

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
 WASHINGTON, DC 20408

1. FROM (Agency or establishment)  
 Federal Maritime Commission

2. MAJOR SUBDIVISION  
 Office of the Managing Director

3. MINOR SUBDIVISION  
 Office of Information Resources Management

4. NAME OF PERSON WITH WHOM TO CONFER  
 Mrs. M. Louise Butler

5. TELEPHONE  
 202-523-5834

LEAVE BLANK (NARA use only)

JOB NUMBER  
 NI-358-95-1

DATE RECEIVED  
 7-18-95

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
 10-27-95

ARCHIVIST OF THE UNITED STATES  
*John W. Carl*

6. 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 on the attached \_\_\_ page(s) are not now 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: 6/29/95

SIGNATURE OF AGENCY REPRESENTATIVE: *Chris G. Spencer*

TITLE: Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	PLEASE SEE ATTACHED.		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p style="text-align: center;"><b>ATTACHMENT TO SF-115</b></p> <p style="text-align: center;"><u>FEDERAL MARITIME COMMISSION</u></p> <p style="text-align: center;"><u>OFFICE OF THE SECRETARY</u></p> <p style="text-align: center;"><u>Office of Informal Inquiries, Complaints &amp; Informal Dockets</u></p> <p><b>Informal Complaints</b> files contain correspondence with the FMC by shipping companies and other persons subject to the Shipping Act of 1984 and other applicable Acts and laws relative to changes in rates, fares, and discriminatory practices against shippers carriers, or other persons; and/or correspondence relating to consumer complaints against the practices, methods, operations and rate levels established by those engaged in foreign and domestic waterborne commerce and the disposition of such complaints. After investigation, cases are concluded by administrative action, formal proceedings, referral to state or federal authorities, or by achieving voluntary agreement between the parties.</p> <p><b>DISPOSITION:</b> Cutoff after settlement or conclusion of complaints. Retire to WNRC 2 years after cutoff. Destroy 5 years after cutoff.</p>	<p>NC1-358-86-1/2  <del>NI-358-11-1/16</del></p>	
2	<p style="text-align: center;"><u>OFFICE OF THE GENERAL COUNSEL</u></p> <p><b>International Affairs (Classified Documents) Files</b> contain copies of State Department cable, letters, and other classified documents which are circulated to the Commissioners and Managing Director for information. Files are maintained in a combination locked safe.</p> <p><b>DISPOSITION:</b> Maintain for reference for 5 years. Then destroy by shredding.</p>	<p>NC1-358-81-2/7</p>	
3	<p><b>Federal and other Court Cases.</b> 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) Supreme, Appeals, District, and State Courts; (2) date; (3) case number; and (4) name of case.)</p>	<p>NC1-358-81-2/28</p>	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
<b>OFFICE OF THE GENERAL COUNSEL (Continued)</b>			
	<p><b>DISPOSITION:</b> (a) Cutoff after completion of proceeding. Retire to WNRC 5 years after cutoff. Destroy 10 years after cutoff.</p> <p>(b) For significant cases having wide public interest, cutoff after completion of proceeding. Retire to WNRC 10 years after cutoff. Destroy 20 years after cutoff.</p>		
4	<p><b>Legislative History Index Cards</b> - A chronological card file index that records: (a) Congressional action as well as FMC treatment of pending legislation; (b) correspondence with OMB on pending legislation; and (c) FMC-proposed legislation submitted to OMB and Congress for consideration and introduction. Files are arranged 87th Congress to 98th Congress. Due to limited space, these files have not been kept up-to-date since the 98th Congress.</p> <p><b>DISPOSITION:</b> Cards may be disposed after 30 years' office retention.</p>	NC1-358-81-2/33	
5	<p><b>Confidential Statement of Financial Interests</b> contains documents such as employee forms and correspondence accumulated in the legal review of employees who are required to file statements of financial interests, outside employment, or comparable interests. This information is required to insure employee compliance with 5 CFR Part 2634, which establishes requirements for public financial disclosure reporting and confidential (nonpublic) financial disclosure reporting.</p> <p><b>DISPOSITION:</b> Maintain in office for 6 years, then destroy. (GRS 1, Item 24(b)).</p>	NC1-358-81-2/35	
<b>BUREAU OF ECONOMICS AND AGREEMENTS ANALYSIS</b>			
6	<p><b>Agreement File (Terminals) - including Not Subject Agreements</b> contain agreements, other documents and correspondence submitted by carriers and/or terminal operators in the foreign and domestic offshore commerce of the U.S. in accordance with the Shipping Acts of 1916 and 1984. Files contain agreements; correspondence between the Commission and carriers, terminal operators and other persons; recommendations to the Commission; orders, notices and other papers pertaining to approval, modification, amendment, determination of subjectivity, investigation or hearing thereof. Files are arranged in individual folders by agreement number and material filed therein is arranged chronologically.</p>	<p>NC1-358-86-1/4 NC1-358-88-1/1</p>	

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	<b><u>BUREAU OF ECONOMICS AND AGREEMENTS ANALYSIS</u></b>		
	<p><b><u>DISPOSITION:</u></b> Cutoff when agreement is cancelled or disapproved and transfer to cancelled agreements file. Retire to WNRC 1 year after cutoff. Destroy 10 years after cutoff.</p>		
7	<p><b><u>Conference and Association Reports</u></b> contain conference and association of marine terminals reports submitted pursuant to 46 CFR Part 572. These reports include minutes of conference meetings.</p> <p><b><u>DISPOSITION:</u></b> Cutoff when agreement is cancelled. Transfer to WNRC 6 years after cutoff. Destroy 8 years after cutoff.</p>	N1-358-88-1/2	
8	<p><b><u>Special Reports and Studies Files</u></b> contain copies of trade studies conducted by the staff to provide a source of information to the public or to assist the Commission in its decisionmaking. These studies examine trade conditions, trading patterns and trends, economic conditions, etc. Reports for the public are generally available from the Government Printing Office, other studies are available from the Commission's Public Information Office. The files also contain documents such as specific, economic reports directed towards various economic issues presented to the Commission, reports prepared for the benefit of the Chairman, and reports prepared in response to Congressional inquiries.</p> <p><b><u>DISPOSITION:</u></b> Retain in office for 5 years after completion of study or until no longer needed for active or reference purposes, whichever is later. Destroy when no longer needed.</p>	NC1-358-81-2/79	
	<b><u>BUREAU OF ADMINISTRATION</u></b>		
	<b><u>Office of the Director</u></b>		
9	<p><b><u>Reading File</u></b> 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, the Commission, and/or the Managing Director 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>	New Item	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NUMBER

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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)
	<p align="center"><b><u>BUREAU OF ADMINISTRATION (Continued)</u></b></p> <p><b><u>DISPOSITION:</u></b> Close file at the end of each calendar year. Hold in office until 3 years old, then destroy.</p>		
10	<p><b><u>Bureau and Office Reading Files</u></b> contain copies of documents prepared by other offices and bureaus on subject matter involving policy interpretations. The official file copy is maintained in the originating office's files.</p> <p><b><u>DISPOSITION:</u></b> Close file annually. Transfer to inactive file. Destroy when 3 years old.</p>	New Item	
11	<p><b><u>Subject Files</u></b> contain letters, memoranda, reports, and other documents created or acquired from other offices and/or agencies in formulating and implementing plans, responses and decisions on matters of major policy impact or in providing operational and managerial guidance concerning all programs, functions and objectives of the Commission.</p> <p><b><u>DISPOSITION:</u></b> Files are arranged alphabetically by subject matter and material therein is filed chronologically. Official business papers originating with, or received by, the Director's office are held until conveyed to the appropriate office or final action is officially recorded or the expiration of 5 years, whichever occurs later; then destroyed.</p>	New Item	
12	<p align="center"><b><u>BUREAU OF HEARING COUNSEL</u></b></p> <p><b><u>Proceedings (Workpapers)</u></b> Includes workpapers of the Bureau pertaining to particular proceedings. (When transferred to WNRC, the file should not contain any records that are filed in the Secretary's Office in the FMC Official Docket File, i.e., transcripts, briefs, exhibits or orders.)</p> <p><b><u>Disposition:</u></b> Cutoff after completion of proceeding. Retire to WNRC 1 year cutoff. Destroy 15 years after cutoff. afteJ</p>	New Item	

## FEDERAL MARITIME COMMISSION

## IDENTIFICATION OF CHANGES TO SCHEDULED ITEMS

<u>Item</u>	<u>Series Title</u>	<u>Description of Change</u>
1	Informal Complaints	Records in the "Consumer Affairs Files" (N1-358-91-1/16) series are being combined in this series. There is no change in the disposition instructions.
2	International Affairs (Classified Documents) Files	This item has been amended to include a 5-year retention period before series destruction instead of maintaining the series until no longer needed.
3	Federal and Other Court Cases	The series description is amended to delete reference to Circuit Court and substitute therefor Appeals Court (minor wording change). There is no change in the retention period.
4	Legislative History Index Cards	Series description amended to reflect current recordkeeping practices, i.e., files have been cutoff at the 98th Congress and are no longer being accumulated. There is no change in the retention period.
5	Confidential Statement of Financial Interests	Series description is amended to reflect current regulatory requirements (5 CFR 2634). Also, the retention period has been changed from destruction 5 years after employee's termination to destruction after a 6-year retention in the office. GRS 1, Item 24b disposition has been incorporated accordingly. This supersedes present disposition authority of NC1-358-81-2/35.
6	Agreement File (Terminals) including Not Subject Agreements	Series is being combined with records in the "Not Subject Files" (NC1-358-86-1/4) series to better reflect the manner in which these files are maintained. There is no change in the retention period.
7	Conference and Association Reports	This item is being amended to reflect deletion of items no longer maintained, i.e., index of documents. There is no change in the retention period.
8	Special Reports and Studies Files	The retention period is increased from 3 years to 5 years, after which item(s) is destroyed when no longer needed instead of transferring to the FMC Library.

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|----|------------------------------------|----------|
| 9  | Reading File                       | New Item |
| 10 | Bureau and Office<br>Reading Files | New Item |
| 11 | Subject Files                      | New Item |
| 12 | Proceedings (Workpapers)           | New Item |