

Request for Records Disposition Authority

Records Schedule Number DAA-0059-2019-0006

Schedule Status Approved

Agency or Establishment Department of State

Record Group / Scheduling Group General Records of the Department of State

Records Schedule applies to Major Subdivision

Major Subdivision Bureau of Oceans and International Environmental and Scientific Affairs

Schedule Subject Consolidated Schedule: Records of the Bureau of Bureau of Oceans and International Environmental and Scientific Affairs (OES)

Internal agency concurrences will be provided No

Background Information Flexible schedule which consolidates the records of the Bureau of Oceans and International Environmental and Scientific Affairs. Applies to records 2012 and forward. This schedule does not supersede existing records schedules for the Bureau. Crosswalk with additional detail is attached.

The Bureau of Oceans and International Environmental and Scientific Affairs (OES), covers issues that reach from the vastness of space to the depths of the oceans. Created by Congress in 1974, OES advances U.S. strategic interests through policy aimed at ensuring that economic growth and a healthy planet go hand in hand. Working on issues that impact millions of U.S. jobs and advance U.S. foreign policy and national security interests, OES builds international consensus around issues like fighting infectious diseases, and combatting wildlife trafficking and illegal, unregulated and unreported fishing. OES promotes water security, peaceful cooperation on polar issues, sustainable ocean policy, science and technology cooperation, nature conservation, and climate and space policy, among other vital topics. OES is positioned at the center of the global conversation and serves at the forefront of U.S. diplomatic efforts to confront some of the world’s greatest challenges.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0059-2019-0006

Sequence Number	
1	Program Files Disposition Authority Number: DAA-0059-2019-0006-0001
2	Administration and Management Files Disposition Authority Number: DAA-0059-2019-0006-0002
3	Application Review Files Disposition Authority Number: DAA-0059-2019-0006-0003
4	Conference Administrative Files Disposition Authority Number: DAA-0059-2019-0006-0004
5	Subject Files Disposition Authority Number: DAA-0059-2019-0006-0005
6	Fisherman Guarantee Fund – Seized Vessel Case Files Disposition Authority Number: DAA-0059-2019-0006-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 384 545 415">Program Files</p> <p data-bbox="345 436 1149 468">Disposition Authority Number DAA-0059-2019-0006-0001</p> <p data-bbox="345 489 1518 1633">Records documenting the official program and mission activities of the Bureau of Oceans and International Environmental Scientific Affairs related to the formulation and implementation of policies and proposals covering the environmental, marine, polar, health, scientific, and technological aspects of U.S. foreign policy. These include records documenting the developing and coordinating aspects of international environmental and natural resource issues, including global climate change and conservation crimes; sustainable development; UN and other bilateral and multilateral conventions related to designated areas of responsibility; ocean resources and uses; polar issues; science and space policy, including bilateral and multilateral agreements on science and technology cooperation; foreign policy aspects of outer space and other fields of advanced technology; and international health issues. These records arranged chronologically, by subject, country, region, TAGS/ Terms, by name of organization or agency, by project, by name of directorate, or by vessel name include, but are not limited to, incoming and outgoing correspondence, letters, action memoranda, formal/ informal memoranda, memoranda of understanding, memoranda of conversation, cables, notes, diplomatic notes, briefing notes, handwritten notes, drafts, talking points, reports, advisory committee reports, intelligence reports, progress reports, site reports, technical reports, situation reports, meeting reports, U.S. Space Objects Registry reports; mission statements, meeting agenda, minutes, and summarizations; background material, master copies of briefing books, policy and position papers, negotiating papers, speeches, resolutions, Congressionals, bilateral and multilateral agreements, delegations lists, Circular 175 and related information, treaties, proposals, conflict of interest statements; progress reports; interviews, maps of the areas impacted by proposed projects, including cultural and environmental resources; action documents and public comments related to Administrative Review activities; news articles, slides, publications, memberships, certificates of vessel ownership, legislation, and observation, background material and other supporting documentation and material. (Not all offices will create all forms of records listed.)</p> <p data-bbox="345 1654 922 1686">Final Disposition Permanent</p> <p data-bbox="345 1707 849 1738">Item Status Active</p> <p data-bbox="345 1759 816 1791">Is this item media neutral? Yes</p> <p data-bbox="345 1812 800 1940">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

Disposition Instruction

Cutoff Instruction	Cut off file at the end of the calendar year or when final action occurs.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

First year of records accumulation	2012
What will be the date span of the initial transfer of records to the National Archives?	From 2012 To 2013
How frequently will your agency transfer these records to the National Archives?	Every 12 Months

Administration and Management Files

Disposition Authority Number	DAA-0059-2019-0006-0002
------------------------------	-------------------------

Records used by the Executive Director and Deputy Director in directing the administration, management and mission of the Bureau related to program planning or guidance and documenting policies, program and mission goals. These files include, but is not limited to, memoranda, background materials, financial plans, guidelines, policies, plans, cables, memoranda of understanding, inspection reports, decision papers, general correspondence, meeting reports, action documents, organization papers and other documents that define, discuss and or establish precedent.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No

Disposition Instruction

Cutoff Instruction	Cut off file at the end of the calendar year.
Retention Period	Destroy 10 year(s) after cutoff.

2

3

Additional Information

GAO Approval Not Required

Application Review Files

Disposition Authority Number DAA-0059-2019-0006-0003

Formal applications created and received in the course of Office of Environmental Quality and Transboundary Issues review of Presidential permit applications. These records include, but is not limited to, formal applications, correspondence, memoranda, forms and other material related to the review of Presidential permit applications.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off file at the end of the calendar year in which the final application decision is issued.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

4

Conference Administrative Files

Disposition Authority Number DAA-0059-2019-0006-0004

Records related to administrative activities to facilitate and support national and international conferences include correspondence, cables, worksheets, conference material, meeting agenda and other planning material.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

5

Disposition Instruction

Cutoff Instruction Cut off file at the end of the calendar year in which the conference ends.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Subject Files

Disposition Authority Number DAA-0059-2019-0006-0005

Records related to routine correspondence such as requests for general information, descriptions of activities relating to dedication ceremonies at biosphere reserves, and Man and the Biosphere (MAB) programs and activities in other countries; commercial fishing vessel case files; and research vessel case files. These records arranged by name of biosphere, vessel name, or country include, but is not limited to, routine correspondence, reports, and publications from non-U.S. Government sources relating to the general subject of biosphere reserves; commercial fishing vessel case files consisting of copies of fishing license applications and permits of Department of Commerce origin, memoranda, background material, reference material, general correspondence, reports, and other related material supporting the Bureau of Oceans and International Environmental Scientific Affairs position on individual fishing vessel cases; and research vessel case files consisting of correspondence, reports, requests for clearance and visas, navigation route plans, and other related material regarding national and international research vessel projects.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off file at the end of the calendar year.

Retention Period Destroy 20 year(s) after cutoff.

Additional Information

6	GAO Approval	Not Required
	Fisherman Guarantee Fund – Seized Vessel Case Files	
	Disposition Authority Number	DAA-0059-2019-0006-0006
	These records include but is not limited to, insurance applications and agreements, certificates of vessel ownership, photocopies of personal/company checks, and other material required to process insurance claims on lost catch or fishing equipment or seizure of fishing vessel.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off file at the end of the calendar year in which the case closes.
	Retention Period	Destroy 5 year(s) after cutoff.
Additional Information		
GAO Approval	Not Required	

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/07/2018	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
03/29/2021	Return for Revision	Andrea Shahmohammadi	Appraisal Archivist	National Archives and Records Administration - Records Management Office
04/23/2021	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
08/02/2021	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
09/29/2021	Return for Revision	Andrea Shahmohammadi	Appraisal Archivist	National Archives and Records Administration - Records Management Office
10/06/2021	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
11/09/2021	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
01/14/2022	Submit for Concurrence	Andrea Shahmohammadi	Appraisal Archivist	National Archives and Records Administration - Records Management Office

01/25/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/27/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/31/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

CROSSWALK, DAA-0059-2019-0006

NEW DISPOSITION AUTHORITY						RELATED AUTHORITIES	
Item	Record Series	Disposition	Series Level Cutoff (where applicable)	Office of Record (for permanent records only)	Superseded Authority	Disposition Authority	Record Series
0001	Program Files	Permanent	Cut off file at the end of the calendar year or when final action occurs. Transfer to NARA 25 years after cutoff.	Office of the Executive Director	n/a; new Item 2012 forward	N1-059-93-28/4	Fishery Commission Files - Arranged by Subject
					n/a; new Item 2012 forward	N1-059-93-28/5	Advisory Committee Files - Arranged by Subject
				Office of International Health and Biodefense	n/a; new Item 2012 forward	N1-059-93-30/2	Subject Files Arranged According to Specific Subject TAGS and Terms
					n/a; new Item 2012 forward	N1-059-93-30/3	Organization and Agencies Files - Arranged by Name of Organization or Agency
					n/a; new Item 2012 forward	N1-059-93-30/4	Country Files Arranged by name and country
					n/a; new Item 2012 forward	N1-059-93-30/5	Chronological Files
					Office of Environmental Quality and Transboundary Issues	n/a; new Item 2012 forward	N1-059-93-30/6
				n/a; new Item 2012 forward		N1-059-93-30/7	Country Files
				n/a; new Item 2012 forward		N1-059-93-30/8	Organization and Conference Files - Arranged by subject
				n/a; new Item 2012 forward		N1-059-93-30/9a	Background/Briefing Books
				Office of Water Conservation OES/ECW	n/a; new Item 2012 forward	DAA-0059-2014-0023-0003	Administrative Review Document (ARD)
					n/a; new Item 2012 forward	N1-059-93-30/10	Office of Ecology, Environmental Protection - Subject Files
					n/a; new Item 2012 forward	N1-059-93-30/11	Country Files

	n/a; new Item 2012 forward	N1-059-93-30/12	Organization Conference Files
	n/a; new Item 2012 forward	N1-059-93- 30/15a	Briefing Books
Office of Global Change OES/EGC	n/a; new Item 2012 forward	N1-059-93-30/16	Office of Global Change - Subject Files
	n/a; new Item 2012 forward	N1-059-93-30/17	Country Files
	n/a; new Item 2012 forward	N1-059-93-30/18	Organization and Conference Files - Arranged by organization
	n/a; new Item 2012 forward	N1-059-93-30/19a	Background/Briefing Books
	n/a; new Item 2012 forward	N1-059-93-30/20	Man and the Biosphere Program - Subject Files
	n/a; new Item 2012 forward	N1-059-93-30/21	Program and Project Files - Arranged by project and country
	n/a; new Item 2012 forward	N1-059-93-30/21	Meeting Files
	n/a; new Item 2012 forward	N1-059-93-30/20	Man and the Biosphere Program - Subject Files
	n/a; new Item 2012 forward	N1-059-93-30/21	Program and Project Files - Arranged by project and country
	n/a; new Item 2012 forward	N1-059-93-30/24	Meeting Files
	n/a; new Item 2012 forward	N1-059-93-30/28	Directorates Files - Arranged by name of Directorate
	n/a; new Item 2012 forward	N1-059-93-30/29	Publications Files
	Deputy Assistant Secretary, Oceans and Fisheries - OES/O	n/a; new Item 2012 forward	N1-059-93-32/1
n/a; new Item 2012 forward		N1-059-93-32/2	Daily Activities Records - Arranged chronologically
n/a; new Item 2012 forward		N1-059-93-32/3	Subject and Country Files

	n/a; new Item 2012 forward	N1-059-93-32/4	Organization and Conference Files - Arranged by organization, thereunder by conference date
	n/a; new Item 2012 forward	N1-059-93-32/5	Chronological Files - Arranged by month and year
Office of Marine Conservation - OES/OMC	n/a; new Item 2012 forward	N1-059-93-32/7	Subject and Country Files
	n/a; new Item 2012 forward	N1-059-93-32/8	Organization and Conference Files - Arranged by organization, thereunder by conference date
	n/a; new Item 2012 forward	N1-059-93-32/10	Negotiation and Agreement Files Arranged by subject, thereunder chronologically
	n/a; new Item 2012 forward	N1-059-93- 32/13a	Fisherman Guarantee Fund Files - Arranged by vessel name, thereunder chronologically
Office of Ocean and Polar Affairs - OES/OPA	n/a; new Item 2012 forward	N1-059-93-32/14	Director Files - Arranged by subject, country, and chronologically
	n/a; new Item 2012 forward	N1-059-93-32/15	Organization and Conference Files - Arranged by organization, thereunder by conference date
	n/a; new Item 2012 forward	N1-059-93-32/17	Marine Law and Policy Division - Subject and Country Files
	n/a; new Item 2012 forward	N1-059-93-32/18	Marine Law and Policy Division - Organization and Conference Files - Arranged by organization, thereunder by conference date
	n/a; new Item 2012 forward	N1-059-93-32/19	Marine Law and Policy Division - Maritime Boundary Files - Arranged by country, region, and subject
	n/a; new Item 2012 forward	N1-059-93- 32/21a	Marine Law and Policy Division - Background/Briefing Books

n/a; new Item 2012 forward	N1-059-93-32/22	Marine Science and Technology Division - Subject and Country Files	
n/a; new Item 2012 forward	N1-059-93-32/23	Marine Science and Technology Division - Organization and Conference Files - Arranged by organization, thereunder by conference date	
n/a; new Item 2012 forward	N1-059-93- 32/26a	Marine Science and Technology Division - Background/Briefing Books	
n/a; new Item 2012 forward	N1-059-93-32/29	Polar Affairs Division - Subject and Country Files	
n/a; new Item 2012 forward	N1-059-93-32/30	Polar Affairs Division - Organization and Conference Files - Arranged by organization, thereunder by conference date	
n/a; new Item 2012 forward	N1-059-93-32/32	Polar Affairs Division - Maritime Boundary Files - Arranged by country, region, and subject	
n/a; new Item 2012 forward	N1-059-93- 32/34a	Polar Affairs Division - Background/Briefing Books	
Deputy Assistant Secretary for Science, Space, and Health - OES/S	n/a; new Item 2012 forward	N1-059-93-33/2	Subject Files
	n/a; new Item 2012 forward	N1-059-93-33/3	Organization and Agencies - Arranged by name of organization or agency
	n/a; new Item 2012 forward	N1-059-93-33/4	Country Files
	n/a; new Item 2012 forward	N1-059-93-33/5	Chronological Files
Office of Space and Advanced Technology	n/a; new Item 2012 forward	N1-059-93-33/6	Program Files - Arranged by subject and country

					n/a; new Item 2012 forward	N1-059-93-33/7	Organization and Conference Files - Arranged by organization, thereunder by conference
					n/a; new Item 2012 forward	N1-059-93-33/9	Space Shuttle Mission Files - Arranged chronologically
					n/a; new Item 2012 forward	N1-059-93-33/10	Negotiation and Agreement Files Arranged chronologically
					n/a; new Item 2012 forward	N1-059-09-35/1c	System Output - Reports generated and sent to UN Secretary-General for inclusion into UN Register of Objects Launched into Outer Space.
				Office of Science and Technology Cooperation – OES/STC	n/a; new Item 2012 forward	N1-059-93-33/11	Subject Files
					n/a; new Item 2012 forward	N1-059-93-33/12	Country Files
					n/a; new Item 2012 forward	N1-059-93-33/13	Scientific and Technology Agreements Files - Arranged by country
					n/a; new Item 2012 forward	N1-059-93-33/15	Advisory Committee Files - Arranged by subject
0002	Administration and Management Files	Temporary	Cutoff at the end of the calendar year. Destroy 10 year(s) after cutoff.		n/a; new Item 2012 forward	N1-059-93-28/1a	Executive Director - Subject Files - Arranged by subject - a. Documents that define, discuss and or establish precedent
					n/a; new Item 2012 forward	N1-059-93-28/2	Deputy Director Files - Arranged by Subject
					n/a; new Item 2012 forward	N1-059-93-28/3	Program Planning Guidance - Arranged by subject

0003	Application Review Files	Temporary	Cut off file at the end of the calendar year in which the final application decision is issued. Destroy 15 years after cutoff.		n/a; new Item 2012 forward	DAA-0059-2014-0023 / 0002	Application Review Files
0004	Conference Administrative Files	Temporary	Cut off file at the end of the calendar year in which the conference ends. Destroy 3 years after cutoff.		n/a; new Item 2012 forward	N1-059-93-30/13	Conference and Administrative Files - Arranged by organization
					n/a; new Item 2012 forward	N1-059-93-32/6	Conference Administrative Files - Arranged by organization, thereunder by conference date
					n/a; new Item 2012 forward	N1-059-93-32/9	Conference Administrative Files - Arranged by organization, thereunder by conference date
					n/a; new Item 2012 forward	N1-059-93-32/16	Conference Administrative Files - Arranged by organization, thereunder by conference date
					n/a; new Item 2012 forward	N1-059-93-32/24	Marine Science and Technology Division - Conference Administrative Files - Arranged by organization, thereunder by conference date
					n/a; new Item 2012 forward	N1-059-93-32/31	Polar Affairs Division - Conference Administrative Files - Arranged by organization, thereunder by conference date
					n/a; new Item 2012 forward	N1-059-93-33/8	Conference Administrative Files - Arranged by organization, thereunder by country
0005	Subject Files - Arranged by name of biosphere,	Temporary	Cutoff at the end of the calendar year. Destroy 20 year(s) after cutoff.		n/a; new Item 2012 forward	N1-059-93-30/26	Biosphere Reserve Files - Arranged by name of biosphere
					n/a; new Item 2012 forward	N1-059-93-30/27	Country Files

	vessel name, or country				n/a; new Item 2012 forward	N1-059-93-32/12	Commercial Fishing Vessel Case Files - Arranged by vessel name, thereunder by case
					n/a; new Item 2012 forward	N1-059-93-32/27	Marine Science and Technology Division - Research Vessel Case Files
0006	Fisherman Guarantee Fund Case Files	Temporary	Cut off file at the end of the calendar year in which the case closes. Destroy 5 years after cutoff.		n/a; new Item 2012 forward	N1-059-93-32/13b	Fisherman Guarantee Fund Files - Case Files of Seized Vessels