

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-358-08-6
1. FROM (Agency or establishment) Federal Maritime Commission		DATE RECEIVED	3/24/08
2. MAJOR SUBDIVISION Bureau of Trade Analysis		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Office of Service Contracts and Tariffs			
4. NAME OF PERSON WITH WHOM TO CONFER Jane E. Gregory	5. TELEPHONE 202-523-5800	DATE 8-28-08	ARCHIVIST OF THE UNITED STATES <i>Adrienne C. Thomas</i>

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 1 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 Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE 3/21/08	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Chief Information Officer
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	SEE ATTACHMENTS		

ATTACHMENT A

FEDERAL MARITIME COMMISSION

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
<u>BUREAU OF TRADE ANALYSIS (BTA)</u>			
1	<u>Reading File</u> contains copies of all correspondence, memoranda, etc. emanating from the Bureau.	New	
<u>DISPOSITION: Temporary. Media Neutral.</u> Cut off file at the end of each calendar year. Destroy 3 years after cutoff.			
<u>Office of Service Contracts & Tariffs (OSCT)</u>			
2	<u>OSCT Subject Files</u> contain letters, memoranda, reports and other documents created by OSCT, or acquired from other offices, agencies or regulated entities, 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. Files are arranged alphabetically by subject matter and material therein is filed chronologically.	New	
<u>DISPOSITION: Temporary. Media Neutral.</u> Cut off file at end of calendar year in which final action is officially recorded. Destroy 3 years after cutoff, or when no longer needed for reference, whichever is later.			

3 **Tariffs and Terminal Tariffs** files contain freight and terminal operator tariffs, amendments, supplements, FMC-1 copies, and other documents submitted by carriers and terminal operators in accordance with Section 18(b)(3), Shipping Act, 1916, as amended, and Sections 8(a)(1), 10(d)(1) and 17 of the Shipping Act of 1984, as amended.

N1-358-91-1/7
N1-358-91-1/13

DISPOSITION: Temporary. Media Neutral. Cut off file at end of calendar year in which tariff is cancelled. Destroy 9 years after date of cutoff.

NOTE: Original paper tariffs are destroyed after inspection or microfilm or image for adequacy of reproduction and coverage. Silver Original microfilm is stored in locked file cabinet for security storage purposes; diazo duplicate is used as reference copy. All tariffs were cancelled April 30, 1999, and will be eligible to be destroyed May 1, 2008, at which time this item can be deleted from the records disposition schedule.

4 **Sections 35 and 16 Tariff Filing Exemptions** contain applications for exemption of the tariff filing/publishing requirements of the Shipping Act, 1916, and the Shipping Act of 1984, as amended, respectively. Files contain applications, recommendations, and related correspondence.

N1-358-91-1/10

DISPOSITION: Temporary. Media Neutral. Cut off at file end of calendar year in which exemption is granted. Destroy 9 years after date of cutoff.

5 **Special Permission Applications** contain requests from carriers to deviate from the Commission's tariff filing/publishing requirements and correspondence granting or denying such application.

N1-358-91-1/12

DISPOSITION: Temporary. Media Neutral. Cut off file at end of calendar year in which case is decided by the Commission. Destroy 9 years after date of cutoff.

6
Correspondence Records, Special Studies & Reports and Miscellaneous Papers contain material concerning freight and terminal tariffs filed by carriers and/or conferences and terminal operators, minutes of staff meetings, reports and studies relating to special Committees established internally to study ocean freight rate problems or terminal related matters.

NC1-358-81-2/51
[Dropped Series]

DISPOSITION: Close file when carrier, conference or terminal operator ceases operations; transfer to WNRC. Destroy when 10 years old. **Reports, studies, etc. not falling in above category:** retain for 5 years after completion, or as long as active or used for reference purposes, whichever is later. Then destroy.

76
Carrier and Marine Terminal Operator ("MTO") Organization Registration Files contain Form FMC-1 (copy), delegations of authority, correspondence and memoranda.

N1-358-91-1/6
N1-358-91-1/11

DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which carrier cancels tariff and ceases operations, including any MTO. Destroy 9 years after date of cutoff.

77
Fact Finding Investigations (Terminals/Carriers) files contain background and preliminary investigation correspondence, orders, recommendations to the Commission, notices, rules, correspondence generated after an investigation has begun or ended, and other related material for investigations held where information is needed for purposes of rulemaking, or helpful in carrying out duties, or to determine whether Commission administered rules have been violated.

NC1-358-81-2/58

DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which investigation is closed. Destroy 1 year after date of cutoff.

8
Docketed Files (Terminals/Carriers) contain duplicates of selected docketed material maintained by the Office of the Secretary and miscellaneous correspondence accumulated in connection with docketed proceedings involving terminal matters.

NC1-358-81-2/59

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

109

Rejection Letters contain letters and forms of rejected tariff matter submitted by carriers for nonconformance with Commission regulations and/or shipping statutes.

NC1-358-81-2/57

DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which rejection occurs or after carrier or conference becomes inactive in waterborne commerce. Destroy 9 years after date of cutoff.

NOTE: Commission rules and regulations pertaining to tariff rejection were repealed effective May 1, 1999. When all documents in this category become eligible for disposal in 9 years, i.e., May 1, 2008, this item can be deleted from the records disposition schedule manual.

N16

Informal Rate Cases contain complaints received from shippers, carriers, terminal operators, etc. concerning problems relating to rate matters, disparities, tariff rules, classifications, etc.

NC1-358-81-2/63

DISPOSITION: Temporary. Media Neutral. Cut off at end of calendar year in which complaint is concluded. Destroy 3 years after date of cutoff.

12

~~**Anti-rebate Certifications** contain carrier and freight forwarder certifications.~~

N1-358-91-1/4
[Dropped Series]

~~**DISPOSITION: Temporary.** Cutoff at the end of the fiscal year. Retain in office for 5 years and then destroy.~~

13

~~**Financial Report Files** contain Forms 377 and 378 and company-wide financial reports of domestic offshore steamship companies and audit reports filed by company name.~~

N1-358-91-1/8
[Dropped Series]

NOTE: Effective October 1, 1996, the Federal Maritime Commission was no longer responsible for regulating the domestic offshore trades. That responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.

14

~~**Financial Correspondence Files** contain correspondence with carriers and other Commission offices, including Investigation and Suspension memos (I&S). Filed by firm name.~~

N1-358-91-1/9
[Dropped Series]

NOTE: Effective October 1, 1996, the Federal Maritime Commission was no longer responsible for regulating the domestic offshore trades. That responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.

ATTACHMENT B

FEDERAL MARITIME COMMISSION

IDENTIFICATION OF CHANGES TO RESCHEDULED ITEMS

<u>Item</u>	<u>Series Title</u>	<u>Description of Changes</u>
1	Reading File	New
2	Subject Files	New
3	Tariffs and Terminal Tariffs	Two series of records (N1-358-91-1/7 and N1-358-91-1/13) have been merged. Disposition changed to "Media Neutral" to encompass the various media in which the files have been kept. Retention period reduced from 20 years to 9 years to conform to current Bureau practices. [Note: When this disposition is approved, all records in this series will be eligible to be destroyed May 1, 2008.]
4	Sections 35 and 16 Tariff Filing Exemptions	Minor changes to description. Disposition changed to "Media Neutral." Retention period changed from 10 years to 9 years to conform to current Bureau practices.
5	Special Permission Applications	Minor changes to description. Disposition changed to "Media Neutral." Records no longer transferred to WNRC, but rather kept in office until final disposition. Retention period changed from 10 years to 9 years to conform to current Bureau practices.
6	Correspondence Records, Special Studies & Reports and Miscellaneous Papers	This series of files is no longer being maintained and should be dropped. Any reports or special studies have been incorporated into the Subject Files series of records.
7	Carrier and Marine Terminal Operator ("MTO") Organization Registration Files	Delegations of authority previously kept under N1-358-91-1/11 are now incorporated into these files. Changes to description. Disposition changed to "Media Neutral." Retention period increased from 5 to 9 years to conform to current Bureau practices.
8	Fact Finding Investigations (Terminals/Carriers)	Minor changes to description. Disposition changed to "Media Neutral."
9	Docketed Filed (Terminals/Carriers)	Minor changes to description. Disposition changed to "Media Neutral." Retention period changed from 2 years to 1 year to conform to current Bureau practices.

- 10 Rejection Letters Minor changes to series title (the FMC is no longer responsible for regulation of domestic trade) and description. Disposition changed to "Media Neutral." Records are no longer sent to WNRC. Retention period changed from 10 years to 9 years to conform to current Bureau practices. [Note: Commission rules and regulations pertaining to tariff rejection were repealed effective 5/1/99. When this disposition schedule is approved, all documents in this category will be eligible for disposal in 9 years, i.e., 5/1/2008.]
- 11 Informal Rate Cases Minor change to series title (the FMC is no longer responsible for regulation of domestic trade). Disposition changed to "Media Neutral."
- 12 Anti-Rebate Certifications This series of records is no longer maintained and should be dropped. The requirements to collect this information were repealed by the Ocean Shipping Reform Act of 1998.
- 13 Financial Report Files This series of records is no longer maintained and should be dropped. Effective October 1, 1996, the FMC was no longer responsible for regulating the domestic offshore trades. The responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.
- 14 Financial Correspondence Files This series of records is no longer maintained and should be dropped. Effective October 1, 1996, the FMC was no longer responsible for regulating the domestic offshore trades. The responsibility was transferred to the Surface Transportation Board by the ICC Termination Act of 1995, Public Law 104-88, 109 Stat. 803. Therefore, the responsibility for maintaining this series of records rests with that agency.