

Request for Records Disposition Authority

Records Schedule Number DAA-0358-2017-0006

Schedule Status Approved

Agency or Establishment Federal Maritime Commission

Record Group / Scheduling Group Records of the Federal Maritime Commission

Records Schedule applies to Department-wide

Schedule Subject OFFICE OF THE GENERAL COUNSEL RECORDS

Internal agency concurrences will be provided No

Background Information

The Office of the General Counsel (OGC) provides legal services to the Commission and to the Commission staff. The Office's key responsibilities include:

- Providing advice and recommendations to the Commission on legal and policy matters related to the Commission's responsibilities
- Providing advice to the Chairman and Commissioners on legal matters concerning adjudicatory and investigative proceedings
- Preparing final decisions, orders and regulations for Commission approval and issuance
- In collaboration with other Commission program offices, drafting orders, notices of inquiry, rulemakings, policy statements, and other documents to be considered or issued by the Commission
- Reviewing staff recommendations for Commission action to ensure materials take into account the legal and policy precedents established by the Commission
- Representing the Commission in litigation before the courts, including appellate review of Commission orders and rulemakings, seeking injunctions and other forms of relief in the Federal district courts, and representing the Commission's interests before other Federal agencies
- Preparing orders and formal opinions regarding administrative matters and representing the Commission in administrative proceedings
- Representing the Commission's interests in matters before Congress, including commenting on proposed legislation, preparing testimony for Commission officials, proposing legislation, and responding to congressional requests for information or assistance
- Providing technical and policy assistance to other government agencies engaged in bilateral and multilateral international negotiations or discussions on shipping matters

- Providing legal opinions to the Commission, its staff, and the general public in appropriate instances

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0358-2017-0006

Sequence Number	
1	International Affairs (Country) Files Disposition Authority Number: DAA-0358-2017-0006-0001
2	International Affairs (General) Files Disposition Authority Number: DAA-0358-2017-0006-0002
3	Docket Case Analyses, Workpapers, and Summary Disposition Authority Number: DAA-0358-2017-0006-0003
4	Federal and Other Court Cases (Non-Significant) Disposition Authority Number: DAA-0358-2017-0006-0004
5	Federal and Other Court Cases (Significant) Disposition Authority Number: DAA-0358-2017-0006-0005
6	Legislative Affairs Files Disposition Authority Number: DAA-0358-2017-0006-0006
7	General Subject Files Disposition Authority Number: DAA-0358-2017-0006-0007

Records Schedule Items

Sequence Number	
1	<p>International Affairs (Country) Files</p> <p>Disposition Authority Number DAA-0358-2017-0006-0001</p> <p>These files contain background information and other unclassified material which is maintained for reference and background information, including international negotiation documents in dealing with foreign governments.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-358-08-8/2</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of each calendar year</p> <p>Retention Period Destroy 5 year(s) after cutoff, or when no longer needed for reference, whichever is later</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>International Affairs (General) Files</p> <p>Disposition Authority Number DAA-0358-2017-0006-0002</p> <p>These files contain background information and other unclassified material which is maintained for reference and background information in dealing with foreign governments.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

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Disposition Instruction

Cutoff Instruction

Cut off file at end of each calendar year.

Retention Period

Destroy 5 year(s) after cutoff, or when no longer needed for reference, whichever is later.

Additional Information

GAO Approval

Not Required

Docket Case Analyses, Workpapers, and Summary

Disposition Authority Number

DAA-0358-2017-0006-0003

These files contain analyses, workpapers, and summaries of formal docketed proceedings prepared by the staff for use in advising the Commission in its regulatory functions. Originals of these documents are also included in the Office of the Secretary's Interoffice Confidential Files.

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

GRS or Superseded Authority Citation

N1-358-08-8/4

Disposition Instruction

Cutoff Instruction

Cut off at end of calendar year in which case file actions are concluded.

Retention Period

Destroy 3 year(s) after cutoff or when no longer needed for reference, whichever is later

Additional Information

GAO Approval

Not Required

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Federal and Other Court Cases (Non-Significant)

Disposition Authority Number

DAA-0358-2017-0006-0004

These files contain 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) Court; (2) date; (3) case number; and (4) name of case.)

Final Disposition

Temporary

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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
GRS or Superseded Authority Citation	N1-358-08-8/3
Disposition Instruction	
Cutoff Instruction	Cut off at end of calendar year in which proceeding is concluded.
Retention Period	Destroy 10 year(s) after cutoff, or when no longer needed for reference, whichever is later.
Additional Information	
GAO Approval	Not Required
Federal and Other Court Cases (Significant)	
Disposition Authority Number	DAA-0358-2017-0006-0005
These files contain essential case filings, pleadings, judgments, orders, decrees, briefs, exhibits, and correspondence pertaining to the defense or prosecution of FMC regulations or authorities having wide public interest. (Cases are filed by (1) Court; (2) date; (3) case number; and (4) name of case.)	
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
GRS or Superseded Authority Citation	N1-358-08-8/3
Disposition Instruction	
Cutoff Instruction	Cut off at end of calendar year in which proceeding is concluded.
Retention Period	Destroy 20 year(s) after cutoff, or when no longer needed for reference., whichever is later
Additional Information	

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GAO Approval Not Required

Legislative Affairs Files

Disposition Authority Number DAA-0358-2017-0006-0006

These files contain requests from Congressional Committees or other agencies for comments on bills that have been introduced in the Congress; copies of proposed orders, bills, reports and correspondence with the White House, the Executive Office of the President, Congressional Committees and other agencies; interoffice memos and working papers; and other documents created or accumulated in coordination, preparing and responding to proposed legislation which may have an impact on the FMC. Files also contain FMC-initiated legislative proposals of interest to or affecting the Commission that is first sent to OMB for clearance and then submitted to Congress. Files are arranged by Congress.

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

GRS or Superseded Authority Citation N1-358-08-8/5

Disposition Instruction

Cutoff Instruction Cut off files at the end of each Congress.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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General Subject Files

Disposition Authority Number DAA-0358-2017-0006-0007

These files contain general information on subjects of heightened FMC concern.

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

GRS or Superseded Authority Citation N1-358-08-8/6

Disposition Instruction

Retention Period

Destroy 3 year(s) after cutoff or when no longer
needed for reference, whichever is later.

Additional Information

GAO Approval

Not Required

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
02/02/2017	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director
03/05/2018	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
03/08/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/08/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/09/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist