

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-358-07-6	
1 FROM (Agency or establishment) Federal Maritime Commission		DATE RECEIVED 8/20/07	
2 MAJOR SUBDIVISION Bureau of Enforcement		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Jane Gregory, Management Analyst	5. TELEPHONE 202-523-5800	DATE 12/12/02	ARCHIVIST OF THE UNITED STATES Mel Wanda

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,		
<input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested		
DATE 7/24/07	SIGNATURE OF AGENCY REPRESENTATIVE <i>Stephanie Burwell</i>	TITLE Acting Chief Information Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHMENTS		
	12/18/08 copies sent to agency & NWMU		

## ATTACHMENT A

FEDERAL MARITIME COMMISSION

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
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## BUREAU OF ENFORCEMENT

**Formal Proceeding Docket Files** essentially duplicate those maintained by the Office of the Secretary, i.e., Official Docket, transcript, pleadings, and exhibits. Files may also contain documentation obtained in discovery. Files are maintained and arranged in chronological order.

NC1-358-81-2-37

**DISPOSITION: Temporary.** Media neutral. Cut off at end of calendar year in which case is closed. Destroy 1 year after cutoff..

**Bureau Director's Reading Files** contain all correspondence, memos, pleadings, etc. emanating from the Bureau (former Bureau of Hearing Counsel files

NC1-358-81-2/38  
[Dropped Series]

**DISPOSITION: Temporary.** Close file at end of each calendar year and transfer to closed file. Hold in office until 5 years old, then destroy.

**Bureau Reading Files** contain copies of all correspondence, memoranda, etc. emanating from the Bureau.

N1-358-91-1/15

**DISPOSITION: Temporary.** Media neutral. Cut off at end of calendar year. Destroy 5 years after cutoff.

**Proceedings (Workpapers)** 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.)

N1-358-95-1/12  
[Dropped Series]

**DISPOSITION: Temporary.** Cutoff after completion of proceeding. Retire to WNRC 1 year after cutoff. Destroy 15 years after cutoff.

~~1~~  
ITEM #3  
**Investigative Case Files (including Surveillance, Intelligence, and Liaison Files)**

contain reports of investigations of alleged violations of the shipping statutes by carrier, forwarders, shippers, terminal operators or others, exhibits to reports, correspondence, passenger vessel audits, ocean transportation intermediary compliance checks, complaint correspondence, special inquiry reports, and shipping intelligence. Where enforcement actions have been taken, contain enforcement claims and other settlements which may include legal reviews, warning letters, demand letters, copies of settlements, record of payments and associated papers of persons subject to the regulatory authority of the Commission rules and regulations. These files are culled at the time the investigation or enforcement matter is closed, and investigative documentation not incorporated in an Enforcement Report or Memorandum of Legal Review are transferred to the Related Enforcement Documentation files. Investigative files used by the Area Representatives contain copies of the same materials. These files may contain confidential information.

NC1-358-81-2/85

**DISPOSITION: Temporary. Media neutral.** Cut off at end of calendar year in which case file actions are concluded. Transfer to FRC 7 years after cut off. Destroy 12 years after cutoff.

~~2~~  
**Enforcement Claims and other Settlements.** Contains investigative case files, violations, claims agreements, settlements, record of payments and associated papers of persons subject to the regulatory authority of the Commission rules and regulations.

N1-358-86-1/19  
[Dropped Series]

**DISPOSITION:** ~~Temporary. Close file at end of calendar year in which settlement is made. Hold in office for 7 years, then transfer to WNRC with Investigative Case Files (Item No. NC1-358-81-2/85). Destroy when 14 years old.~~

~~3~~  
ITEM #4  
**Original Settlement Agreement File** contains in chronological order original signed settlement agreements.

New

**DISPOSITION:** Temporary. Media neutral. Cut off file at end of each calendar year and transfer to inactive file. Destroy 25 years after cutoff or when no longer needed.

New

8. **Related Enforcement Documentation.** Contain documents collected at the time of the investigation but ultimately not incorporated in an Enforcement Report or Memorandum of Legal Review.

**DISPOSITION:** Temporary. Media neutral. Cut off at end of calendar year in which case is concluded. Destroy 1 year after cutoff.

9. **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.~~

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

New

GRS 20/13+14