



U.S. Department
of Transportation
Maritime
Administration

MANUAL OF ORDERS

MARITIME ADMINISTRATIVE ORDER

REVOKES
MAO 250-3, dtd.
2-25-74

NO. 250-3

EFFECTIVE DATE
May 5, 1988

SUBJECT

RECORDS MANAGEMENT PROGRAM

Section 1. Purpose:

This order establishes a Records Management Program within the Maritime Administration and sets forth policy, responsibilities, and procedures for the conduct of the program. This order supplements the provisions of 36 CFR Chapter XII, 41 CFR Parts 201-22 and 201-45, and Department of Transportation Orders 1324.2, Department of Transportation Records Retention and Disposition Program; 1351.1, Public Reporting and Recordkeeping Policy; 1630.2, DOT Personnel Security Handbook; and 3293.1, Maintenance of Personnel Records Under the Privacy Act of 1974.

Section 2. Policy:

It is the policy of the Maritime Administration that all important policies and decisions be recorded and preserved with other records of continuing value; that paperwork and duplicate records be kept to a minimum; that records and files be kept in an orderly manner; that inactive records not eligible for destruction be promptly scheduled and sent to a Federal Records Center; that all nonrecord materials be destroyed as soon as they have served their purpose; and that recordkeeping equipment be issued only on the basis of established need.

Section 3. Definitions:

3.01 Definitions of records, nonrecord materials, file stations, disposition, disposal, records centers, and record schedules are located in DOT Order 1324.2.

3.02 Records Liaison Officers - Persons designated by the Region Directors and the Superintendent, U.S. Merchant Marine Academy, to maintain a records program within their respective areas.

3.03 Office Records Custodians - Persons designated by Associate Administrators, Office Directors, Region Directors, and the Superintendent of the U.S. Merchant Marine Academy to maintain records at each official file station.

Section 4. The Records Management Program:

4.01 The Records Management Program is administered by the Office of Management Services through a Records Management Officer, who provides overall direction and control. The Records Management Officer also serves as Chief of the Records Management Branch. Day-to-day operation of the Records Management Program is a joint undertaking of the Office Records Custodians, Records Liaison Officers, Records Management Branch staff, Associate Administrators, Region Directors, Office Directors, and the Superintendent of the U.S. Merchant Marine Academy, all working in concert.

4.02 The official records of the Maritime Administration are maintained on a decentralized basis in a series of official file stations established at the lowest practicable level of organization.

Section 5. Responsibilities:

5.01 The Records Management Officer shall:

- 1 Exercise authority to protect and preserve Maritime Administration records consistent with program requirements.
- 2 Conduct regular and unscheduled surveys of record holdings and report the findings to the Associate Administrator for Administration through the Director, Office of Management Services.
- 3 Resolve unsatisfactory records management practices with Office Directors, summarizing these efforts in writing, and offer recommendations for corrective action.
- 4 Provide training to persons assigned as Office Records Custodians through records management classes conducted by personnel of the Records Management Branch.
- 5 Work closely with Records Liaison Officers, providing assistance and guidance as requested.
- 6 Authorize the issuance and return of filing equipment and evaluate new records equipment. Periodically conduct equipment surveys and recommend funds for new or replacement equipment.
- 7 Establish, maintain, and enforce a records control schedule for the Maritime Administration.
- 8 Advise program officials on appropriate retention periods for records the Maritime Administration requires its contractors or others to maintain.
- 9 Provide liaison with the Department on records management matters.
- 10 Administer the Micrographics Management Program within the Maritime Administration consistent with the policies promulgated by the Department of Transportation and the General Services Administration.
- 11 Perform the Records Management Officer's functions specified in DOT Order 1324.2.

5.02 Associate Administrators, Office Directors, Region Directors, and the Superintendent of the U.S. Merchant Marine Academy shall:

- 1 Assure that inactive records not eligible for destruction are promptly scheduled and sent to a Federal Records Center and that all nonrecord material, including work papers and ADP source material, are destroyed as soon as they have served their purpose.
- 2 Select, identify, and update all records falling within the vital records criteria established by the Office of Policy and Plans, and deliver these records to the Records Management Officer for appropriate action.
- 3 Provide proper security and protection for classified and Privacy Act records in their custody.

5.03 Personnel officials maintain employee personnel folders and other official personnel records, as an exemption to the provisions of this order, as prescribed by the Office of Personnel Management and Department of Transportation or other applicable personnel regulations. They transfer such records to and return from the National Personnel Records Center (civilian personnel records) at St. Louis, Missouri. However, all other records and nonrecord materials within these offices are to be maintained and disposed of in accordance with the provisions of the Maritime Administration Records Control Schedule or the General Records Schedule, as applicable.

Section 6. Release of Information:

Release of information to the public is governed by the provisions of DOT Order 1210.5, DOT Public Affairs Management Manual.

Section 7. Records Disposition and Retrieval:

7.01 Office Records Custodians in Washington, D.C., shall contact the Records Management Branch to arrange for transfer of records (accession) to a Federal Records Center, except for those exempted in subsection 5.03, before listing and packing the records. This branch will check the records proposed for transfer and assure removal of all duplicate records and material not eligible for storage. Office Records Custodians shall identify records as they appear in the applicable records schedule and submit a Supplemental Box/Folder List before preparing an SF-135, Records Transmittal and Receipt. The custodian retains one copy of the listing and forwards the original to the Records Management Branch for approval and arrangement for pickup and transfer of the records.

All boxes packed for accessioning must be clearly marked to identify the agency, i.e., Maritime Administration, the name of the office retiring the records, record series, the accession number on SF-135, and the carton number.

7.02 Records Liaison Officers shall arrange transfer of records in field offices to the Regional Federal Records Center in their respective areas and forward a copy of each SF-135, Records Transmittal and Receipt, and Supplemental Box/Folder list to the Records Management Officer.

7.03 All donations, transfers, and sales of records shall be made in compliance with applicable National Archives and Records Administration Regulations, Federal Information Resources Management Regulations, and appropriate Departmental orders.

7.04 Records shall be removed, mutilated, destroyed, or disposed of only in accordance with existing laws and regulations. Instances of unauthorized records disposition should be reported to the Records Management Officer. Employees leaving the Maritime Administration shall not take records with them without the permission of the Records Management Officer and the Associate Administrator or the director of the office concerned.

7.05 Office Records Custodians in Washington, D.C., desiring retrieval of records from a Federal Records Center shall contact the Records Management Branch and identify the records by accession and carton number. This branch will arrange for retrieval and delivery of the records to the requesting office. When the records are ready for refile, arrangements will again be made through the Records Management Branch.

7.06 Records Liaison Officers shall establish similar procedures with the applicable Federal Records Center serving their area.

Section 8. Scheduling of Records:

8.01 The Maritime Administration Records Control Schedule, published in manual form, and the General Records Schedules issued by the General Services Administration are the sole authorities for the disposition of Maritime Administration records, except for specific personnel records exempt in subsection 5.03 above. Included in the Records Control Schedule, concurred in by the General Accounting Office and approved by the Archivist of the United States, are record series descriptions and retention periods; identification of Privacy Act and permanent (archival) records and nonrecord material; and instructions for files maintenance and disposition.

8.02 The Maritime Administration Records Control Schedule shall be kept current by the Records Management Officer in Washington, D.C., and the Records Liaison Officers in the field by obtaining from the appropriate offices information regarding any record series which should be included in or deleted from the schedule, or any other revisions that should be made.

8.03 All contracts requiring the public to retain specified records shall include fixed periods of time after which the records need not be retained.

A handwritten signature in cursive script that reads "Earnest Hawkins".

EARNEST HAWKINS
Associate Administrator
for Administration