

FFB 4/25/2002

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
Office of Coast Survey

4 NAME OF PERSON WITH WHOM TO CONFER
Annie Baker

5 TELEPHONE
(301) 713 - 3540

LEAVE BLANK (NARA use only)

JOB NUMBER *N1-370-00-3*

DATE RECEIVED *8/7/2000*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 *4-25-02* 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 9 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 *8-4-00* SIGNATURE OF AGENCY REPRESENTATIVE *[Signature]* 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Chapter 1604, 1608, and 1601 See attached		

cc Agency, NR, NWMW, NWMD, NWME, NWES

**NOAA
National Ocean Service (NOS)
Office of Coast Survey (OCS)
Records Disposition Schedule**

October 19, 2001

The specific activities of the Coast Survey include maintaining and improving the national suite of 1,000 nautical charts, conducting and processing marine hydrographic (sounding) surveys, evaluating other source data, and applying these data to nautical charts. Specifically, the Marine Chart Division collects marine navigational data to construct and maintain nautical charts and related marine products for the United States. The Nautical Services Division provides a focal point for customer requests and associated responses on charting issues, short-term (fast response) hydrographic surveys, and maintains Coast Pilot volumes. In addition, the Hydrographic Surveys Division develops survey specifications and directs the field programs carried out by ship- and shore-based survey units and contractors. The Coast Survey Development Laboratory also carries out technological development activities to improve the efficiency and productivity of data collection, chart compilation, and chart production.

Nautical Mapping and Charting

The Nautical Mapping and Charting function is used for the aggregation of information from external sources and the production of charting products. They are also used to represent U.S. civil mapping and charting interests to the general public and other private, public and international organizations. Nautical Charting acquires and manages all mapping and charting data used in the compilation of nautical charts.

1604-01 Requirements & Planning Files (Supersedes 1604-01)

Documents relating to the development of plans and schedules for marine charting projects. Includes "action request" documents from external parties for new or revised chart coverage, and requests for hydrographic surveys as related to nautical charting. Approved specifications are copies and incorporated into the chart history files.

Disposition Authority:

Destroy three years after related chart is cancelled.

1604-02 Chart History Files (Supersedes 1604-05; 1604-16)

Documents identifying all chart letters, blueprints, Notice to Mariners, digital documents, and other sources used in the compilation of a chart edition and approved specifications that apply to each chart.

Authorized Disposition:

- A. Recordkeeping paper copy: Permanent. Cut off when chart is cancelled. Transfer to NARA 30 years after cut off.
- B. Digital image files (working files): Delete when no longer needed for reference.
- C. Chart Document Logging Sheets (metadata used for security copy). Cut off when chart is cancelled. Destroy when 30 years old.

1604-03 Chart Source Documents (Supersedes 1604-06 and 1604-07)

Source documents used for the creation of charts. Includes Chart Letter Files (correspondence and other letter-size source revision documents used in the compilation of a chart edition and Coast Pilot editions), Chart Blueprint Files (graphics, engineering drawings, and diagrams supplied in an analog format providing revision data used in the compilation of a chart edition), and other source documents used in the compilation of a chart edition. The revisions are outlined or noted on the Nautical Chart Source Standards

Authorized Disposition:

- A. Paper: Cutoff when no longer needed to create or update a chart. Convert to microfilm as files become inactive. Destroy paper records after completion of microfilm quality review.
- B. Microfilm: Retire to a records storage facility after completion of quality review of microfilm. Destroy when 30 years old, or no longer needed, whichever is later.
- C. Digital image files (TIFF working copy): Delete when no longer needed for reference.

1604-04 Notice to Mariners Files (Supersedes 1604-08)

Navigation safety publications provided by the US Coast Guard Districts and National Imagery and Mapping Agency, and annotated by NOS for compiling new aid to navigation information on a chart edition. The publications used are noted on the Drawing/Aid Proofs (1604-07) of each chart edition.

Authorized Disposition:

- A. Paper (working files). Destroy when three years old or no longer needed for chart revisions, whichever is later
- B. Bound Volumes: Cut off annually. Retire to a records storage facility when no longer needed for future research. Destroy when 30 years old, or no longer needed, whichever is later.

1604-05 Bridge and Cable Clearance Files (Supersedes 1604-09)

Reports used for charting clearances of bridges and cables that pass over waterways and are charted with appropriate navigational data. Information is provided by the US Coast Guard, permits by the US Army Corps of

Engineers, and occasionally other sources, then evaluated and prepared by National Ocean Services (NOS).

Authorized Disposition:

- A. Recordkeeping paper copy: Cut off annually. Retire to a records storage facility after digitizing. Destroy when 30 years old, or no longer needed, whichever is later.
- B. Digital Image Files (working copy): Destroy when no longer needed for chart revisions.

1604-06 Nautical Chart Source Standards Files (Supersedes 1604-10)

Copies of nautical charts annotated with source revision documents, including chart letter files, chart blueprint files, and digital documents, or other sources for use in compilation of a chart edition or as an index sheet.

Authorized Disposition:

- A. Recordkeeping paper copy: Cut off annually. Retire to a records storage facility after completion of quality review of microfilm. Destroy when 30 years old, or no longer needed, whichever is later.
- B. Microfilm (working copy): Delete when no longer needed for reference.

1604-07 Drawing Aid/Proof Files (Supersedes 1604-11)

Maintenance drawings (plastic transparencies) showing all revisions made to a chart edition, including changes on aids to navigation (buoys, lights) and other chart features.

Authorized Disposition:

- A. Paper/Mylar (working copy): Cut off when superseded, then convert to microfilm. Destroy paper/mylar copies after completion of microfilm quality review.
- B. Microfilm: Cut off annually. Retire to a records storage facility after completion of quality review of microfilm. Destroy when 30 years old, or no longer needed, whichever is later

1604-08 Nautical Reproduction Proof Files (Supersedes 1604-13)

Film positives of nautical charts used for reprinting charts.

Authorized Disposition:

Destroy when new edition is created.

1604-09 Published Nautical Map and Chart Files (Supersedes 1604-04; 1604-14)

Every edition of every nautical chart, bathymetric map, and special purpose map compiled and printed by the agency. Hard copy indexes to the charts are organized in four volumes according to geographic area.

Authorized Disposition:

Recordkeeping paper copy: Permanent. Cut off annually. Transfer to NARA 10 years after cut off with related indexes.

1604-10 Coast Pilot Volumes (Supersedes 1604-12; 1604-15)

A series of nautical books that cover a variety of information important to navigators of coastal and intracoastal waters and the Great Lakes. These provide textual navigation information that supplements the graphic data on nautical charts. New editions are released every 1-2 years.

Authorized Disposition:

- A. Recordkeeping paper copy: Permanent. Cut off when superseded by new edition. Transfer to NARA 30 years after cut off.
- B. Distribution and Working Copies (electronic; paper): Destroy or delete when no longer needed for administrative or legal research.

1604-11 Geographic Names Standards Files (Supersedes 1604-17)

These files are current edition nautical charts annotated with official, approved geographic names and with the latest revisions and corrections to geographic names. This annotated chart standard is registered as source with additional pertinent information submitted in chart letters and is applied to new chart editions and marine products i.e. United States Coast Pilots.

Authorized Disposition:

Destroy when new chart edition is released and annotated.

1604-12 Electronic Navigational Chart (ENC) Production System (New Item)

The purpose of the system is to build and maintain the National Suite of ENC charts which serves the National and International commercial and recreational marine navigation communities. These data are used with Electronic Chart Display and Information Systems (ECDIS) and Electronic Chart Systems (ECS). The content of the system is marine charting features and associated attributes, metadata, and history information in the IHO S-57 formats. The system is based on Laser-Scan Automated Map Production System 2 (LAMPS2) GIS.

Authorized Disposition:

- A. *Information within system (data)*: Retain data until superseded, then delete when no longer needed for distribution or reproduction.
- B. *System documentation*: Destroy 6 months after system is terminated.
- C. *System inputs*: (data from NOS Hydrographic program, U.S. Coast Guard, U.S. Corps of Engineers, Mineral Management, states and port authorities, 1604-04, 1604-05, 1604-06, 1604-11): Follow disposition instructions for related records.

- D. *System outputs*: [published map and chart files (1604-09)]: Follow disposition instructions for related records
- E. *System outputs*: (other than NOAA products; includes ad hoc reports on demand, working files, electronic copies): Retain for 6 months after generation, then destroy or delete when no longer needed for reference.

1604-13 SCARS Chart Production System (New Item)

This system is used to produce raster charts. The system works with multiple raster layers that when put together make a raster presentation of the chart and a lithographic paper chart. The raster charts are released to the public in the BSB format which fuels multiple vendor ECS systems and is available to the public with weekly update service. This data is used with ECS systems by the navigational marine public. The system contains multiple CADD files that are used to produce the over one thousand suite of NOAA Nautical charts which are offered to the public in the BSB digital Raster format and as a lithographic paper product. The BSB digital Raster product is offered to the public as a new periodic edition that matches the lithographic paper chart edition and with weekly updates for Notice to Mariners. The weekly updates are provided to the subscribers of the Weekly Update Service via an email patch file process.

Authorized Disposition:

- A. *Information within system (data)*: Retain data until superseded, then delete when no longer needed for distribution or reproduction.
- B. *System documentation*: Destroy 6 months after system is terminated.
- C. *System inputs*: (data from NOS Hydrographic program, U.S. Coast Guard, U.S. Corps of Engineers, Mineral Management, states and port authorities, 1604-04, 1604-05, 1604-06, 1604-11): Follow disposition instructions for related records.
- D. *System outputs*: [published map and chart files (1604-09)]: Follow disposition instructions for related records.
- E. *System outputs*: (other than NOAA products; includes ad hoc reports on demand, working files, electronic copies): Retain for 6 months after generation, then destroy or delete when no longer needed for reference.

Hydrographic Surveys

The Hydrographic Survey function coordinates the acquisition and processing of precisely located geographic data in the marine environment. Hydrographic surveys are conducted to determine the configuration of the bottoms of water bodies, especially as it pertains to navigation. This includes the detection, location, and identification of wrecks and obstructions primarily through the use of side scan sonar and multibeam sonar technology. Other features important to marine navigation such as landmarks and aids to navigation are also accurately positioned. This information is critically important to the production of nautical charts while also benefitting the fishing industry and coastal zone managers.

1608-01 Project Instruction Files (Supersedes 1608-01)

Project Instructions, Letter Instructions, and Statements of Work, including all changes, for hydrographic surveying projects assigned to NOAA field units and contractors.

Authorized Disposition:

Cut off at end of fiscal year when project is completed. Retain for 10 years, then destroy when no longer needed for reference.

1608-02 Project Planning and Coordination Files (Supersedes 1608-02)

Documents relating to the development of plans, priorities, schedules, and coordination of hydrographic projects with field parties and program offices.

Authorized Disposition:

Cut off annually. Retire to a records storage facility 5 years after cut off. Destroy 8 years after cut off.

1608-03 Survey Standards Files (Supersedes 1608-04)

Documents pertaining to the review and maintenance of quality standards for hydrographic data, the methods and procedures for obtaining that data, and final products. Documents proposed for transfer to NARA include the Hydrographic Manual, Specifications and Deliverables document, and Hydrographic Survey Guidelines. Working files include in-house directions, administrative files, and the Field Procedures Manual.

Authorized Disposition:

- A. Standards: Permanent. Cut off when new standards are created, then retire to a records storage facility. Transfer to NARA 5 years after cut off.
- B. Working files: Destroy three years after creation of related standard.

1608-04 Hydrographic Survey Data Files (Supersedes 1608-05, 1608-06, 1608-10)

Basic hydrographic data obtained from surveys. May include one or all of the

following: graphic depth records, sounding volumes and digital sounding data, horizontal control data; wire drag data; Field (Boat) Sheets; preliminary smooth sheets; field reports on corrections and adjustments to survey data, and digital field sheets.

Authorized Disposition:

Recordkeeping copy (paper, electronic): Cut off annually. Destroy 100 years after cut off, or when no longer needed for research purposes, whichever is later.

1608-05 Hydrographic Surveys (Smooth Sheet Files) (Supersedes 1608-07, 1608-08; excludes surveys covered under job N1-370-89-2). Formally approved manuscripts of hydrographic surveys.

Authorized Disposition:

- A. Recordkeeping copy (Linen/Mylar): Permanent. Transfer to NARA after verification of scanned image.
- B. Digital Image Files (PDF, TIFF working files): Delete when no longer needed for reference or updating.

1608-06 Hydrographic Descriptive Report Files (Supersedes 1608-09; N1-370-89-2)

Narrative reports describing the methods, conditions, control data, and other information that supplements the approved survey sheet (1608-05) For Topographic Descriptive Reports, see 1606-04

Authorized Disposition:

- A. Recordkeeping paper copy: Permanent. Transfer to NARA with related survey(s) after verification of scanned image.
- B. Digital Image Files (PDF working files): Delete when no longer needed for reference or updating.

1608-07 Register and Indexes to Hydrographic Surveys (Supersedes 1608-11 and 1608-12)

Descriptive Register of survey sheets and indexes (in map or other forms) that show the extent of survey coverage.

Authorized Disposition:

- A. Recordkeeping paper copy (1837-1990): Permanent. Cut off when records are converted to an electronic format Transfer to NARA with related surveys (1608-05) after cutoff.
- B. Electronic copies (1608-09A; 1608-10A). Follow disposition instructions for related records.

1608-08 Automated Wreck & Obstruction Information System (AWOIS) (New Item)

Electronic Information System used within the National Oceanic & Atmospheric Administration (NOAA), specifically within National Ocean Services (NOS), to provide information about wrecks and obstructions and as a planning tool for determining the level of effort within a hydrographic survey project to investigate and to verify or disprove the assigned AWOIS items. AWOIS was implemented in 1987.

Authorized Disposition:

- A. *Information within system* (textual data): Permanent. Cut off annually. Transfer a copy of the data to NARA after cutoff in 5-year blocks.
- B. *Information within the system* (image files): Delete when no longer needed for updating or reference.
- C. *System documentation*: Permanent. Transfer to NARA with related data files.
- D. *System inputs* [NOS hydrographic surveys (1608-05), Descriptive Reports (1608-06)]: Follow disposition instructions for related records.
- E. *System inputs* (External information collected for system, e.g., wreck and obstruction information from the US Army Corps of Engineers, US Navy, US Coast Guard, commercial fishermen, scuba divers, and others concerned with locating and identifying wrecks and obstructions): Destroy after data is entered into the system and verified.
- F. *System outputs* (printouts, diskettes): Destroy or delete when no longer needed for reference or dissemination.

1608-09 Hydrographic Survey Index System (SURDEX) (New Item)

Automated indexing system used within the National Ocean Service (NOS), Hydrographic Survey Division (HSD), for delineating the limits of over 11,000 individual hydrographic surveys. Consists of individual hydrographic survey boundaries or polygons. These records are linked to HYDEX, which produces the survey metadata. This is a Geographical Information System used for hydrographic survey data management, data visualization, spatial queries, and analysis.

Authorized Disposition:

- A. *Information within system* (textual data, image files): Retain for the life of the corresponding survey, then delete when no longer needed for updating or reference.
- B. *System documentation*: Destroy 6 months after system is terminated.
- C. *System inputs*: [boundaries and survey metadata from current hydrographic surveys (1608-05, 1608-06, 1608-07)]: Follow disposition instructions for related records.

- D. *System outputs* (electronic; paper reports and printouts not covered under subitem E): Destroy or delete when no longer needed for reference.
- E. *System outputs* (paper printouts of survey indexes for 1990-forward): Permanent. Transfer to NARA with related surveys (1608-05A).

1608-10 Hydrographic Survey Data Information Extract (HYDEX) (New Item)
Automated database used within the National Ocean Service (NOS), Hydrographic Survey Division (HSD), for archiving of textual information about hydrographic surveys. Contains approximately 11,000 metadata records used as the official HSD survey reference listing. Database will serve as a finding aid for surveys (1608-05A) transferred to NARA

Authorized Disposition:

- A. *Information within system* (textual data): Permanent. Cut off annually. Transfer a copy of the data to NARA after cutoff in accordance with 36 CFR 1228.270.
- B. *System documentation*: Permanent. Transfer to NARA with related data files.
- C. *System inputs* [hydrographic survey metadata (1608-07)]: Follow disposition instructions for related records.
- D. *System outputs* (paper, electronic): Destroy or delete when no longer needed for reference.

1608-11 Quality Assurance and Control Files (New Item)
Paper and electronic working files used to verify the quality and accuracy of scanned images of the Descriptive Reports (1608-06) and Surveys (1608-05). Records are also used to monitor the status of the scanning project, including production statistics.

Authorized Disposition:

Delete or destroy after scanned image is verified.

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.