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## Request for Records Disposition Authority

Records Schedule Number      DAA-0358-2017-0003  
Schedule Status                      Appraiser Working Version

Agency or Establishment              Federal Maritime Commission  
Record Group / Scheduling Group      Records of the Federal Maritime Commission  
Records Schedule applies to              Agency-wide  
Schedule Subject                          INSPECTOR GENERAL RECORDS  
Internal agency concurrences will be provided      No

Background Information                      The Federal Maritime Commission's Office of Inspector General (OIG) is an independent and objective oversight office created within the FMC by the Inspector's General Act of 1978 (as amended) to:

- Conduct and supervise audits, inspections, and investigations relating to FMC programs
- Detect and prevent waste, fraud and abuse
- Promote economy, efficiency, and effectiveness in the administration and management of FMC programs
- Review existing and proposed legislation and regulations and make appropriate recommendations
- Maintain effective working relationships with other Federal, State and local governmental agencies, and non-governmental entities, regarding the mandated duties of the Inspector General
- Keep the FMC Chairman and Commissioners, and Congress fully informed of serious problems and deficiencies, and recommend, when appropriate, corrective actions and implementation measures
- Report violations of law to the U.S. Attorney General

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
12	4	8	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0358-2017-0003

Sequence Number	
1	Investigative Files (Non-Significant) Disposition Authority Number: DAA-0358-2017-0003-0001
2	Investigative Case Files (Significant) Disposition Authority Number: DAA-0358-2017-0003-0002
3	Hotline and Other Miscellaneous Files Disposition Authority Number: DAA-0358-2017-0003-0003
4	Audits, Inspections, and Evaluation Files (Significant) Disposition Authority Number: DAA-0358-2017-0003-0006
5	Audits, Inspections, and Evaluation Files (Non-Significant) Disposition Authority Number: DAA-0358-2017-0003-0007
6	Investigative Peer Review Files Disposition Authority Number: DAA-0358-2017-0003-0008
7	Audit Peer Review Files Disposition Authority Number: DAA-0358-2017-0003-0009
8	Final Policy and Procedures Files Disposition Authority Number: DAA-0358-2017-0003-0010
9	Semi-Annual Reports Disposition Authority Number: DAA-0358-2017-0003-0011
10	General Letters and Correspondence Disposition Authority Number: DAA-0358-2017-0003-0012
11	Office of Inspector General Planning Files Disposition Authority Number: DAA-0358-2017-0003-0013
12	Management Challenges Reports Disposition Authority Number: DAA-0358-2017-0003-0014

## Records Schedule Items

Sequence Number	
1	<p data-bbox="341 380 844 411"><b>Investigative Files (Non-Significant)</b></p> <p data-bbox="341 432 1149 464">Disposition Authority Number      <b>DAA-0358-2017-0003-0001</b></p> <p data-bbox="341 485 1523 705">Investigative file constitute the FMC-OIG written record of investigative cases, including investigative reports and such related documents as correspondence and attachments. Also includes other forms of evidence, including grand jury material, physical evidence collected during the course of the investigation such as video tapes and other media. These contain information essential to the cases and should be kept with the file.</p> <p data-bbox="341 726 917 758">Final Disposition                      <b>Temporary</b></p> <p data-bbox="341 779 878 810">Item Status                                <b>Pending</b></p> <p data-bbox="341 831 818 863">Is this item media neutral?            <b>Yes</b></p> <p data-bbox="341 884 803 1020">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>No</b></p> <p data-bbox="341 1041 964 1094">GRS or Superseded Authority Citation      <b>N1-358-08-2/1</b></p> <p data-bbox="341 1136 659 1167"><b>Disposition Instruction</b></p> <p data-bbox="341 1188 1495 1335">Cutoff Instruction                        <b>Non-Significant Investigative Files - All other investigative files not deemed to have significant historical value. Cut off at end of fiscal year in which case is closed.</b></p> <p data-bbox="341 1356 1187 1388">Retention Period                         <b>Destroy 10 year(s) after cutoff</b></p> <p data-bbox="341 1430 656 1461"><b>Additional Information</b></p> <p data-bbox="341 1482 951 1514">GAO Approval                              <b>Not Required</b></p>
2	<p data-bbox="341 1545 860 1577"><b>Investigative Case Files (Significant)</b></p> <p data-bbox="341 1598 1154 1629">Disposition Authority Number      <b>DAA-0358-2017-0003-0002</b></p> <p data-bbox="341 1650 1523 1925">Investigative files with significant historical value, including cases that may attract public interest and/or substantial national or regional media attention; result in a congressional investigation; may involve Commissioners and senior level staff; result in substantive changes in FMC policies and procedures; or result in a criminal conviction or civil remedy. Documentation may include grand jury material, investigative reports, correspondence and attachments, video tapes and other media. Significant cases are selected by SES level staff.</p>

Final Disposition	Permanent
Item Status	Pending
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
<b>Disposition Instruction</b>	
If this item has multiple sections, indicate here records to which this section apply	Non-electronic Textual Records
Cutoff Instruction	Cutoff at end of fiscal year in which case is closed.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old.
<b>Additional Information</b>	
What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown. No significant investigative cases have been identified at time of schedule.
How frequently will your agency transfer these records to the National Archives?	Every 10 Years
<b>Disposition Instruction</b>	
If this item has multiple sections, indicate here records to which this section apply	Electronic Records
Cutoff Instruction	Cutoff at end of fiscal year in which case is closed.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old
<b>Additional Information</b>	
What will be the date span of the initial transfer of records to the National Archives?	Unknown Unknown
How frequently will your agency transfer these records to the National Archives?	Unknown No records in this category have been identified at time of schedule

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### Hotline and Other Miscellaneous Files

Disposition Authority Number      DAA-0358-2017-0003-0003

These contain information or allegations of an investigative nature that do not result in the creation of a formal investigative file. They include anonymous or vague allegations that are deemed not to warrant an investigation, matters referred to other agencies for handling, and support files providing general information that may prove useful in Inspector General Investigations.

Final Disposition                      Temporary

Item Status                              Pending

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                      End of fiscal year in which file is closed

Retention Period                      Destroy 10 year(s) after cutoff

#### Additional Information

GAO Approval                          Not Required

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### Audits, Inspections, and Evaluation Files (Significant)

Disposition Authority Number      DAA-0358-2017-0003-0006

Files produced during audits, inspections, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues. Significant Audits, Inspections, and Evaluation Files - Reports, audit resolution files, and other documents with significant historical value, including documents that attract substantial national or regional media attention; result in a congressional investigation; or result in substantive changes in FMC policies and procedures. Significant cases are selected by SES level staff.

Final Disposition                      Permanent

Item Status                              Pending

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

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **at end of fiscal year in which case is closed**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old**

**Additional Information**

First year of records accumulation **2014**

What will be the date span of the initial transfer of records to the National Archives? **From 2014 To 2024**

How frequently will your agency transfer these records to the National Archives? **Every 10 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>1 Cubic feet</b>	<b>.5 Cubic feet</b>
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **at end of fiscal year in which case is closed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**Unknown**

How frequently will your agency transfer these records to the National Archives? **Every 10 Years**

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### Audits, Inspections, and Evaluation Files (Non-Significant)

Disposition Authority Number      DAA-0358-2017-0003-0007

Files produced during audits, inspections, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues. Non-Significant Audits, Inspections, and Evaluation Files - Reports, audit resolution files, and other documents without significant historical value.

Final Disposition                      Temporary

Item Status                              Pending

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      N1-358-08-02/2

#### Disposition Instruction

Cutoff Instruction                      at end of fiscal year in which file is closed

Retention Period                      Destroy 10 year(s) after cutoff

#### Additional Information

GAO Approval                          Not Required

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### Investigative Peer Review Files

Disposition Authority Number      DAA-0358-2017-0003-0008

These files include documents that summarize the conduct of peer reviews of investigative units of other OIGs or of the FMC-OIG by another OIG.

Final Disposition                      Temporary

Item Status                              Pending

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                      at end of fiscal year in which file is closed.

Retention Period                      Destroy 10 year(s) after cutoff



7	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Audit Peer Review Files</b>	
	Disposition Authority Number	DAA-0358-2017-0003-0009
	Include documents that summarize the conduct of peer reviews of the audit function of other OIGs or of the FMC-OIG's audit function by another OIG.	
	Final Disposition	Temporary
	Item Status	Pending
	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
	<b>Disposition Instruction</b>	
Cutoff Instruction	at end of fiscal year in which file is closed.	
Retention Period	Destroy 10 year(s) after cutoff	
8	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Final Policy and Procedures Files</b>	
	Disposition Authority Number	DAA-0358-2017-0003-0010
	These include all records that define or document the policies and procedures established for planning, directing, controlling, performing, and assessing OIG functions, including operations manuals, OIG policy bulletins, and standard operating procedures.	
	Final Disposition	Permanent
	Item Status	Pending
	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
	<b>Disposition Instruction</b>	
Cutoff Instruction	When superseded or obsolete	
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old	

**Additional Information**

First year of records accumulation **1989**

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 2005**

How frequently will your agency transfer these records to the National Archives? **Every 10 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	.1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**Semi-Annual Reports**

Disposition Authority Number **DAA-0358-2017-0003-0011**

Summarized activities of the OIG during the six-month periods ending March 31 and September 30 of each year. The report is submitted to Congress by the Commission. The report includes description of significant problems, abuses, and deficiencies related to the administration of the FMC programs and operations; audit recommendations for corrective action; matters referred to authorities and the results of those prosecutions; closed investigations; statistical tables demonstrating the dollar results of the OIG's internal program audits and contract audits performed during the reporting period.

Final Disposition **Permanent**

Item Status **Pending**

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 **N1-358-09-3/1**

**Disposition Instruction**

Cutoff Instruction end of fiscal year in which report is completed.  
Transfer to the National Archives for Accessioning Transfer to the National Archives in 10 year blocks 15 year(s) after most recent record is 10 years old

**Additional Information**

First year of records accumulation 1989  
What will be the date span of the initial transfer of records to the National Archives? From 1989 To 2005  
How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	2 Cubic feet	.1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**General Letters and Correspondence**

Disposition Authority Number DAA-0358-2017-0003-0012

These files contain the official copy of all general incoming letters and correspondence, and outgoing letters and correspondence signed by the Inspector General or designee on various subject matters, including compliance with various federal statutes, data calls, and other matters.

Final Disposition Temporary  
Item Status Pending  
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 end of calendar year.

11	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	<b>Office of Inspector General Planning Files</b>	
	Disposition Authority Number	DAA-0358-2017-0003-0013
	Discusses major program areas of the agency and contains OIG strategic plans in which the office plans to focus resources.	
	Final Disposition	Temporary
	Item Status	Pending
	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	end of fiscal year.	
Retention Period	Destroy 10 year(s) after cutoff	
12	Additional Information	
	GAO Approval	Not Required
	<b>Management Challenges Reports</b>	
	Disposition Authority Number	DAA-0358-2017-0003-0014
	Reports and related documents of the most serious management and performance challenges faced by the agency. The report is included in the annual Performance and Accountability Report prepared by the agency.	
	Final Disposition	Temporary
	Item Status	Pending
	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	end of fiscal year in which report is prepared.
Retention Period	Destroy 10 year(s) after cutoff	

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
01/26/2017	Certify	Anthony Haywood	CIO	Federal Maritime Commission - Office of the Managing Director

## Executive Summary

### Summary

Permanent Item Numbers           0002, 0006, 0010, 0011

Federal Register Notice

Publication Date

Copies Requested                   0

Comments Received                 0