at the end of each fiscal year. Hold in office. Transfer to NARA in 10 year blocks when oldest file is 10 years old.

Office of Human Resources

9 ~~Security Officer (Washington, D.C.) Personnel Security Files~~
contain results of name checks, inquiries, and the investigations of
employees of the FMC.

NC1-358-81-2/86

Covered by GRS
18/22

DISPOSITION: Temporary. Maintain OPM reports of
investigation and other FMC records on file until termination of
employee from agency. Destroy within 30 days after employee
leaves the agency.

Office of Management Services

10 Parking Permit Application Files contain FMC 190
Applications for employees and their carpool members desiring
agency controlled parking. These applications consist of the
following information: names, office locations, and telephone
numbers; home addresses; make, year, model, and license number
of vehicles. Files are arranged alphabetically by applicant name
and space assignment.

N1-358-91-1/1

[Dropped Series]

DISPOSITION: Destroy after second overall reallocation of
permits.

ATTACHMENT A

FEDERAL MARITIME COMMISSION

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2	<p><u>Audit and Operational Review Follow-up Files</u> contain case files of internal Inspector General audits of agency programs, operations, and procedures, and of external audits of contractors, and subsequent follow-up by the Audit Follow-up Official. Files consist of audit reports, correspondence, memoranda, and supporting work papers, and are arranged by audit number. Most, if not all, documents are duplicative of the Inspector General's Audit Case Files.</p> <p><u>DISPOSITION: Temporary.</u> Cut off at end of fiscal year in which case is closed. Destroy 8 years after cut-off.</p>	New item	

3 **Performance Planning Records** – Records created in accordance with procedures mandated by OMB Circulars A-11 and A-123, including copies of the agency’s Initial and Final Annual Performance Plans, Performance and Accountability Report (PAR), and the agency’s Strategic Plans, all of which are submitted to OMB and/or Congress. Record copies of the PAR reside in the Office of Financial Management. New item

a. Initial and Final Annual Performance Plans, and Performance and Accountability Reports.

DISPOSITION: Temporary. Close file at the end of each fiscal year. Hold in the office for 5 years; then destroy.

b. Strategic Plans. Strategic Plans are updated and revised every three years and submitted to Congress and OMB.

DISPOSITION: Temporary. Dispose of when superseded or no longer needed for reference.

4 ~~**Management and Program Evaluation File** contains final reports of management studies and surveys of Commission programs, or existing procedures/organizational structure along with supporting papers documenting project initiation, scope, procedures, accomplishments, and other follow up communications and data.~~ NC1-358-81-2/89
[Dropped Series]

~~**DISPOSITION:** Close file after completion of study or project. Transfer to inactive file and hold in office until 15 years old. Transfer to WNRC and destroy when 20 years old.~~

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[Replace with
GRS 16/6]

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6 ~~**Office of Regulatory Overview Subject Files** contain letters, memoranda, and other documents created in formulating and implementing plans, responses and decisions on matters of policy impact or in providing operational and managerial guidance to organizational segments concerning programs, functions, and objectives of the Commission. Files are arranged alphabetically by subject and numerically by docket number.~~

NC1-358-86-1/5
[Dropped Series]

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NC1-358-86-1/7
[Dropped Series]

~~**DISPOSITION:** Maintain in office until no longer needed for reference. Then destroy.~~

Office of Financial Management

8 ~~**Performance and Accountability Reports (PAR) Files** consist of the agency's record copy of annual reports sent to the Congress and other government agencies in accordance with OMB Circular A-123, Management Accountability and Control Systems, and Pub. L. 97-255, the Federal Managers' Financial Integrity Act (FMFIA). The PAR is comprised of the agency's Management's Discussion and Analysis (MD&A), the FMFIA Report, and the Annual Program Performance Report. A copy of the report is also published on the FMC website.~~

New item

~~**DISPOSITION: Temporary.** Close file at the end of each fiscal year. Hold in the office for 5 years; then destroy.~~

Office of Human Resources

9 - ~~Security Officer (Washington, D.C.) Personnel Security Files~~ contain results of name checks, inquiries, and the investigations of employees of the FMC.

NC1-358-81-2/86

Covered by GRS
10/22

~~DISPOSITION: Temporary. Maintain OPM reports of investigation and other FMC records on file until termination of employee from agency. Destroy within 30 days after employee leaves the agency.~~

Office of Management Services

10 Parking Permit Application Files contain FMC 190 Applications for employees and their carpool members desiring agency controlled parking. These applications consist of the following information: names, office locations, and telephone numbers; home addresses; make, year, model, and license number of vehicles. Files are arranged alphabetically by applicant name and space assignment.

N1-358-91-1/1
[Dropped Series]

DISPOSITION: Destroy after second overall reallocation of permits.

ATTACHMENT B

FEDERAL MARITIME COMMISSION

IDENTIFICATION OF CHANGES TO RESCHEDULED ITEMS

<u>Item</u>	<u>Series Title</u>	<u>Description of Change</u>
1	Reading File (OA)	The series description is amended to delete the specific references to the "Managing Director" (the Office of the Managing Director has been abolished). There is no change in the retention period.
2	Audit and Operational Review Follow-up Files	This is a newly scheduled series of files in the Director's Office, OA.
3	Performance Planning Records	This is a newly scheduled series of files in the Director's Office, OA.
4	Management and Program Evaluation File	This series of files was scheduled by the FMC's former Office of Information Resources Management, which no longer exists. Any such files are now maintained by the OA Director's Office as part of its Subject Files (N1-358-95-1/11). Therefore, this series of files should be dropped.
5	Reports Control Files (OMB Clearance Files)	The FMC is adopting General Records Schedule 16/6 in place of previously scheduled NC1-358-81-2/91, as it more closely fits current business practices.
6	Office of Regulatory Overview Subject Files	The Office of Regulatory Overview has been abolished for many years. Any relevant subject files would now reside in subject files kept by the Office of Operations (NC1-358-81-2/13). Therefore, this series of files should be dropped.
7	Office of Regulatory Overview Code Files	As stated in Item 4, the Office of Regulatory Overview has been abolished for many years. Any files relevant to this topic would now reside in the Office of General Counsel's Subject Files (NC1-358-81/2/32). Therefore, this series of files should be dropped.
8	Performance and Accountability (PAR) Files	This is a newly scheduled series of records in the Office of Financial Management, OA.

9 Security Officer
(Washington, D.C.)
Personnel Security Files

This series of files was amended to reflect current recordkeeping practices in FMC's Office of Human Resources.

10 Parking Permit
Application Files

This series of files was scheduled by the FMC's Office of Administrative Services (now the Office of Management Services). The FMC has not had an agency-controlled parking situation since it moved into its current Headquarters in 1992. Employees no longer have to fill out FMC-190 Applications to obtain parking; therefore, this series of files should be dropped.