

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1 FROM (Agency or establishment)
National Oceanic and Atmospheric Administration

2 MAJOR SUBDIVISION
National Ocean Service

3 MINOR SUBDIVISION
Alaska Region

4 NAME OF PERSON WITH WHOM TO CONFER
Annie Baker

5 TELEPHONE
(301) 713 - 3540

LEAVE BLANK (NARA use only)

JOB NUMBER
71-370-02-3

DATE RECEIVED
9/6/2002

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE
11-21-03

ARCHIVIST OF THE UNITED STATES
John W. Paul

6 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 on the attached _____ page(s) are not now 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 8-27-2 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Annie Baker</i> | TITLE Records Management Officer |
|----------------|--|-------------------------------------|

| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
|-----------------|--|--|---------------------------------------|
| | NOAA Disposition Handbook Chapters 1609 Please see attached | | |

NOAA
National Ocean Service (NOS)
Office of Coastal Resource Management (OCRM)
Records Disposition Schedule

Marine Sanctuaries

Records supporting the functions created as a result of the Coastal Zone Management Act (CZMA) and the National Marine Sanctuaries Act Supports effective management of multiple uses of the nation's coastal and ocean resources: protecting and conserving specially designated areas; working with partners at all levels; balancing economic, environmental, and cultural activities; adapting the system to changing conditions and needs; enabling others to practice coastal stewardship; and promoting science-based resource management decisions.

1609-01 Sanctuary Designation Files (New Item)

Files documenting the official designation of a Marine Sanctuary Also called the "Administrative Record " Includes Public Hearing Files, Public Comments, workshop results and recommendations.

Authorized Disposition:

- A Designation Files consisting of designation determination and findings, the public draft and final management plan for the sanctuary, and the draft and final environmental impact statement (EIS): **Permanent.** Cut off at the end of the calendar year in which the corresponding site is no longer active. Transfer to NARA 10 years after cut off
- B Supporting materials consisting of preliminary drafts, public comments, workshop workpapers, correspondence, regulatory packages and similar documentation accumulated during the processing of the designation determination, management plan and EIS: **Temporary.** Cut off annually Destroy 30 years after the year in which the files were cut off.

1609-02 Plan Review and Revision Files (New Item)

Files documenting periodic revision of a Marine Sanctuary management plan, beginning with the issuance of a State of the Sanctuary Report and ending with the completion of a revised management plan and final EIS or environmental assessment.

Authorized Disposition:

- A. Revision Files consisting of State of the Sanctuary Report, draft and final revised management plan, draft and final EIS or environmental assessment (EA), and, if created, revised designation determination. **Permanent.** Cut off at the end of the calendar year in which revision is completed. Transfer to NARA 25 years after cut off

- B. Supporting materials consisting of preliminary drafts, public comments, correspondence, regulatory packages, workpapers and similar documentation accumulated during the revision: **Temporary**. Cut off annually. Destroy 30 years after the year in which the files were cut off.

1609-03 Site Evaluation List (SEL) and Files (New Item)

The SEL identifies marine with high natural resource values and with historical qualities of special national significance that are highly qualified for further evaluation for possible designation as National Marine Sanctuaries.

Authorized Disposition:

- A. Site Evaluation List. **Permanent**. Cut off after list is updated or becomes obsolete. Transfer to NARA 25 years after cut off.
- B. Site Evaluation Files. **Permanent**. Cut off when site is removed from SEL or SEL becomes obsolete. Transfer to NARA 25 years after cut off

1609-04 Environmental Impact Statements (EIS) and Environmental Assessments (EA) (New Item)

Documents that record the effort to protect the environment in carrying out federal programs. Depending on the level of complexity of the project, either an EA or EIS will be prepared. Includes both the draft EA/EIS and the final EA/EIS. The EA/EIS includes a description of the proposed project, a description of the existing environment of the project, an analysis of the project's possible environmental effects, and an examination of alternative courses of action. A final EA will also include either a Finding of No Significant Impact or a further analysis in an EIS.

Authorized Disposition:

- A. Final Reports **Permanent**. Cut off at the end of the calendar year in which the project is completed. Transfer to NARA 25 years after the calendar year in which the file was cut off.
- B. Drafts/working papers. **Temporary**. Destroy 10 years after final report is created

1609-05 National Marine Sanctuary Permit Files (New Item)

This category includes documents related to the application for and processing of applications to conduct activities within a NMS that would otherwise be prohibited by regulations for that Sanctuary. This includes permits processed pursuant to 15 CFR 922.48 and site specific regulations, authorizations processed pursuant to 15 CFR 922.49, certifications processed pursuant to 15 CFR 922.47, and special use permits processed pursuant to section 310 of the National Marine Sanctuaries Act. Documents under this category include materials submitted by an applicant in support of their application (cover letter, a project summary or abstract, technical information,

a description of environmental consequences and how the results will be treated, and any other supporting information), correspondence between the NMSP and the applicant, signed and dated permits or other letters of approval or disapproval, and records pertaining to an appeal.

Authorized Disposition:

Temporary. Cut off at the end of the calendar year in which the permit expires. Destroy 5 years after cut off.

1609-06 Sanctuary Permitting and Information Tracking System (SPITS)

Database Files

SPITS is used to track the processing of NMS permit applications. It contains information relevant to each permit applicant such as the applicant's personal information, details of the proposed activity, dates, permit conditions, and reporting requirements.

Authorized Disposition

A. *Information within system:* **Temporary.** Destroy 5 years after the end of the calendar year in which the permit expires or when no longer needed for reference, whichever is longer.

B. *Documentation about the development of SPITS.* **Temporary.** Cut off when SPITS is no longer in use. Destroy 6 months after cut off.

C. *System Inputs* (sanctuary permit files): **Temporary.** Follow disposition instructions under 1609-05

D. *System Outputs* (printouts of SPITS information). **Temporary** Destroy when no longer needed for reference.

1609-07 Emergency Response, Damage Assessment and Restoration Files (New Item)

Project records for specific incidents that occur in the Sanctuaries, which have damaged or could result in damage to Sanctuary resources. These incidents include vessel groundings, oil spills, aircraft accidents, etc. The project record includes financial documentation, descriptive resources, injury assessments, plans for restoring the damaged resources, studies and analysis, and working papers. They may also include engineering plans and drawings, maps, aerial photos, and other graphic materials. Files are made up from many media forms, including paper, video, slides, and digital images.

Authorized Disposition:

A. Historical Documentation consisting of correspondence with the Responsible Party(s), final settlement documents, injury assessment report, video/digital images, restoration and monitoring plan, restoration project report, monitoring results, and summary cost information:

Permanent. Cut off at the end of the calendar year in which the project is completed. Transfer to NARA 30 years after cut off.

B. All Other Documentation: **Temporary.** Cut off at the end of the calendar year in which the project is completed. Destroy 20 years after cut off.

1609-08 Radio-Active Waste Dump Site Files (New Item)

All information on the radio active waste site (covering 350 square nautical mile area of the Gulf of the Farallones). These files are used to assess the dumping from 1947 to 1970 of (50,000) 55 gallon drums and to evaluate the research from 1970 to present.

Authorized Disposition:

Permanent. Cut off annually. Transfer to NARA 30 years after cut off

1609-09 Oil Spill Trusteeships (New Item)

Files covering the development and implementation of oil spill evaluations, and project overview and responsibility of funds authorized for oil spill restoration.

Authorized Disposition:

Temporary. Cut off at the end of the calendar year in which the project is completed. Destroy 20 years after cut off.

1609-10 Oil Spill Restoration (New Item)

All activities conducted by the sanctuary and others during and after the spill. They also contain the record of decision, court records, NRDA, MOU'S and other documents prior to restoration; and the entire restoration files including the monitoring of the projects.

Authorized Disposition:

Temporary. Cut off at the end of the calendar year in which the project monitoring is complete. Destroy 20 years after cut off.

1609-11 Permit Review, Environmental Impact Statement (EIS) Review, and Inter-Agency Consultation Files (New Item)

Correspondence pertaining to review of permits issued by other Federal agencies relating to activities in Marine Sanctuaries; correspondence, technical reports, comments, conversations and research associated with review of state EIR (Environmental Impact Reviews) and other federal agencies EIS; and correspondence and recommendations relating to inter-agency consultations on actions that could affect a Marine Sanctuary.

Authorized Disposition:

Temporary. Cut off at the end of the calendar year in which the review or consultation is completed. Destroy 5 years after cut off.

1609-12 Non-Profits (New Item)

Records of non-profit organization's activities conducted in Sanctuaries for which NOAA has oversight responsibility. Used for monitoring activities within these Sanctuaries. Includes letters of position, reviews of proposals, and contributions

Authorized Disposition:

Temporary. Cut off annually. Destroy when 10 years old.

1609-13 Law Enforcement (New Item)

Phone reports, actions, depositions, fines, agency interactions and case movement of activities reported to have occurred within the Sanctuaries.

Authorized Disposition:

Temporary: Cut off when case is resolved. Destroy 20 years after cut off

1609-14 Volunteers - Programmatic (New Item)

Maintain all data collected and correspondence associated with scientifically trained volunteers in the Sanctuaries

Authorized Disposition:

A. Paper. **Temporary.** Cut off annually. Destroy 5 years after cut off.

B. Electronic files (working files): **Temporary.** Cut off annually. Destroy 5 years after cut off.

1609-15 Reserved: NOAA's ARCH (National Marine Sanctuary Archeological Site Database) [covered by NARA Job No. N1-370-03-7]

1609-16 National Marine Sanctuary Geographic Information Systems (NMSGIS) (New Item)

Systems used by Sanctuary sites and at headquarters to provide coverage of the uses, natural resources, research, and monitoring activities in the Sanctuaries and flora and fauna surveys. These systems can encompass the following resources and topics of concern. fish populations, benthic invertebrates, oceanographic conditions, sea turtle satellite tracking, and visitor use. These resources were determined to be of significant importance to National Marine Sanctuaries (NMS) during the planning of the designation and subsequent establishment of the management and research studies plan.

The systems can include data on the following topics: fish count data, invertebrate photo quadrant data, species lists, ROV data, visitor use, sea turtle tracking data, boundary data, bathymetry, coastal counties, cities, rivers, coastline, nautical charts, USGS charts, hard bottom mapping, side scan imagery and bathymetry imagery. This data is used as a tool for management, research, resource protection, education, and emergency response

Authorized Disposition:

- A. *Information within System*: Delete when 10 years old or when no longer needed for reference purposes, whichever is longer.
- B. *System Documentation*: Destroy 6 months after system is terminated.
- C. *System Inputs* (quarterly fish data, various surveys) Destroy after verification of data in the system.
- D. *System Outputs* (Research status reports, State of the Reef report, and long term monitoring): Destroy when 10 years old or when no longer needed as a reference..

1601-09 Reference Data Base (New Item)

A database listing reference materials available in the office, containing titles and reference data for publications. The database is used to control and locate the reference material

Authorized Disposition:

- A. *Information within System*: Delete when related reference materials are destroyed.
- B. *System documentation*: Destroy 6 months after system is terminated.
- C. *System Inputs* (reference materials 100-04): Follow disposition instructions for related records
- D. *System Outputs* (printout of references available): Follow disposition instructions for related records.

1601-05 Electronic Copies

Word processing, spreadsheet, e-mail and other electronic copies used to create file copies of official records.

Authorized Disposition:

Delete when recordkeeping copy has been produced.