

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-370-90-3

DATE RECEIVED

4/6/90

TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment)

U.S. Department of Commerce, NOAA

2. MAJOR SUBDIVISION

National Marine Fisheries Service

3. MINOR SUBDIVISION

Management and Budget Office

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER

Harold Hagwood

5. TELEPHONE EXT.

427-2245

DATE

12/9/92

ARCHIVIST OF THE UNITED STATES



6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 29 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

4/3/90

C. SIGNATURE OF AGENCY REPRESENTATIVE

Naisy O. Kiers

D. TITLE

NOAA Records Officer

7. ITEM NO.

1501-1515

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

National Marine Fisheries Service

The National Marine Fisheries Service administers a NOAA marine fisheries program to promote the conservation, management, and development of living marine resources for commercial and recreational use. The program includes services and products to support the administration of NOAA's fisheries management operations; international fisheries affairs; fishery development and industry assistance activities; protected species and habitat conservation operations; fisheries marine mammals and endangered species enforcement; and the scientific and technical aspects of NOAA's marine fisheries resources program.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

All changes to this proposed schedule have been approved by:

Felix Payne 11/23/92
NARA appraiser date

Naisy O. Kiers 11/18/92
Agency representative date

Copies sent to NSR, NN-W, NNS, NNT, NOR 12/17/92

APPENDIX TO NOAA FILING-DISPOSITION HANDBOOK

MAINTENANCE AND DISPOSITION
OF
FISHERY AND LIVING MARINE RESOURCE
FUNCTIONAL FILES

FUNCTION NUMBER 1500

Function number 1500 deals with programs related to fisheries and living marine resources. The first subfunction, 1501, contains files which are common to more than one of the other subfunctional areas. Office Housekeeping files and Research and Development files have been assigned separate functional numbers. The table of contents and index should be consulted.

Subfunctions described are:

- 1501 Common Mission Files
- 1502 Resource Assessment, Distribution, and Classification Files
- 1503 Environmental Impact Analysis Files
- 1504 Fisheries Management and Coordination Files
- 1505 Regional Fisheries Development Files
- 1506 Pribilof Islands Program Files
- 1507 Fisheries Statistics and Marketing News Reporting Files
- 1508 Fishery Marketing Files
- 1509 Economic Analysis Files
- 1510 Vessel Financial Services Files
- 1511 Fishery Protection and Claims Files
- 1512 Fishery Product Quality and Safety Inspection Files
- 1513 Fishery Law Enforcement and Surveillance Files
- 1514 Marine Mammal and Endangered Species Protection Files
- 1515 Marine Recreational Fisheries Program Files

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1501 COMMON MISSION FILES

These files relate to more than one of the subfunctions of this functional area, or pertain to the performance or oversight of the overall function. See Function 100 for Office Housekeeping files.

1501-01 Policy, Programs, and Plans files.

Documents relating to the development of plans and programs pertaining to ocean fisheries and living marine resource functions, and the oversight of the performance of programs which are in operation. For plans and related records which deal with more than just this functional area, or which relate to planning for the agency as a whole, see Function 200. These files may first be subdivided by program, and if necessary contain the following material (which should be maintained in separate folders):

a. Policy and plans development. Documents relating to the development of plans and policies for programs under this function. Includes published plans which may be developed, but not budget plans (see 1501-15).

b. Resource projections. Projections on resources needed to meet program plans or goals in the future. These are projections which are not created as part of the budget process.

c. Coordination files. Documents pertaining to the coordination of related programs and policies, including those of other agencies (see 1501-10 for formal agreements).

d. Guidance files. Guidance given to operating offices on policies or procedures.

e. Report files. Reports made to the office responsible for the oversight of this function, and dealing with program accomplishments or problems. See 101-12 for productivity and activity reports. ★

f. Program and policy reviews examining accomplishments and the utilization of resources, and the overall program balance.

1. Originals: Permanent.

2. Copies: Destroy when no longer needed for reference.

1. Projections duplicated in budget files: Cut off at end of fiscal year when created. Destroy 5 years later.

2. Projections not duplicated: Cut off at end of calendar year when created. Destroy 10 years later.

1. Originals: Permanent.

2. Copies: Destroy when no longer needed for reference.

1. Originals: Permanent.

2. Copies: Destroy when no longer needed for reference.

1. Originals: Permanent.

2. Copies: Destroy when no longer needed for reference.

1. Originals: Permanent.

2. Copies: Destroy when no longer needed for reference purposes.

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- 1501-01 g. Recommendations for alternative policies or programs. If recommendations become reality, transfer to "a" above.
- h. Reference files containing background information accumulated to keep staff up-to-date on developments in program areas or on actions being taken. This includes courtesy copies received from which no actions are required or taken. This material should be maintained separately from other files under this code by clearly marking it as reference material.
- 1501-02 Special Studies File. Studies conducted on subjects or matters related to this function, but which are not described under one of the subfunctions, and not a part of oversight studies described in 1501-01 above.
- 1501-03 Audit Files. Copies of audits conducted on the performance of programs under this function. See 202-02 for filing of central NOAA copy of all outside audits.
- 1501-04 Management Studies Files. Copies of management improvement studies conducted on the performance of programs under this function.
- 1501-05 Laws, Regulations, and Instructions files. Copies of laws, regulations, instructions, or guidance from higher level offices, concerning the performance of this function.
- 1501-06 Instruction and Regulation Development files. Documents pertaining to the development, issuance, and interpretation of regulations and instructions. See 1501-07 for comments on proposals.
- 1501-07 Legislation, Regulation, and Reorganization Proposal and Review Files. Recommendations for legislation or reorganizations; or reviews of proposed legislation, regulations, or reorganizations.
Note: this series does not apply to record copies maintained by central NOAA offices responsible for reviews and comments, but to input made to those offices.
- 1501-08 Congressional Relations files. Documents accumulated in operating offices in their relations with Congress, members of Congress or the public through members of Congress. See 1501-07 for matters pertaining to legislation. This file code should be used for the following material, which should be maintained in separate folders:
- a. Congressional correspondence.
1. Originals: Permanent. Transfer to FRC after 5 years. Offer to NARA after 20 years.
2. Copies: Destroy when no longer needed for reference.
- Cut off at end of calendar year when received. Annually review for disposal. Material may be destroyed at any point after being received, whenever the information is absolute or no longer of current value.
- * Cut off at end of study. Destroy 6 years after completion of study.
~~GRS Schedule 16, item 9.*~~
- * Cut off at end of fiscal year in which case is closed. Destroy 8 years after cut off. ~~GRS Schedule 22, item 2.*~~
- * Cut off at end of calendar year. Destroy 5 years after completion of study.
~~GRS Schedule 16, item 7.*~~
- ~~Destroy when superseded or obsolete.~~
- * Destroy when superseded by new instruction or publication.*
- ~~Cut off at end of calendar year when created. Destroy 2 years later.~~
- ~~Cut off at end of calendar year when created. Destroy 3 years later.~~

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- b. Briefing and related material prepared for members of Congress.
 - c. Reports for submission to Congress or its committees.

- 1501-09 Public Relations and Correspondence files. Material prepared for news articles, press releases and related issuances; speeches made by staff members; and correspondence with members of the public. This item applies to files accumulated in operating offices, and not the office which is responsible for NOAA public affairs. See 202-03 for agency level coordination with public groups.
 - * Destroy ~~1~~³ years after briefing completed.*

- 1501-10 Agreement files. Documents relating to and including agreements with other agencies, organizations within NOAA, and nongovernmental bodies. Does not include international agreements.
 - ~~1. Creating office: Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.~~
 - ~~2. Other copies held: Destroy after 6 months.~~
 - ~~1. Routine requests for information, and replies requiring no policy determination and no special research or administrative action; Destroy when 3 months old or when no longer needed, whichever is sooner.~~
 - * 2. Cut off at end of calendar year. Destroy after 2 years.
~~GRS 14, item 1.~~*
 - * Destroy 3 years after expiration of Letter of Agreement.*

- 1501-11 General Reports files. General reports concerning program activities, and not otherwise described. See Subfunction 101 for productivity and annual report input, and 1501-08 for congressional reports, **GRAND 1501-01E and 1501-01F for PROGRAM REPORTS.**
 - a. Reports to other agencies or outside bodies.
 - * a. Cut off at end of calendar year. Destroy 2 years after final reporting date.*
 - b. Internal NOAA reports
 - * b. Retain until report is superseded or cancelled. Destroy 2 years after report is cancelled.*

- 1501-12 Interagency and National Board, Panel, Committee, Conference or Liaison files. The following material may be retained under this code, and should be filed in separate folders. See 202-06 for material on advisory committees.
 - a. Files of NOAA Secretary to or for a board, panel, or committee, and containing correspondence, agendas, minutes of meeting, or reports, or studies.
 - ~~Cut off at end of calendar year when created. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA after 20 years.~~
 - b. Individual member's copies of materials in "a" above, kept for reference purposes.
 - ~~Destroy when no longer needed for reference purposes.~~
 - c. Files relating to committee's operation, but not described in "a" above.
 - ~~Destroy when 3 years old or when no longer needed for reference.~~
 - d. Files relating to conferences conducted or attended.
 - ~~Apply the disposition for the comparable committee file in "a", "b", or "c" above.~~

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- e. Liaison activities with other federal agencies, or with national committees, panels, etc.
- * Destroy when 3 years old or when no longer needed for reference, whichever is sooner. GRS 16, item 8b(2).*
- 1501-13 Intra-agency Committee and Liaison files.
- a. Documents accumulated in the operation of or attendance at committees dealing with this function and made up of only NOAA personnel.
- * a. Destroy 2 years after termination of committee. GRS 16, item 8a.*
- b. Documents relating to general liaison with other elements of NOAA. Does not include liaison on policies or plans (see 1501-01) or related to a specific project or action.
- * b. Destroy when 3 years old or when no longer needed for reference, whichever is sooner. GRS 16, item 8b(2).*
- 1501-14 Public Organization files. Documents relating to official participation by NOAA employees in public or private organizations and societies; or dealings with such groups or states if not related to a specific project. See 202-03 for agency-level coordination with public groups.
- * Destroy when 3 years old or when no longer needed for reference, whichever is sooner.**
- 1501-15 Budget files. Documents created as part of the budget cycle, in planning as part of future budget, or copies of approved budget. Subdivide by program as needed. This files series should not be used by formal budget offices (see Subfunction 203).
- ~~Destroy 1 year after close of the fiscal year covered by the budget.~~
- 1501-16 Publication and Manuscript files. Documents relating to manuscripts and publications written by the maintaining office, including review and processing files. Also reviews of manuscripts written by other offices or sources.
- a. Manuscripts written by maintaining office, and related material (reviews, clearances, etc.).
- * a. ~~Permanent. Transfer to FRC when no longer needed for frequent reference. Offer to NARA when 25 years old.*~~ **DESTROY WHEN NO LONGER NEEDED FOR FREQUENT REFERENCE**
- b. Review of manuscripts written by other sources.
- * b. Destroy ^{WHEN} ~~after~~ 3 years. **OLD. WHEN OR WHEN : YEARS OLD WHICHEVER IS SOONER**
- c. Publication Record Set files - one copy of each publication issued by the office. These publications should be marked "Record Set", and not posted or used for reference purposes.
- ** c. Permanent. ~~(NCI74-220-12-1)~~ **TRANSFER TO FRC IN 10 YEAR BLOCKS, AND TRANSFER TO THE NATIONAL ARCHIVES WHEN THE OLDEST RECORDS ARE 20 YEARS OLD.**
- 1501-17 Briefing files. Documents related to briefings prepared for agency or departmental personnel.
- * Destroy when 3 years old or when no longer needed for reference, whichever is sooner.**
- 1501-18 Training files. Documents relating to general training material developed or used for this function. See 304 if files pertain to the operation of an on-going training program, and 102 for training being requested by the office.
- * ~~Permanent. Forward to FRC when no longer needed for frequent reference. Offer to NARA when 20 years old.**~~ **DESTROY WHEN 5 YEARS OLD. (GRS 1/29)**
- 1501-19 Review and Comment files. Comments on material sent by another office for review because of its relationship to
- ** Destroy when 3 years old or no longer needed for reference, whichever is sooner.

functions performed by the commenting office. Does not include material in 1501-07 or reviews described in specific functional areas.

- 1501-20 Data Management files. Documents pertaining to the development of information systems or data bases related to this function. Includes approval of systems or base, the identification of the information to be contained, the way in which it will be organized, and similar material. This item does not apply to ADP operating facilities (see 213).
- * ~~Permanent. Transfer to FRC 3 years after system is installed. Offer to NARA after 20 years.~~
DISPOSITION NOT AUTHORIZED.
- 1501-21 Data Base or Information Set files. Collection of program-related information or data, used for reference purposes. These collections are usually created with copies of record material retained by operating offices, or other nonrecord material. Any office wishing to include record material should contact the NOAA records officer (AT/GSM24). See 1501-20 for material pertaining to the development of such collections. This item does not apply to ADP operating facilities (see 213).
- * ~~Destroy information when no longer needed for reference purposes or as data base is updated and references are no longer applicable.~~
DISPOSITION NOT AUTHORIZED.
- 1501-22 User Fee files. Documents pertaining to the establishment and collection of fees for services.
- a. Files on the establishment of a fee structure.
- * ~~a. Permanent. Transfer to FRC when no longer required for research or reference. Offer to NARA when 20 years old.~~ * DESTROY WHEN NO LONGER NEEDED, OR WHEN SUPERSEDED, WHICHEVER IS EARLIER.
- b. Files on the collection and handling of fees.
- * b. Destroy 3 years after collection of fees. GRS 6, item 4.*
- 1501-23 Information Request files. Requests for data and related information pertaining to this function. Includes requests or subscriptions, correspondence, certification material, and related documents. See 1501-09 for requests from public for general information about programs and activities.
- * Cut off at end of calendar year. Destroy after 3 years or when no longer needed for reference purposes, whichever is sooner.*

1502 RESOURCE ASSESSMENT, DISTRIBUTION, AND CLASSIFICATION FILES

These files relate to programs to assess the numbers and distribution of marine resources, to assess trends which may be developing, and to clarify types of marine life. Includes material related to commercial and recreational fisheries.

- 1502-01 Assessment Coordination files. Correspondence and related material involving coordination with other agencies, states, and institutions in the planning and operation of resource assessment activities. * Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.*
- 1502-02 Survey Operations files. Correspondence, progress reports, and related material concerning the operation of assessment surveys. * Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.*
- 1502-03 Survey Data files. Raw results of surveys and related projects. Also preliminary coordination of data and results. * Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.*
- 1502-04 Survey Report files. Final reports showing trends in resource levels or distribution, and portrayals of current biological or environmental situations. * Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.*
- 1502-05 Atlas Files. Atlases prepared showing numbers or distribution of resources. If part of report described in 1502-04 above, a copy should be filed with that report. * Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.*
- 1502-06 Taxonomical Studies files. Studies on the classification of marine life. * ~~Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.~~ DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR TRANSFER TO ANOTHER REPOSITORY IN ACCORDANCE WITH 36 CFR 1228.6
- 1502-07 Program Review files. Technical reviews of survey methods or results. * Cut off at end of program year. Destroy 3 years after completion of review.*
- 1502-08 Information Request files. Correspondence and related material prepared to respond to requests for information. ~~1. Routine requests requiring no special research or policy decisions: Destroy when 3 months old or when no longer needed, whichever is sooner.~~
- 1502-09 Research and Technique Tracking files. Documents relating to the tracking of related research being done by other offices, or of assessment techniques which may be of use. (Use 1502-02 for any material relating to a specific survey being conducted.) * 2. Other requests: Cut off at end of calendar year. Destroy after 2 years.* * Destroy after 3 years or when no longer needed for reference purposes.*

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1503 ENVIRONMENTAL IMPACT ANALYSIS FILES

These files relate to reviews of Federal, or Federally licensed, proposals for projects with potential impact on the marine and anadromous environment, and fishery resources.

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| <p>1503-01 <u>COE Section 10 Permit Review files.</u> Reviews of requests to the U.S. Army Corps of Engineers (COE) for permits for construction in, or other modifications or alterations of navigatable waters; and recommendations for approval, conditional approval, or denial of the requests, based on assessments of environmental impact.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-02 <u>NPDES Permit Review files.</u> Reviews of permit requests under National Pollutant Discharge Elimination System (NPDES), controlling effluent discharged into U.S. waters; and resulting assessments and recommendations.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-03 <u>Ocean Dumping Permit Review files.</u> Reviews of requests for Environmental Protection Agency permits for the ocean dumping of waste material, and recommendations.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-04 <u>FPC License Review files.</u> Reviews of requests for Federal Power Commission FERC (FPC) permits for hydroelectric or fossil fuel power plants, and resulting assessments, advice, and recommendations given.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-05 <u>Nuclear Power Plant REGULATORY COMMISSION License Review files.</u> Reviews of requests for licenses for nuclear power plants, and resulting assessments and recommendations.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-06 <u>OCS Oil and Gas Lease Review files.</u> Reviews of oil and gas leases on the outer continental shelf (OCS) in order to access effects on living marine resources and their habitats; and any comments or recommendations.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-07 <u>Federal Water Project Review files.</u> Reviews of proposed or authorized projects by other Federal agencies, and involving the impounding, diverting, modifying, or controlling the waters of any stream or other body of water; and any recommendations made to prevent or mitigate damage to living resources.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |
| <p>1503-08 <u>EIS Review and Assistance files.</u> Reviews of and comments on draft Environmental Impact Statements (EIS's) for Federal and Federally funded actions; and assistance given in the preparation of EIS's.</p> | <p>Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.</p> |

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- ~~1503-09 **DELETED. 10/31/91** Coast Guard Permit files. Reviews of requests for Coast Guard permits, including assessments and recommendations.~~
- 1503-10 Aquaculture Review files. Reviews of aquaculture plans and operations, and related assessments and recommendations.
- 1503-11 General Permit Review files. Reviews of and recommendations on permit requests not described by other items within this subfunction. Subdivide by permit type if necessary.
- 1503-12 CZM Advisory files. Correspondence and materials prepared to advise states and the office responsible for Coastal Zone Management (CZM) on effects of management plans and possible estuarine or marine sanctuaries.
- 1503-13 National Wetland Inventory Review files. Reviews of Fish and Wildlife inventories of national wetlands, and resulting assessments and recommendations.
- 1503-14 Special Studies files. Special studies, usually conducted in cooperation with other agencies or groups, relating to land or water projects affecting the marine or water environment or its life. **SEE 1501-16c FOR PUBLISHED STUDIES.**
- 1503-15 Agency Liaison files. General coordination with other agencies or outside bodies. Excludes specific coordination on individual permits and projects identified in this subfunction. See 1501-10 for interagency agreements.
- ~~Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.~~
- Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- * ~~Cut off at end of calendar year. Review annually for update if necessary. Destroy when superseded or obsolete.~~
DISPOSITION NOT AUTHORIZED
- Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- * ~~Cut off at end of study year. Destroy after 5 years or when no longer needed for reference purposes, whichever is sooner.~~
DISPOSITION NOT AUTHORIZED.
- * Cut off at end of calendar year. Destroy after 2 years or when no longer needed for reference purposes, whichever is sooner. *

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1504 FISHERIES MANAGEMENT AND COORDINATION FILES

These files relate to programs to coordinate plans and research of the Federal government in the area of fisheries management with those of the states; to obtain maximum uniformity of regulations; to institutionalize cooperation; to issue permits to foreign fishing vessels; to issue permits to fishing vessels; and award related grants.

1504-01 Program Correspondence files. ~~Cut off at end of calendar year when created or superseded, whichever is appropriate. Destroy 5 years later~~
Correspondence on program operations, including designations of formal contacts in the states.

1504-02 Fishery Management Guidelines files. * Cut off at end of calendar year. Review annually. Destroy when superseded or obsolete.
Guidelines developed to aid states in the management of fisheries.

1504-03 Regulation Coordination files. Documents * Retain until regulation is passed or until no longer needed for reference purposes.
relating to programs to coordinate Federal and state regulations to obtain maximum uniformity, and any recommendations resulting from this coordination.

1504-04 Research Coordination files. * Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.
Correspondence and reports relating to programs that coordinate research programs of the states and the Federal government.

1504-05 Grant Application files. Material ~~1. Accepted applications. Transfer file to 1504-06 below.~~
submitted by states applying for grants described in 1504-06 below.

CLOSED 2. Rejected applications. Destroy ³/₄ years after grant awarded. **IS REJECTED OR WITHDRAWN. (GRS 3/13)**

1504-06 **CLOSED** Grant Case files. Case files on grants **BREAK FILES ANNUALLY AND TRANSFER TO FRC. DESTROY WHEN 6 YEARS AND 3 MONTHS OLD.**
made to states for the development, implementation, administration, monitoring, or evaluation of fishery management plans or resources.

1504-07 **CLOSED** Grant Financial Data files. Any **BREAK FILES ANNUALLY AND TRANSFER TO FRC. DESTROY WHEN 6 YEARS AND 3 MONTHS OLD.**
financial reports, summaries of financing, and related material. May be filed with case file in 1504-06 above.

1504-08 Program Audit files. Reports on audits ~~Cut off at end of year when received. Destroy 5 years later.~~
made on state programs or disbursement of funds.

1504-09 Fisheries Management Studies files. ~~Permanent. Transfer to FRC when no longer needed for frequent reference. Offer to NARA after 25 years.~~
Special studies conducted on the management and conservation of fish species.

1504-10 Institutional Coordination files. * Permanent files for originating office. Transfer to FRC when 5 years old. Offer to NARA when 25 years old. Other offices destroy when superseded or obsolete.
Correspondence, reports, and other documents relating to programs to institutionalize arrangements for federal-state cooperation in fisheries management.

1504-11 Fishing Vessel Permit files. Applications and permits for vessels to fish in economic zones.

- a. Permits for foreign vessels to fish in the U.S. zone.
- b. Permits for U.S. ships to fish in foreign zones.
- c. Permits for U.S. ships to fish in the U.S. zone.

~~Cut off when permit expires or application is rejected. Destroy 15 years later.~~

- * b. Cut off at end of calendar year. Destroy 16 years after expiration of permit.
- * c. Cut off at end of calendar year. Destroy 16 years after expiration of permit.

1504-12 Legislation Review files. Reviews of proposed legislation, incorporating views of states and industry. This file pertains to coordination of reviews for fishery management legislation.

PERMANENT. TRANSFER TO THE FRC WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.

1504-13 Fishery Management Plan files. Plans developed for the management of fisheries within a region.

- * HEADQUARTERS: PERMANENT. TRANSFER TO FRC WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.
- * REGIONAL FMC FILES: PERMANENT. TRANSFER TO FRC WHEN NO LONGER NEEDED FOR REFERENCE. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.

1504-14 Fishery Management Council (FMC) Organization files. Documents relating to the formation, membership, responsibilities, etc., of FMC's.

- a. Legislation.
- b. Regulations.
- c. Charters.
- d. Council Membership.
- e. Responsibilities.
- f. Lead designations for plans.
- g. Advisory panels.

* ITEMS 1504-14 ~~a, b, c, e~~:

HEADQUARTERS FILES: PERMANENT. TRANSFER TO FRC WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.

* REGIONAL OFFICE FMC FILES: PERMANENT. TRANSFER TO FRC WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN SUPERSEDED. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.

* ITEMS 1504-14 d:
BREAK FILES EVERY 3 YEARS, OR EACH COUNCIL TERM OF OFFICE, AND TRANSFER TO FRC. DESTROY WHEN 30 YEARS OLD.

* ITEMS f, g, h:
BREAK FILES EVERY 3 YEARS OR AT TERMINATION OF PANEL OR COMMITTEE AND TRANSFER TO FRC. DESTROY WHEN 20 YEARS OLD.

1504-14 h. Scientific and statistical committees.

~~" h. Council files permanent. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years. Regions destroy 1 year after committee terminated."~~

1504-15 Fishery Management Regulation files. Documents relating to the development and publication of regulations pertaining to fisheries management (including Fishery Management Plans).

~~" 1. Management plans and general correspondence: Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA after 25 years."~~

" 2. Proposed and final rules, emergency interim rules, in-season management adjustments, and notices of hearings and meetings: Cut off at end of calendar year when created. Destroy 15 years later."

1504-16 Fishery Management Council (FMC) Operations files. Documents relating to the meetings and programs of FMC's. See 1504-13 for Fishery Management Plans, 1504-15 for regulations, and 1504-17 for FMC administrative support.

a. Meeting plans and ~~Federal Register notices.~~

* a. Destroy meeting plans after 2 years.

(1) FEDERAL REGISTER NOTICES OF MEETINGS

(1) ~~Files documenting the processing of notices announcing committee meetings in the Federal Register. Destroy 1 year after publication.~~

(2) FILES DOCUMENTING THE CLEARANCE AND PROCESSING OF PROPOSED AND FINAL RULES, ALONG WITH THE FINAL OR PROPOSED RULES

~~Files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register. Permanent.~~
(2) Transfer to FRC 5 years after publication. Offer to NARA after 20 years."

b. Minutes and reports of meetings.
(SEE ATTACHED REVISION)

~~" b. Council minutes and reports permanent. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years."~~

c. Resolutions.

* c. Council resolutions permanent. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years."

d. Program Reports (other than admin. reports in 1504-17n).

* d. Destroy 2 years after report is discontinued."

e. Workshop and special issue development.

* e. Destroy after 2 years or when no longer needed for reference purposes.

f. Liaison activities with other organizations.

* f. Destroy after 2 years."

1504-17 Fishery Management Council (FMC) Administration files. Documents relating to the administrative support of council operations.

a. Audit files.

* a. Cut off at end of fiscal year. Destroy 6 years after audit is closed. GRS 22, item 2.

b. Budget files.

* b. Destroy ³ year after close of fiscal year covered by the budget. GRS 5, item ^{3b}

c. Finance files.

* c. Destroy when 3 years old."

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1504-16: FMC Operations Files

a. Meeting plans. Destroy when 2 years old.

- (1) Federal Register notices of meetings and related materials. Destroy one year after publication.
- (2) Files documenting the clearance and processing of proposed and final rules, along with the proposed and final rules.

Permanent. Transfer to FRC 5 years after publication in the Federal Register. Transfer to the National Archives when 20 years old.

b. Minutes and reports of meetings.

(1) Audiotapes of meetings

- (a.) If tape is only record of meeting:
Permanent. Transfer to the FRC when 5 years old. Transfer to the National Archives when 10 years old.
- (b.) If tape is transcribed or summarized.
Destroy when transcript, minutes, or other summary is verified and approved.

(2) Textual records of meetings.

Permanent. Transfer to the FRC in five year blocks when ten years old. Transfer to the National Archives when 20 years old.

g. Publications. Record set of official publications issued by Fishery Management Councils.

Permanent. Transfer to the FRC in five year blocks when 10 years old or when no longer needed for reference. Transfer to the National Archives when 20 years old.

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1504-17 d. Grant files.
cont'd

- e. Legal files (including liability questions, subpoenas, etc.).
- f. Mailing lists
- g. Meetings (other than formal council meetings).
- h. Milestones for councils.
- i. Personnel files.
- j. Procurement files.
- k. Property management files.
- l. Public affairs files.
- m. Travel files.
- n. Administrative report files.

1504-18 Permit Fee files. Documents pertaining to the establishment and collection of fees associated with fishery permits.

- a. Files pertaining to the establishment of fees and fee systems.
- b. Billing and collection files. Include billings, receipts, and other documents relating to the collection of fees from permit holders.

1504-19 Program Issue files. Correspondence and other documents pertaining to fishery management issues, but not relating to a specific action (e.g. a permit or grant request) or direct policy planning.

- * d. Destroy ^{6 YEARS AND 3 MONTHS} ~~7 years~~ after grant is ~~awarded~~ ^{CLOSED} b
- ** e. Destroy ⁷ years after case is closed.**
- * f. Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. GRS 13, item 4a.*
- * g. Destroy when 3 years old or when no longer needed for reference purposes.*
- * h. Destroy when 3 years old or when no longer needed for reference purposes.*
- * i. Review annually, destroy superseded or obsolete documents; destroy all documents relating to an individual employee within one year after separation or transfer. GRS 1, item 18.*
- * j. ~~Destroy when 2 years old.~~ ^{DESTROY IN ACCORDANCE WITH GRS 3/3.}
- * k. Destroy when 2 years old.*
- * l. Destroy when 2 years old.*
- * m. Destroy when 3 years old.*
- ** n. Destroy when 2 years old or when report is cancelled, whichever is sooner.**

DESTROY WHEN NO LONGER NEEDED FOR CURRENT AGENCY BUSI
* a. ~~Permanent. Transfer to FRC when no longer required for reference. Offer to NARA when 20 years old.*~~

Cut off at end of fiscal year when created. Destroy 6 years and 3 months later.

** Cut off at end of calendar year. Destroy after 2 years.*

1505 FISHERIES DEVELOPMENT FILES

These files relate to programs to assist the development of fisheries, either commercial or recreational, in regions of the country. Columbia River programs are included.

- 1505-01 Program Development Plan files. Plans written for the overall development of fisheries in a region. * Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.*
- 1505-02 Program Correspondence files. General correspondence with states, industries, or groups about general development programs; also operational correspondence. * Cut off at end of calendar year. Destroy after 2 years.*
- 1505-03 Program Coordination files. Correspondence with NOAA to coordinate efforts affecting the development of fisheries. * Cut off at end of calendar year. Destroy after 2 years.*
- 1505-04 Studies files. Study reports, and related background material, on studies conducted on matters related to regional development. May be subdivided into proposed and accepted studies. * Destroy 5 years after completion or cancellation of study.**
- 1505-05 Species Utilization Development files. Documents concerning the increased utilization of species through better management and marketing techniques; and related information on species availability, etc. * Cut off at end of calendar year. Destroy after 3 years.*
- 1505-06 Marketing Development files. Correspondence and plans concerning the improvement of marketing techniques for seafood in a particular region. Does not include material for individual species (see 1505-05 above) unless integrated into an overall plan for region. Does not include regular marketing improvement files (see 1508). ** Cut off at end of calendar year. Destroy after 3 years.*
- 1505-07 Hatchery Program files. Documents relating to the cooperative operation of hatcheries, such as for the Columbia River Program. Includes copies of contracts, evaluations of results, and similar records. ~~Cut off at end of calendar year when created.~~
~~Destroy 7 years later.~~
- 1505-08 Pollution Abatement files. Documents relating to programs to limit and reduce the amounts of pollution in waters as part of program to aid development of fisheries in region. * Cut off at end of calendar year. Destroy 7 years later.*
- 1505-09 Obstruction and Assistance files. Documents dealing with obstructions to fish in water-ways, such as dams, and assistance (such as ladders or screens) provided to by-pass such obstructions. * Cut off at end of calendar year. Destroy after 3 years.*

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- 1505-10 Stream Improvement files. Documents pertaining to actions taken to improve streams or other water ways to aid fish resources. * Cut off at end of calendar year. Destroy after 3 years.*
- 1505-11 Catch Statistics files. Statistics on the numbers of fish caught, either by species or area. * Cut off at end of calendar year. Destroy after 3 years.*
- 1505-12 Operation Improvement files. Investigations and recommendations concerning improvements in operations of segments of a regional program. * Destroy 3 years after investigation is completed.*
- 1505-13 Aquaculture Program files. Documents relating to the development, promotion, and evaluation of aquaculture programs and techniques. * Permanent. ^{Preserve files every 5 calendar years and} ~~Transfer to FRC when no longer~~ ^{TRANSFER TO} ~~required for research or reference.~~ ^{FRC.} Offer to NARA when 20 years old.* ^{TRANSFER}

1506 PRIBILOF ISLANDS PROGRAM FILES

These files relate to programs to conserve and utilize the fur seals of the Pribilof Islands, and in carrying out NOAA's responsibilities with the island's residents.

- 1506-01 Fur Seal Contract files. Contracts and related correspondence regarding the fur seal harvest and the processing and sale of products.
- ~~DISPOSITION NOT AUTHORIZED.
* Record copy of contract: Cut off at end of contract. Permanent. Transfer to FRC when no longer needed for frequent reference. Offer to NARA after 20 years. Related correspondence: Cut off at end of calendar year when created. Destroy 6 years later.*~~
- 1506-02 Sealing Catch Data files. Data on seals taken and resulting products. Includes daily kill records, annual kill report, annual statistical summaries, tallies of skins shipped and meal and oil produced, specimens given for research, etc.
- ~~* Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA after 25 years.*
DISPOSITION NOT AUTHORIZED.~~
- 1506-03 Monthly Activity Report files. Monthly report of activities which take place on the islands.
- ~~* Record copy: Cut off at end of calendar year when created. Permanent. Transfer to FRC when no longer needed for frequent reference. Offer to NARA after 25 years.*
DISPOSITION NOT AUTHORIZED.~~
- 1506-04 Operational Correspondence files. General correspondence on island activities and operations.
- ~~* Cut off at end of calendar year. Destroy 7 years later.*
DISPOSITION NOT AUTHORIZED.~~
- 1506-05 Complaint Correspondence files. Correspondence concerning complaints from public or Congress about sealing practices.
- ~~Complaints from public: Destroy when 3 months old. Complaints from Congress: Cut off at end of calendar year when received. Destroy 3 years later.~~
- 1506-06 Veterinarian Study files. Special studies conducted by veterinarians on the development of more humane methods of killing seals.
- ~~Permanent. Transfer to FRC when no longer needed for frequent reference. Offer to NARA after 25 years.*
DISPOSITION NOT AUTHORIZED.~~
- 1506-07 Native Resident files. Documents pertaining to programs for residents of the islands.
- ~~Permanent. Transfer to FRC after 7 years. Offer to NARA 20 years later.~~
- 1506-08 Wildlife Management files. Documents relating to the management of Pribilof Island wildlife other than fur seals.
- ~~Permanent. Transfer to FRC when no longer required for research or reference. Offer to NARA when 20 years old.*
DISPOSITION NOT AUTHORIZED.~~

1506-09 FUR SEAL AND OTHER INDIGENOUS MIMICED RESEARCH FILES.

DOCUMENTS AND DATA ON THE ECOLOGY AND BIOLOGY OF THE NORTHERN FUR SEAL AND OTHER MIGRATORY MAMMALS RESULTING FROM SINGLE OR COORDINATED RESEARCH PROGRAMS AND CONTAINING DOCUMENTATION ON PROGRAM OPERATION, RESEARCH TECHNIQUES, OBJECTIVES, DATA COLLECTION, AND PROGRAM EVALUATION.

PERMANENT. BREAK FILES EVERY 5 YEARS AND TRANSFER TO FRC. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD, OR ON COMPLETION OF THE PROJECT.

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1507 FISHERY STATISTICS AND MARKETING NEWS REPORTING FILES

These files relate to the reporting of statistical information concerning fish and the fishery industry, and related publications. Not included are statistics involved in assessing the resources (those files are covered in 1502).

- 1507-01 Statistic Agreement files. Agreements with companies to obtain statistics. * Destroy ~~3 years after agreement expires.~~ **WHEN SUPERSEDED OR OBSOLETE**
- 1507-02 Statistic Reporting Procedures files. Procedures for the reporting of statistics in the most usable form. * Destroy when reporting system is superseded or 3 years after report is cancelled.*
- 1507-03 Market News Report files. Record set of the Market News Reports and the Annual Market News Summaries. * Cut off at end of calendar year. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.*
- 1507-04 Market News Source files. Correspondence, and price and other data used as source material for published Market News Reports or Summaries. ~~1. Correspondence: Cut off at end of calendar year when created. Destroy 2 years later.
2. Source material: Destroy after publication of related report or summary.~~
- 1507-05 Market News Issuances files.
- a. Record set of issuances. * Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.*
- b. Copies of issuance kept by offices for reference purposes and to answer questions from the public. ~~Cut off at end of calendar year when created. Destroy 6 years later.~~
- 1507-06 Market News Issuance Source files. Daily production and other feeder reports used as source material, and related correspondence. Subdivide by type of report. ~~1. Daily production and similar reports from fish dealers: Destroy when 6 months old.
2. Import receipts, cold storage data, railroad receipt forms on arrivals, and similar industry reports; Cut off at end of calendar year when created. Destroy 2 years later.~~
- 1507-07 Market News Subscription files. Subscriptions from industry and public for market news reports or issuances. * Destroy after 2 years.*
- 1507-08 Special Reports files. Special reports on statistical or marketing information or problems. * Destroy ~~after 3 years,~~ **AFTER ISSUANCE OF REPORT,** or when no longer needed for reference purposes, **WHICHEVER COMES FIRST.**
- 1507-09 Statistical Publications files. Record set of fishery publications other than described in 1507-03 and 1505-05 above. Subdivide by type of publication. * Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.*
- 1507-10 Marine Recreational Fisherman's Catch files. Statistics on catches by species, length, weight, etc. A Privacy Act record. * Destroy when superseded by new statistical information or when no longer needed for reference purposes.*
- 1507-11 Statistical Data files. Statistical reports, schedules, and data other than that described in 1507-04 * Destroy when superseded by new statistical information or when no longer needed for reference purposes.*
- 1507-12 Public Information files. Reference material gathered to aid responses to common information requests from the public. Also any minor research done for such requests. ~~Destroy when no longer needed for reference purposes.~~

1507-13 Survey Operations files. Documents relating to the operation of both one-time and continuing data-gathering and processing projects. Includes work done by contractors and grantees. See 1507-02 for procedures of on-going applicability, and Subfunction 1502 for resource assessment surveys.

a. One-time survey files. Proposals, procedures, operational guidance, and other material relating to the conduct of one-time survey or data-gathering projects.

b. Continuing survey files. Documents relating to the day-to-day operations of an on-going project. Use 1501-01 for files pertaining to the establishment of major collection systems.

* a. Destroy 3 years after survey data is released.*

* b. Destroy when no longer needed for reference purposes.*

1507-14 Industry Relations files. Correspondence and other documents concerning relations with individual companies or an industry, and relating to general statistical needs, problems, procedures, etc. See 1507-01 for formal agreements, and 1507-13 for dealings which are part of a specific data-gathering project.

* Cut off at end of calendar year. Destroy after 2 years.*

1507-15 Confidentiality files. Documents relating to the protection of confidential statistics, and to the authorized access to such information. See 1501-05 and 1501-06 for applicable laws, directives, etc.

a. Documents relating to the identification of material requiring protection, and the methods of providing it.

b. Documents authorizing or denying access to protected information. Includes Statements of Non-disclosure, lists of authorized users, special access requests, and similar material.

c. Documents relating to release or protection agreements not covered in 1507-01 or 1507-13 above.

d. General confidentiality correspondence.

~~* a. Permanent. Transfer to FRG when no longer required for research or reference. Offer to NARA when 20 years old.*~~ **DESTROY WHEN SUPERSEDED OR OBSOLETE.**

* b. Destroy 2 years after authorization expires.*

* c. Destroy 2 years after protection agreement expires.*

* d. Destroy when 2 years old.*

1508 FISHERY MARKETING AND CONSUMER AID FILES

These files relate to programs aiding fishery industries in marketing seafood products. See 1505 for records relating to total fishery development within a region of the country.

- 1508-01 Marketing Development Plan files. Plans and reviews of plans to develop more effective marketing of seafood products. ~~* Cut off at end of calendar year. Destroy after 3 years. * DISPOSITION NOT AUTHORIZED.~~
- 1508-02 Market Analysis Report files. Quarterly reports on the market situation and its outlook; and on-going analyses to identify trends in the market. ~~* Cut off at end of calendar year. Destroy after 5 years. * DISPOSITION NOT AUTHORIZED.~~
- 1508-03 State Marketing Program files. Correspondence and related material giving assistance to states in marketing programs. See 1505 for major regional development programs. ~~* Cut off at end of calendar year. Destroy after 3 years. * DISPOSITION NOT AUTHORIZED.~~
- 1508-04 Cooperative Marketing Agreement files. Agreements made in accordance with the Fishery Cooperative Marketing Act. ~~* Destroy 3 years after agreements are superseded. * Cut off when superseded. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years after retirement. *~~
- 1508-05 Promotional files. Recipes, photos, and other promotional material to aid in marketing seafood products. Includes demonstration material. * Permanent. Retire one original of each to FRC when no longer used as marketing material. Offer to NARA 20 years after retirement. "
- 1508-06 Survey files. Surveys conducted to determine consumer preferences and use patterns. Includes questionnaires, reports and reactions of consumers, and reports of data compilations. ~~* Cut off at issuance of final report. Destroy 3 years later.~~

1509 ECONOMIC ANALYSIS FILES

These files relate to analyses of the fishing industry and its markets.

- 1509-01 Economic Study files. Studies of the fishery industry, or segments of it, to determine its present health, the effects of international trade or technological changes, or the impact of other variables. Includes final studies, schedules and other data used as input, and related correspondence.
- a. Record set of final reports.
- b. Schedules and other papers used as source material for study, and related correspondence.
- 1509-02 Fishery Situation files. Reports and correspondence concerning the economic situation in a region or with a selected species. Documents pertaining to a specific study should be filed with 1509-01 above.
- 1509-03 Cost-Benefit Study files. Studies determining the cost-benefit ratio of current or proposed NOAA programs affecting the fishery industry.
- 1509-04 Economic Coordination files. Correspondence and reports giving advice on means of coordinating NOAA activities relating to fishery economics.

~~DISPOSITION NOT AUTHORIZED.~~

~~* Permanent. Transfer to FRC after 5 years.
Offer to NARA 20 years after retirement. *~~

~~Destroy when 1 year old.~~ DISPOSITION NOT AUTHORIZED.

~~* Cut off at end of calendar year. Destroy after 3 years. *~~ DISPOSITION NOT AUTHORIZED.

~~* Destroy 5 years after completion or cancellation of study. *~~ DISPOSITION NOT AUTHORIZED.

~~* Cut off at end of calendar year. Destroy after 2 years. *~~ DISPOSITION NOT AUTHORIZED.

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1510 VESSEL FINANCIAL SERVICE FILES

These files relate to programs providing loans, subsidies, or guarantees to aid in the construction, repair, etc., of fishing vessels.

- | | | |
|---------|--|---|
| 1510-01 | <u>Pending Application files.</u> Applications for loans or other forms of assistance. Subdivide by type of aid. | 1. Approved applications: Transfer to appropriate code for case file. * 2. Rejected applications: Destroy after 5 years.* |
| 1510-02 | <u>Fishery Loan files.</u> Case files on loans made to finance or refinance costs relating to fishing vessels, including their purchase. Includes applications, case histories, insurance policies, mortgages, and related correspondence and forms. | 1. Collateral documents: Return to borrower when loan is repaid. 2. Other documents: Cut off when loan is repaid. Destroy 3 years later. |
| 1510-03 | <u>Vessel Mortgage Insurance files.</u> Applications, case histories, commitments, contracts, guarantee agreements, notes, insurance policies, and related papers concerning the insuring of mortgages on fishing vessels. | 1. Collateral documents: Return to borrower after payments completed. 2. Other documents: Cut off when payments completed. Destroy 3 years later. |
| 1510-04 | <u>Obligation Guarantee files.</u> Guarantees for obligations incurred under 1510-03 above. May be filed with case file under that code. | Same as 1510-03 above. |
| 1510-05 | <u>Capital Construction files.</u> Includes applications, reports, and related documents on aid given to vessel owners under the capital construction program. | 1. Paper records which have been microfilmed (and the film verified): Cut off at termination of aid. Destroy 1 year later. 2. Microfilm copies, or paper records which have not been microfilmed: Cut off at termination of aid. Destroy 6 years later. |
| 1510-06 | <u>Billing Statement files.</u> Billing statements sent in connection with financial aid given in items described above. May be filed with individual case files. Records of payment should be placed in case files. | * Destroy 2 years after payment. Delinquent bills covered by 1510-07. Copies of bills filed with individual case files. * |
| 1510-07 | <u>Delinquent Payment Report files.</u> Reports of aid which is not being repaid on time. | * Destroy when superseded by revised report. |
| 1510-08 | <u>Master Loan Record Book files.</u> Listings of each loan, grant, etc., with case number, dollar amount involved, dates of action, and closing date of repayment in full. | * Cut off when book is full or at end of fiscal year. Permanent. Transfer to FIC after 5 years. Offer to NARA 20 years after retirement. DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE USE. |
| 1510-09 | <u>Financial Statistics files.</u> Statistics developed on financial assistance provided for fishing vessels. | * Cut off at end of calendar year. Destroy after 3 years. * |
| 1510-10 | <u>General Correspondence files.</u> General correspondence pertaining to programs described in the subfunction. | Cut off at end of calendar year when created. Destroy 2 years later. |

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1510-11 Program Operation files. Documents relating to the operation of the various financial assistance programs. Does not include the individual case files, any policy formulation (see 1501-01), or records described in other series within this subfunction.

* Destroy 2 years after the program is superseded or when no longer needed for reference purposes, whichever is sooner. *

1510-12 Construction Differential Subsidy Program Case files. Applications, agreements, and related documents pertaining to subsidies given to promote the U.S. construction of fishing vessels under this program.

~~Cut off when case is closed. Destroy 15 years later.~~

1511 FISHERY PROTECTION AND CLAIMS FILES

These files relate to programs to protect U.S. fishing vessels from financial loss due to gear damage, seizure by other countries, and related problems; includes claims made as a result of laws providing for the reimbursement of losses.

- 1511-01 Fishery Protective Act Agreement files. * Destroy 3 years after agreement expires. **
 Agreements with U.S. vessel owners relating to protection from financial losses due to seizure of vessels by other nations due to fishing in contested areas.
- 1511-02 Protective Act Claims files. Case files * Destroy when 6 years, 3 months old.
 of claims filed as a result of the agreements in 1511-01. GRS 6, item 10. *
- 1511-03 Gear Conflict Claims files. Case files ~~Cut off at close of case. Destroy 3 years later.~~
 of claims concerning damage to U.S. gear by foreign vessels.
- 1511-04 General Correspondence files. General ~~Cut off at end of calendar year when created. Destroy 2 years later.~~
 correspondence on the operation of the protection and claims program.
- 1511-05 Fishermen's Contingency Fund Claims files. Case files for claims for damages. * Destroy when 6 years, 3 months old.
 to fishing vessels from oil and gas activities. GRS 6, item 10. *
- 1511-06 Claims Financial files. Requests to the NOAA financial office for the * Destroy when 3 years old.
 disbursement of funds; also reports on status of funds, and similar records pertaining to the financial operation of claims programs. GRS 6, item 5b. **

1512 FISHERY PRODUCT QUALITY AND SAFETY INSPECTION FILES

These files relate to programs to inspect fishery products for quality and safety.

- 1512-01 Standards For Grades files. U.S. Standards for grades of fishery products, and inspector's instructions for grading fishery products.
 - * 1. Record Set: Cut off when superseded. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA 20 years later. *
 - ~~2. All other copies: Destroy when superseded.~~

- 1512-02 Regulations For Processed Products files. Regulations affecting processed fishery products.
 - * 1. Record Set: Cut off when superseded. Permanent. Transfer to FRC when superseded by new regulations. Offer to NARA 20 years later. *
 - ~~2. All other copies: Destroy when superseded.~~

- 1512-03 Specifications For Products files. Specifications for fishery products, including related drafts and correspondence.
 - * 1. Record Set: Cut off when superseded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later. *
 - ~~2. Drafts, correspondence, and copies: Destroy 3 years after approval of specification.~~

- 1512-04 Inspection Guidelines files. Guidelines established for inspectors, and related instructions to them. Includes manuals.
 - * 1. Record Set: Cut off when superseded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later. *
 - ~~2. All other copies: Destroy when superseded.~~

- 1512-05 Interagency Coordination files. Coordination with other agencies on labeling procedures, USDA regulations on food products, program requirements, and related matters
 - * Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded. *

- 1512-06 Plant Listing files. Official annual listings of plants under USDC inspection.
 - ~~* 1. Record Set: Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later. *~~
 - ~~2. Other copies: Destroy when superseded.~~

- 1512-07 Inspection Contract files. Documents relating to contracts between processors and the agency for inspection services, and related correspondence, surety bonds, and other papers concerning the contract.
 - ~~Cut off at close of contract. Destroy 5 years after final payment. (See 101-09 for copies of contracts maintained solely for office accounting purposes).~~

- 1512-08 Inspection files. Documents pertaining to inspections, including inspection certificates, related daily inspection reports and score sheets, plant production summaries, general plant survey reports, quality control plans, and related correspondence.
 - Cut off at end of calendar year when created. Destroy 5 years later.

- 1512-09 Labeling files. Requests for label approval, lists of approved labels, and related correspondence.
 - Cut off at termination of inspection agreement. Destroy 1 year later.

Disposition Not Authorized

~~* 1. Record Set: Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later. *~~

~~2. Other copies: Destroy when superseded.~~

~~Cut off at close of contract. Destroy 5 years after final payment. (See 101-09 for copies of contracts maintained solely for office accounting purposes).~~

Cut off at end of calendar year when created. Destroy 5 years later.

Cut off at termination of inspection agreement. Destroy 1 year later.

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- 1512-10 Inspection Service Financial files. ~~Cut off at end of fiscal year when created. Destroy 5 year later. (N-370-87-4)~~
 Financial status reports, reports on delinquent payments, material related to billings, and related financial records. This item does not include office budget files (see 1501-15).
- 1512-11 Reports and Tests files. Reports on the effects of metal content and related material on fishery products, on methods of inspection to determine problems, and on microbiological tests conducted. (Test results relating to a specific plant should be filed in 1512-08 above.) * Transfer to FRC when 5 years old. Destroy after 20 years. *
- 1512-12 Purchasing Specification files. Material relating to purchasing specifications for fishery products of companies, states, and private organizations. ~~Destroy when superseded, obsolete, or no longer needed.~~
- 1512-13 International Inspection files. Documents pertaining to dealings with other nations on inspection matters, such as standards, the acceptability of inspected/noninspected items, the receipt of bad products, and similar items. ~~Destroy when 3 years old.~~ * CUT OFF CLOSED FILES AT END OF CALENDAR YEAR, AND TRANSFER TO FRC. DESTROY WHEN 20 YEARS OLD.
- 1512-14 Safety Research Review files. Reports, data, and correspondence concerning the research into safety problems with fishery products. This item does not apply to actual research case files (see 1203-01). * Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.**
- 1512-15 Quality Research Review files. Reports, data, and correspondence concerning the research into fishery product quality issues. This item does not apply to research case files (see 1203-01). * Destroy after 3 years. *
- 1512-16 Nutrition Research Review files. Reports, data, and correspondence concerning research into seafood nutrition issues. This item does not apply to research case files (see 1203-01). * Destroy after 3 years. *
- 1512-17 Reserved.
- 1512-18 Species/Commodities files. Information on various species or commodities, relating to resource levels, quality and safety questions, technological and utilization matters, and similar subjects. * Permanent. Transfer to FRC when no longer needed for reference or research purposes. Offer to NARA after 20 years. *
- 1512-19 Reserved.
- 1512-20 Alert and Recall files. Copies of alerts and recalls issued by an industry or by other government agencies, and related correspondence and reports. ~~1. Copies of alerts and recalls: Destroy when no longer needed for reference purposes.~~
 ** 2. Other documents: Destroy correspondence files after 2 years. Destroy reports when superseded by new report. **

1513 FISHERY LAW ENFORCEMENT AND SURVEILLANCE FILES

These files relate to the enforcement of laws and regulations pertaining to fisheries, marine mammals, and endangered species, and related surveillance activities.

- 1513-01 ~~Violation Investigation Case files. Case files on investigations of possible violations of laws and regulations, and outcome of investigations with action taken.~~ * Cases with precedent setting significance: ~~Cut off when case closed. Permanent. Transfer to FRC after 5 years. Offer to NARA after 20 years.~~ Other cases: ~~Cut off when case closed. Destroy 5 years later.*~~ *Revised - see attached page*
- 1513-02 Surveillance Procedures files. Day-by-day guidance on surveillance procedures to be used, and related material. ~~Cut off when superseded or obsolete. Destroy 3 years later.~~
- 1513-03 Surveillance Reports and Statistics files. Reports and statistics developed or made as a result of surveillance activities. Subdivide by type of report or statistic. ~~Cut off at end of calendar year when created. Destroy 5 years later.~~
- 1513-04 ~~Foreign Citation files. Documents relating to citations for violation by foreign fishing vessels.~~ * ~~Cut off when case closed. Destroy after 5 years. *~~ *Revised - see attached page*
- 1513-05 NAFO ICNAF Report files. Reports to NAFO International Commission for Northwest Atlantic Fisheries (ICNAF) on catches of selected species. ~~Cut off at end of calendar year when created. Destroy 5 years later.~~
- 1513-06 International Commission files. See 602-09.
- 1513-07 Interagency Liaison files. Coordination with other agencies (including the Marine Mammal Commission) affecting the enforcement program. Does not include any formal agreements with other agencies (see 1501-10). ~~Cut off at end of calendar year when created. Destroy 2 years later.~~
- 1513-08 Enforcement Regulations, Rules, and Quotas files. Developed by office responsible for program, and published in Federal Register. ~~Cut off when superseded or obsolete. Destroy 3 years later.~~
- 1513-09 Firearm Control files. Documents relating to firearm distribution, including chargeout records and receipts. ~~Destroy 3 months after return of arms.~~
- 1513-10 Observer Program files. Reports, correspondence, and other documents relating to the number of observers in regions, the adequacy of coverage, and similar subjects pertaining to the maintenance and review of an observer network. ~~Does not include observer's reports. * Cut off at end of calendar year. Destroy after 3 years. *~~

a. DOMESTIC OBSERVER PROGRAM RECORDS

DESTROY WHEN 6 YEARS OLD.

b. FOREIGN OBSERVER PROGRAM RECORDS

DESTROY WHEN 10 YEARS OLD.

c. OBSERVER NOTEBOOKS, LOGS, AND REPORTS

PERMANENT. CUT OFF FILES ANNUALLY AND TRANSFER TO FRC WHEN 3 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 20 YEARS OLD.

1513-01 Violation Investigation Case Files. Case files on investigations of possible violations of laws and regulations, and outcome of investigations with action taken.

- a. Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) establish a legal precedent; (2) attract national or international news media attention; or (3) result in changes in internal NMFS or NOAA policy or procedures. Disposition: Permanent. Cut off when case is closed. Retire to Federal Records Center when five years old. Transfer to NARA when 20 years old.
- b. All other cases. Disposition: Cut off when case is closed. Destroy when five years old.

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1513-04 Foreign Citation Files. Documents relating to citations for violation by foreign fishing vessels.

- a. Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) cases involving issues of sovereignty where either diplomatic negotiations or treaties were related to the resolution of the case; (2) international cases of mutual interest to the United States or other countries, such as drift net fishing on the high seas; or (3) incidents attracting international news media attention. Disposition: Permanent. Cut off when case is closed. Retire to Federal Records Center when five years old. Transfer to NARA when 20 years old.
- b. All other cases. Disposition: Cut off when case is closed. Destroy when five years old.

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- 1513-11 Permit Clearance files. Checks made on applicants for permits, registrations, certifications, etc., to determine if they have been convicted or charged with violations of marine mammal, endangered species, or fishery laws. Also inspections of facilities made as part of clearance process. * Cut off at end of calendar year. Destroy after 5 years. *
- 1513-12 Import-Export Clearance files. Documents relating to the control of the importing or exporting of marine mammal or endangered species products, or of fishery products which must have been obtained by methods which reduce the risk to specific species. Includes certificates of exclusion, clearance forms, and related correspondence. * Cut off at end of calendar year. Destroy after 5 years. *
- 1513-13 Test and Identification files. Tests and research conducted to determine if substances or items belonged to a marine mammal, endangered species, or otherwise protected species; and if so what species. If part of a violation investigation file with 1513-01 above. * Cut off at end of calendar year. Destroy after 3 years. *
- 1513-14 Agent Qualification files. Documents relating to the maintenance of special qualifications for agents, such as with firearms. Includes standards, range tests, firearm training, and similar material. * Retain until no longer needed for reference. "
- 1513-15 Seized Property files. Documents relating to the control and tracking of property that has been seized and held in custody as part of a law enforcement action. Includes final disposition of property involved. * Retain until final disposition of property. "

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1514 MARINE MAMMAL AND ENDANGERED SPECIES PROTECTION FILES

These files relate to programs to protect the marine mammals and endangered species placed under NOAA's responsibility.

- 1514-01 Marine Mammal and Endangered Species Permit files. Permits, and applications for them, to permit the use of marine mammals or endangered species for display, scientific research, or other scientific purposes, or propagation. Contains information on applicants and activities to be conducted. A Privacy Act record. * Cut off at end of permit. Destroy 5 years later. *
- 1514-02 Marine Mammal and Endangered Species Hardship Exemption files. Applications for exemptions on basis of undue economic hardship. Includes personal information on applicant and financial status. A Privacy Act record. * Cut off at end of exemption. Destroy 5 years later. *
- 1514-03 Marine Mammal Inventory files. Inventories of marine mammals being held in captivity. Includes any statistics on species held. ~~Cut off at end of calendar year when created. Destroy 5 years later.~~
* REVISED 10/31/91: PERMANENT. TRANSFER TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 25 YEARS OLD. *
- 1514-04 Marine Mammal Regulations files. See ~~1501-05 and 1501-06.~~ REVISED 10/31/91. * PERMANENT. TRANSFER TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 25 YEARS OLD. *
- 1514-05 Interagency Coordination files. Correspondence and related documents involving coordination with other agencies having responsibilities in this subfunction's program areas, or agencies whose assistance is necessary. See 1501-10 for formal agreements. * Cut off at end of calendar year. Destroy after 2 years. *
- 1514-06 Enforcement Guidance files. Guidance given to offices responsible for enforcement of related laws from office which is responsible for overall program. * Destroy when no longer needed for reference purposes. *
- 1514-07 Species files. Reference file with information on species, and relevant statistics. Non-record material. ~~Review annually and destroy all material which is obsolete or no longer needed.~~
- 1514-08 Certification and Registration files. Applications (and related papers) for certification or registration of collectors, tanneries, or similar operations dealing with marine mammals or endangered species; and resulting actions taken. * Approved applications and certifications: Destroy 5 years after application or certification expires. Rejected applications and certifications: Destroy after 2 years. *
- 1514-09 Management Strategy files. Documents relating to the development of plans and strategies for the management and protection of specific species, and to the dissemination and coordination of such strategies. Plans for overall program activity should be files under 1501-01. * Destroy when no longer needed for reference purposes or after 2 years whichever is sooner. *

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- 1514-10 Species Management files. Documents dealing with general or specific problems facing a species, or a member of it, such as beached or stranded animals, the harassment of animals, etc. * Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old. *
- 1514-11 Species Data Base files. Information as to the population levels of specific species, habitat or other requirements, and similar subject areas. * Paper files permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA after 20 years. Field office data base files: Destroy when superseded by updated files. *
- 1514-12 Species Status files. Documents relating to determinations of the status of specific species, whether they should/should not be listed as endangered, and the need to change classifications due to petitions or new evidence. * Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old. *
- 1514-13 Critical Habitat Designation files. Documents relating to proposals for the protection of critical habitat areas, and the resulting designations of restricted fishing or other protected areas. * ~~Retain until no longer needed for reference purposes. Destroy after 7 years.~~ * REV. 10/31/91. PERMANENT. TRANSFER TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 25 YEARS OLD. *
- 1514-14 Grant Application files. Material submitted by states or organizations applying for grants described in 1514-15 below. * 1. Accepted applications: Transfer file to 1514-15 below.
2. Rejected applications: Destroy 2 years after grant awarded. *
- 1514-15 Grant Case files. Case files on grants made to states or organizations to enable them to manage marine mammals or endangered species, to conduct related research, or similar activities. * ~~Cut off at end of year grant is awarded. Destroy after 3 years.~~ * DESTROY 6 YEARS AND 3 MONTHS AFTER GRANT FILE IS CLOSED.
- 1514-16 State and Organization Coordination files. Documents relating to cooperative programs, with states and organizations for the protection, conservation, and management of marine mammals or endangered species. * Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years. *
- 1514-17 Fishing Permit files. Applications, permits, and certificates of inclusion for fishing vessels, domestic or foreign, to take marine mammals incidental to commercial fishing activities. * Cut off when permit expires or application is rejected. Destroy 3 years after expiration of permit. *
- 1514-18 Fish Importation files. Correspondence, reports, and other documents relating to the importation of fish from countries conducting fishing operations which could result in the incidental take of marine mammals. Includes the Assistant Administrator's finding on issues or cases. * Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years. *
- 1514-19 Vessel Transfer files. Applications and related documents pertaining to requests to transfer vessels to foreign registry. * Permanent. Transfer to FRC when 5 years old. Offer to NARA after 20 years. *

1514-20 Hearing files. Documents relating to the conduct of public hearing on marine mammals or endangered species activities. Hearing which are part of the regulation development process should be filed with that material in 1501-06.

~~* Cut off at end of calendar year. Destroy after 5 years.~~ * REVISED 10/31/91. PERMANENT. TRANSFER TO FRC WHEN 5 YEARS OLD. TRANSFER TO THE NATIONAL ARCHIVES WHEN 25 YEARS OLD. *

1514-21 Research Review files. Reviews of research being conducted on marine mammals, endangered species, or related subject areas. Includes recommendations for tasks, identification of actions in variance with plans, and similar actions.

* Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded. *

1514-22 ESA Consultation files. Documents relating to consultations required by Section 7 of the Endangered Species Act, or similar laws or regulations, to ensure that any action authorized, funded, or carried out by any Federal agency is not likely to jeopardize the continued existence of any endangered species, or result in the destruction or adverse modification of critical habitat of such species.

* Permanent. Transfer to FRC when 5 years old. Offer to NARA after 25 years. *

ADDED
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* 1514-23 MARINE MAMMAL EXEMPTION PROGRAM. DOCUMENTS RELATING TO THE EXEMPTION PROGRAM FOR COMMERCIAL FISHING. INCLUDES REGISTRATION DATA, MARINE MAMMAL INTERACTION DATA, VESSEL OWNED DATA, AND OBSERVER DATA.

* CUT OFF AT THE END OF EXEMPTION PROGRAM. TRANSFER TO FRC 5 YEARS LATER. DESTROY WHEN 20 YEARS OLD.

1515 MARINE RECREATIONAL FISHERIES PROGRAM FILES

These files relate to the development, review, and coordination of programs dealing with marine recreational fisheries. Files dealing with negotiations and agreements with other countries should be filed under 602.

- 1515-01 Program Liaison files. Documents relating to coordination with other agencies, states, and private organizations on recreational fisheries matters. * Cut off at end of calendar year. Review annually. Destroy when superseded or obsolete. *
- 1515-02 Statistics and Assessments files. Documents relating to the resource levels of sport fisheries species, the numbers being caught, and similar data or assessments. * Cut off at end of calendar year. Review annually. Destroy when obsolete or no longer needed for reference purposes. *
- 1515-03 Survey and Study files. Surveys, studies, and related records pertaining to recreational fisheries. Includes surveys of catch efforts by fishermen, the studies of the socio-economic impact of the fisheries and any changes, etc. Note: this series may contain records protected under the Privacy Act. * Cut off at end of study. Destroy 6 years after completion of study. GRS Schedule 16, item 9. *
- 1515-04 Management Plan files. Documents pertaining to the development and review of plans to manage the recreational fishery resources, except for plans that are a part of official Fishery Management Plans (which are filed under 1504-13). Includes reviews of possible additions to plans, alternatives, and similar material. * Cut off at end of calendar year. Review annually. Retain for 5 years after plan is superseded. *
- 1515-05 Program Review files. Documents relating to reviews of state or regional programs dealing with, or related to, recreational fisheries. * Originating office: Transfer to FRC 5 years after supersession. Offer to NARA when 20 years old. Participating office: Destroy when superseded or obsolete. *
- 1515-06 Resource Development files. Documents relating to efforts to improve recreational fishery resources - aquaculture, artificial reef development, and similar programs. Does not include Columbia River program files. * ~~Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.~~ *

DISPOSITION NOT AUTHORIZED.