

## Request for Records Disposition Authority

Records Schedule Number      DAA-0358-2017-0004  
Schedule Status      Approved  
  
Agency or Establishment      Federal Maritime Commission  
Record Group / Scheduling Group      Records of the Federal Maritime Commission  
Records Schedule applies to      Major Subdivision  
Major Subdivision      Office of Consumer Affairs and Dispute Resolution Services  
Schedule Subject      CADRS Records  
Internal agency concurrences will be provided      No

Background Information      These files concern the development, administration, and evaluation of the Office of Consumer Affairs and Dispute Resolution Services. Among its other duties, CADRS is an independent, confidential, informal, and neutral conflict resolution practitioner. CADRS maintains all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard anonymity and confidentiality of parties requesting dispute resolution services in accordance with the Administrative Dispute Resolution Act (ADRA). This includes protecting the identity of any individual contacting CADRS and the information provided in confidence and shall not be disclosed.

### Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 5                                 | 0                                     | 5                                     | 0                                     |

GAO Approval

## Outline of Records Schedule Items for DAA-0358-2017-0004

| Sequence Number |  |
|-----------------|--|
| 1               | CADRS Working Case Files<br>Disposition Authority Number: DAA-0358-2017-0004-0001                |
| 2               | CADRS Case Management Database<br>Disposition Authority Number: DAA-0358-2017-0004-0002          |
| 3               | CADRS Workload and Case Management Logs<br>Disposition Authority Number: DAA-0358-2017-0004-0003 |
| 4               | CADRS Issue Analysis and Reports<br>Disposition Authority Number: DAA-0358-2017-0004-0004        |
| 5               | CADRS Standard Operating Procedures<br>Disposition Authority Number: DAA-0358-2017-0004-0005     |

## Records Schedule Items

| Sequence Number   |  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
|---|--|-------------------|-----------|-------------|--------|-----------------------------|-----|---|-----|--------------------|---------------------------------------|------------------|----------------------------------|--------------|--------------|
| 1   | <p><b>CADRS Working Case Files</b></p> <p>Disposition Authority Number      DAA-0358-2017-0004-0001</p> <p>During the course of working an ombuds, mediation, facilitation, or arbitration matter, CADRS may maintain communication (including intake materials and emails), handwritten notes, and supporting documentation relating to the matter. In accordance with the ADRA, this confidential material is protected from disclosure or inspections by all other persons, including any other Office of the Federal Maritime Commission.</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr></table> <p><b>Disposition Instruction</b></p> <table><tr><td>Cutoff Instruction</td><td>Cutoff upon resolution of the matter.</td></tr><tr><td>Retention Period</td><td>Destroy immediately after cutoff</td></tr></table> <p><b>Additional Information</b></p> <table><tr><td>GAO Approval</td><td>Not Required</td></tr></table> | Final Disposition | Temporary | Item Status | Active | Is this item media neutral? | Yes | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No  | Cutoff Instruction | Cutoff upon resolution of the matter. | Retention Period | Destroy immediately after cutoff | GAO Approval | Not Required |
| Final Disposition   | Temporary  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Item Status   | Active   |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Is this item media neutral?   | Yes  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No   |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Cutoff Instruction  | Cutoff upon resolution of the matter.  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Retention Period  | Destroy immediately after cutoff   |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| GAO Approval  | Not Required   |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| 2   | <p><b>CADRS Case Management Database</b></p> <p>Disposition Authority Number      DAA-0358-2017-0004-0002</p> <p>Files contain non-identifying and non-confidential information relating to CADRS ombuds matters (case type, amount in controversy, resolution, type of complainant, type of respondent, etc.).</p> <table><tr><td>Final Disposition</td><td>Temporary</td></tr><tr><td>Item Status</td><td>Active</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>Yes</td></tr></table>   | Final Disposition | Temporary | Item Status | Active | Is this item media neutral? | Yes | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes |                    |                                       |                  |                                  |              |              |
| Final Disposition   | Temporary  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Item Status   | Active   |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Is this item media neutral?   | Yes  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes  |                   |           |             |        |                             |     |   |     |                    |                                       |                  |                                  |              |              |

3

Do any of the records covered  
by this item exist as structured  
electronic data?

Yes

GRS or Superseded Authority  
Citation

N1-358-09-6/2

Disposition Instruction

Cutoff Instruction

Cutoff when no longer required for business  
purposes.

Retention Period

Destroy 7 year(s) after cutoff

Additional Information

GAO Approval

Not Required

CADRS Workload and Case Management Logs

Disposition Authority Number

DAA-0358-2017-0004-0003

Information in these records reflect the number, assignment, and procedural  
history of mediation conferences (formal dockets), mediation matters, arbitration,  
and facilitation matters. Files do not contain confidential, privileged or other  
protectable information.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered  
by this item currently exist in  
electronic format(s) other than e-  
mail and word processing?

No

Disposition Instruction

Cutoff Instruction

Cutoff when no longer required for business  
purposes.

Retention Period

Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

4

CADRS Issue Analysis and Reports

Disposition Authority Number

DAA-0358-2017-0004-0004

Information in these records relate to single or multiple CADRS matters, but do  
not include confidential or privileged material. Memoranda discussing trends and  
providing analysis and recommendation to the Chairman, Commissioners and  
other FMC program offices. These files include quarterly workload reports to the

Commission (internal to the agency; quarterly report to the Commission regarding the workload statistics and work highlights of CADRS).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

#### Disposition Instruction

Cutoff Instruction Cutoff when no longer required for business purposes.

Retention Period Destroy 5 year(s) after cutoff

#### Additional Information

GAO Approval Not Required

#### CADRS Standard Operating Procedures

Disposition Authority Number DAA-0358-2017-0004-0005

These files include standard operating procedures developed to implement policies formalized by CADRS which governs workforce administrative activities.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

#### Disposition Instruction

Cutoff Instruction cutoff when no longer required for business purposes.

Retention Period Destroy immediately after cutoff

#### Additional Information

GAO Approval Not Required

5

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

| Date       | Action                 | By               | Title                                   | Organization   |
|------------|------------------------|------------------|---|--|
| 01/26/2017 | Certify                | Anthony Haywood  | CIO                                     | Federal Maritime Commission - Office of the Managing Director              |
| 01/08/2018 | Submit for Concurrence | David Weber      | Senior Appraisal Archivist              | National Archives and Records Administration - Records Management Services |
| 01/19/2018 | Concur                 | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services     |
| 01/19/2018 | Concur                 | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services     |
| 01/23/2018 | Approve                | David Ferriero   | Archivist of the United States          | Office of the Archivist - Office of the Archivist                          |