

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS.

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Federal Maritime Commission

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Mr. F. J. Bankston

5. TEL. EXT.

382-3504

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

|  |                                |        |
|--|--------------------------------|--------|
| LEAVE BLANK  |                                | RG-358 |
| DATE RECEIVED  | JOB NO.                        |        |
| 18 JUN 1973  | 1735321                        |        |
| NOTIFICATION TO AGENCY   |                                |        |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10. |                                |        |
| 9-17-73  | <i>James B. Rhoads</i>         |        |
| Date   | Archivist of the United States |        |

8 - I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

6/17/73 (Date) *F. J. Bankston* (Signature of Agency Representative) Assistant Chief, Div. of Offc. Serv. (Title)

| 7.<br>ITEM NO. | 8. DESCRIPTION OF ITEM<br>(With Inclusive Dates or Retention Periods)  | 9.<br>SAMPLE OR<br>JOB NO. | 10.<br>ACTION TAKEN |
|----------------|--|----------------------------|---------------------|
|                | <p><u>ADMINISTRATIVE RECORDS</u></p> <p>The Federal Maritime Commission, pursuant to the Shipping Act, 1916, as amended, the Intercoastal Shipping Act, 1933, amended, and other applicable law, maintains control in maritime matters embracing the following principal areas: (1) regulation of services, practices, and agreements of common carriers by water and other persons engaged in the foreign commerce of the United States; (2) acceptance, rejection or disapproval of tariff filings of common carriers engaged in the foreign commerce; (3) regulation of rates, fares, charges, classifications, tariffs, regulations, and practices of common carriers by water in the domestic offshore trade of the United States; (4) investigation of discriminatory rates, charges, classifications, and practices in the waterborne foreign and domestic offshore commerce; and (5) rendering decisions, issuing orders and making rules and regulations governing and affecting common carriers by water, terminal operators, freight forwarders and other persons subject to the shipping statutes.</p> <p>Most of the records in the following schedule are the official records of the Commission and official records documenting rules, regulations, recommendations, and decisions made by the Commission.</p> |                            |                     |

*53 Items*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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|----------------|--|----------------------------|---------------------|
| 2. 1.          | <u>Office of the Secretary</u><br><u>Interoffice Confidential Files</u><br><br>Materials related to formal hearings (dockets), including:<br>(1) intra-agency memos, and (2) correspondence peripheral<br>to subject of hearing<br><br>Dispose 5 years after FRC Accession date upon<br>authorized receipt of GSA Form 7015  |                            |                     |
| 2. 2.          | <u>Federal Register Original Tissues</u><br><br>Original stamped copies of materials returned from<br><u>Federal Register</u> after publication<br><br>Dispose 5 years after FRC accession date upon<br>authorized receipt of GSA Form 7015  |                            |                     |
| 3. 3.          | <u>Office of General Counsel</u><br><u>Dockets, (Workpapers) Docket No. _____.</u><br><br>Includes all the workpapers of each office pertaining<br>to a particular docket. When transferred to the Federal<br>Records Center the file should not contain any records<br>that are filed by the Secretary's office in the FMC<br>Official Docket File, i.e. Transcript, Briefs,<br>exhibits or orders.<br><br>Dispose 5 years after FRC accession date |                            |                     |
| 4. 4.          | <u>Office of General Counsel</u><br><u>Liaison, Litigation, enforcement - correspondence file.</u><br><br>Correspondence between federal or state agencies and<br>private companies concerning subject matter.<br><br>Dispose 5 years after FRC accession date   |                            |                     |
| 5. 5.          | <u>Office of General Counsel</u><br><u>Legislative Correspondence</u><br><br>Contains request from Congressional Committees or other<br>agencies for comments on bills that have been introduced<br>in the Congress, correspondence, inter office memos and<br>working papers.<br><br><del>Dispose 5 years after FRC accession date upon</del><br><del>authorized receipt of GSA Form 7015</del> Permanent. *  |                            |                     |

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| 19. 6.         | <u>Bureau of Compliance</u><br><u>Copies of Section 15 Agreements</u><br><br>For Distribution to the public. Minutes of Conference meetings, and miscellaneous papers pertaining to the agreements maintained for disseminating information to the public pursuant to the Shipping Act, 1916, as amended. When agreements are cancelled Destroy. |                            |                     |
| 20. 7.         | <u>Bureau of Compliance</u><br><u>Copies of Sections, 1, 9, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 36, and 205 of the Shipping Act, 1916, as amended, and the Merchant Marine Acts, 1920, as amended and by water engaged in U. S. Foreign and intercoastal commerce and transportation</u><br><br>When agreements are cancelled Destroy        |                            |                     |
| 22. 8.         | <u>Bureau of Compliance</u><br><u>Tariffs, Cancelled (Foreign) Freight and Passenger - pursuant to the Shipping Act, 1916, as amended, and other applicable laws</u><br><br>Dispose 10 years after FRC accession date  |                            |                     |
| 23. 9.         | <u>Bureau of Compliance</u><br><u>Tariffs, Cancelled (Domestic Offshore) Freight and Passenger - Pursuant to the Intercoastal Shipping Act, 1933</u><br><br>Dispose 10 years after FRC accession date  |                            |                     |
| 24. 10.        | <u>Bureau of Compliance</u><br><u>Tariffs, Cancelled (Terminal) record of terminal operators rates, rules and regulations</u><br><br>Dispose 10 years after FRC accession date   |                            |                     |
| 15. 11.        | <u>Bureau of Compliance</u><br><u>Special Permission, Foreign - granted by the Federal Maritime Commission to make changes in statutory rates, fares, changes, and applications</u><br><br>Dispose 10 years after FRC accession date   |                            |                     |

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| 26. 12.        | <u>Bureau of Compliance</u><br><u>Special Permission, Domestic</u> - granted by the Federal Maritime Commission to make changes in statutory rates, fares, changes and applications<br><br>Dispose 10 years after FRC accession date                                   |                            |                     |
| 27. 13.        | <u>Bureau of Compliance</u><br><u>Rejections, Foreign</u> letters of rejection of tariff filings for non-conformance to statutes or Commission regulations<br><br>Dispose 10 years after FRC accession date  |                            |                     |
| 28. 14.        | <u>Bureau of Compliance</u><br><u>Rejections, Domestic</u> letters of rejection of tariff filings for non-conformance to statutes or Commission regulations<br><br>Dispose 10 years after FRC accession date   |                            |                     |
| 29. 15.        | <u>Bureau of Compliance</u><br><u>Terminal Tariffs and Agreement Record Cards</u> - an alphabetical record of tariffs and agreements<br><br>Dispose 10 years after FRC accession date  |                            |                     |
| 30. 16.        | <u>Bureau of Compliance</u><br><u>Correspondence Records and Miscellaneous Papers</u> - pertaining to freight, passenger, terminal tariffs and related matter<br><br>Dispose 10 years after FRC accession date   |                            |                     |
| 31. 17.        | <u>Bureau of Compliance</u><br><u>Dispatches from U. S. Consular Offices</u> pertaining to freight, passenger, and terminal rates, fares, charges, and facilities in foreign ports affecting U. S. trade and shipping<br><br>Dispose 10 years after FRC accession date |                            |                     |

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| 32. 18.        | <p><u>Bureau of Compliance</u><br/><u>Special Reports and Studies</u> - minutes of meetings and other papers relating to special Committees for study of freight rates</p> <p>When no longer required for active reference but not longer than 5 years Destroy</p>  |                            |                     |
| 2. 19.         | <p><u>Bureau of Compliance</u><br/><u>Investigation and Suspension, Domestic I &amp; S</u> memos - recommendation to the Commission for investigation and suspension of tariffs</p> <p>Retain in staff office 2 years after action and then Destroy.</p>  |                            |                     |
| 34. 20.        | <p><u>Bureau of Compliance</u><br/><u>Information Circulars (Form FMC-9)</u> filed by or on behalf of common carriers by water and other persons subject to the Shipping Act, 1916, as amended, and related Acts, covering affiliations, operations and services</p> <p>Dispose 10 years after FRC accession date</p>   |                            |                     |
| 25. 21.        | <p><u>Bureau of Compliance</u><br/><u>Powers of Attorney, Foreign, Inactive.</u> Power of Attorney to file tariffs and related amendments on behalf of common carriers in waterborne commerce</p> <p>Dispose of 10 years after FRC accession date</p>   |                            |                     |
| 36. 22.        | <p><u>Bureau of Compliance</u><br/><u>Powers of Attorney, Domestic, Inactive.</u> Power of Attorney to file tariffs and related amendments on behalf of common carriers in waterborne commerce</p> <p>Dispose 10 years after FRC accession date</p>   |                            |                     |
| 41. 23.        | <p><u>Office of Informal Complaints</u><br/><u>Complaints, Informal</u> - filed with the Federal Maritime Commission by shipping and steamship companies and other persons subject to the Shipping Act 1916, as amended, and other applicable Acts and Laws relative to changes in rates, fares, and charges, and discriminatory practices against shippers, carriers, or other persons</p> <p>Three years after close of file except for significant cases</p> |                            |                     |

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| 37, 24.        | <u>Office of Economic Analysis</u><br><u>Inactive G.O. 5 and 11 Correspondence File.</u><br><br>Retain in staff office until useful purpose has ended, then destroy.   |                            |                     |
| 37, 25.        | <u>Office of Economic Analysis</u><br><u>Administrative Records</u><br><u>G.O. 5 and 11 Financial Reports</u><br>Balance Sheets and Profit & Loss Statements of Domestic Steamship Companies<br><br>Dispose 5 years after FRC accession date   |                            |                     |
| 38, 26.        | <u>Office of Economic Analysis</u><br><u>G.O. 5 and 11 Audit Reports</u> audit of steamship companies balance sheet and profit & loss statements filed by firm name<br><br>Dispose 5 years after FRC accession date  |                            |                     |
| 1.             | THE FOLLOWING ARE RECOMMENDED FOR PERMANENT RETENTION<br><br><u>Office of the Secretary</u><br><u>Reading Files</u> - Copies of Office of the Secretary's incoming and outgoing letter and memo correspondence   |                            |                     |
| 3, 2.          | <u>Office of the Secretary</u><br><u>Official Docket</u> - Formal Proceeding (Hearing) instituted by Commission Order or by formal complaint alleging a violation of the Shipping Act containing; (1) Transcript, (2) Briefs or Pleadings, (3) Exhibits, (4) all orders and (5) Bulk of correspondence to and among parties in the case. |                            |                     |
| 4, 3.          | <u>Office of the Secretary</u><br><u>Transcript, Docket No.</u> _____, file in separate docket binder when massiveness precludes in closure of entire record in single docket binder.  |                            |                     |

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| 5. 4.          | <u>Office of the Secretary</u><br><u>Pleadings, Docket No. _____</u> , file in separate docket binder when massiveness precludes inclosure of entire record in single docket binder.   |                            |                     |
| 5. 5.          | <u>Office of the Secretary</u><br><u>Exhibits Docket No. _____</u> , file in separate docket binder when massiveness precludes inclosure of entire record in single docket binder.   |                            |                     |
| 7. 6.          | <u>Office of the Secretary</u><br>FMC Minutes - Official record of meetings and actions taken by the Commission  |                            |                     |
| 7. 7.          | <u>Office of General Counsel</u><br>Docket, case analysis and summary. (use exact subject heading). Indent and list by Docket Number, date of completion of proceeding and name of proceeding.   |                            |                     |
| 11. 8.         | <u>Office of General Counsel</u><br><u>Fact Finding Investigations.</u> Investigations held where information is needed for purposes of rule making, or helpful in carrying out duties, or to determine whether Commission administered laws have been violated.   |                            |                     |
| 12. 9.         | <u>Office of General Counsel</u><br><u>Federal and other Court Cases.</u> 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, Circuit, District, and State Courts; (2) (Date); (3) case number; and (4) Name of Case. |                            |                     |
| 15. 10.        | <u>Office of General Counsel</u><br><u>Enforcement Claims and other Settlements.</u> Investigative case files, violations, claims, agreements, settlements, record of payments and associated papers.  |                            |                     |
| 15. 11.        | <u>Bureau of Compliance</u><br><u>Agreements Cancelled Section 15 Agreements</u> - that have been cancelled or disapproved, correspondence, minutes of meetings, reports, and papers pertaining to the agreements.   |                            |                     |

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| 12.            | <u>Bureau of Compliance</u><br>Agreements, active, Section 15 between common carriers by water and other persons subject to the Shipping Act, 1916, correspondence, recommendations, orders and other papers pertaining to approval, modification, amendment, investigation or hearing thereof                        |                            |                     |
| 13.            | <u>Bureau of Compliance</u><br>Agreement Reports (Section 15) membership, miscellaneous correspondence, minutes, reports and other papers not pertaining to approval, modification, amendment, investigation or hearing thereof   |                            |                     |
| 14.            | <u>Bureau of Compliance</u><br>Conference agreement record cards - an alphabetical and numerical record of conference agreements listed by name of member and number of agreements  |                            |                     |
| 15.            | <u>Office of Freight Forwarders</u><br>Freight Forwarder Registration and Agreements, Cancelled FMC-18 executed and filed with the Federal Maritime Commission by all persons engaged in freight forwarding pursuant to FMC General Order 4 applications for and correspondence relating to the License Certificates. |                            |                     |