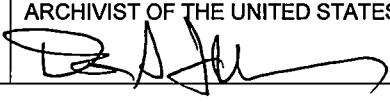


REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-592-12-1</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>9-14-2012</i>	
1. FROM (Agency or establishment) Marine Mammal Commission		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Timothy J. Ragen, Executive Director	5. TELEPHONE NUMBER 301-504-0087	DATE <i>6 July 15</i>	ARCHIVIST OF THE UNITED STATES 
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>9/12/2012</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Timothy J. Ragen</i>		TITLE <i>EXECUTIVE DIRECTOR</i>
7. ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Marine Mammal Commission Comprehensive Records Schedule (see attached)		

ADMINISTRATIVE OFFICER FILES

Marine Mammal Commission RCS No. 100

1. 133 Administrative Reports

Required reports and data calls prepared and submitted by the Commission to other Federal agencies, Congress and the White House, including the Performance and Accountability Reports (PAR) required by the Office of Management and Budget Circular A-136 which provide information that enables the President, Congress and public to assess effectiveness of the Commission's mission, performance, and stewardship of resources.

Disposition: **PERMANENT**. Cut off at the end of fiscal year (FY) in which report is published. Transfer to the National Archives 15 years after cut off.

RECORDS OF THE EXECUTIVE DIRECTOR

Marine Mammal Commission RCS No. 200

The Executive Director Files represent records accumulated by the Commission that relate to commission program administration. These records include Commission Chronological Files, copies of laws and regulations, and Congressional Hearing documents to include drafts, correspondence, and final testimony. Also included are Annual Report documentation that details the Commission's activities and accomplishments for each calendar year, including findings and recommendations and the responses to those recommendations. Annual Meeting and Commission-sponsored workshop files contain background materials, agendas, briefing books, and meeting transcripts. Also included are records regarding the selection, nomination, and appointment process of the Commissioners and the Committee of Scientific Advisors on Marine Mammals.

2. 201 Program Correspondence Files, including Chronological Files and electronic mail

Official program correspondence created or received by the Executive Director, including electronic mail.

Disposition: **PERMANENT**. Cut off at end of the FY. Transfer paper files to the National Archives 15 years after cut off. Transfer electronic files to the National Archives 5 years after cutoff.

3. 202 Appointment Calendars

a. Appointment calendars and schedules maintained by the Executive Director.

Disposition: **PERMANENT**. Cut off at end of the FY. Transfer to National Archives in 5 year blocks when most recent record is 15 years old.

b. Appointment calendars of administrative assistants and other staff.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 5 years after cut off.

4. 203 Organization, Authorities and Function Files

Files documenting the Commission's organization, such as organization charts, and authorities, such as copies of laws and regulations, and functional statements for all commission components summarizing authorized activities.

Disposition: **PERMANENT**. Transfer to the National Archives when 15 years old.

5. 204 Congressional Hearings and Testimony Files

Records relating to Commission testimony requested by Congress for Congressional hearings.

- a. Records include correspondence and final testimony.

Disposition: **PERMANENT**. Cut off at end of the FY. Retain at MMC for 5 years after cut off and then transfer to WNRC. Transfer to NARA in 5 year blocks when records are 15 years old.

- b. Drafts of testimony.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 5 years after cut off.

6. 205 Annual Reports

Records include various files created in conjunction with the creation of the Commission's annual reports to Congress. Annual reports document the Commission's activities and accomplishments for each calendar year, including all the findings and recommendations made by the Commission, together with the responses to those recommendations.

- a. Final annual reports.

Disposition: **PERMANENT**. Cut off at end of the FY in which report is published. Transfer one copy to the National Archives 15 years after cutoff.

- b. Working papers, correspondence, reviews, comments and drafts related to the annual report.

Disposition: **TEMPORARY**. Cut off at end of the FY in which report is published. Destroy 10 years after cut off.

7. 206 Commission Sponsored Report Files

Records include various files created in conjunction with the creation of Commission-sponsored reports (EXCLUDING the annual report and reports created through the Scientific Program grants). Periodically the Commission organizes and supports, in whole or part, initiatives to investigate and/or address specific issues. The resulting product is a written

report.

a. Final Reports.

Disposition: **PERMANENT**. Cut off at end of the FY in which report is published.
Transfer to the National Archives 15 years after cut off.

b. Correspondence, drafts, background materials, invitation lists, agendas, and other related documents.

Disposition: **TEMPORARY**. Cut off at end of the FY in which report is published.
Destroy 10 years after cutoff.

8. **207 Non-Commission Sponsored Report Files**

Records associated with non-Commission sponsored reports, including stock assessment reports and reports that the Commission contributed to for other Federal agencies such as NOAA and the Department of the Interior.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 10 years after cut off or when no longer needed for reference.

9. **208 Annual Meeting Files**

Records cover the development and implementation of the Commission's annual meeting. Commission staff, the Committee of Scientific Advisors, and the Commissioners meet annually to discuss administrative issues, obtain information from other agencies on the most pressing issues facing marine mammal conservation, review progress to date, and consider directions for future efforts and programs. Records include background materials, agendas, briefing books and a verbatim transcript of the proceedings.

a. Final agenda, briefing book and transcripts.

Disposition: **PERMANENT**. Cut off at end of the FY in which meeting was completed.
Transfer to the National Archives 15 years after cutoff.

b. Correspondence, drafts and background material.

Disposition: **TEMPORARY**. Cut off at end of the FY in which meeting was completed.
Destroy 2 years after cut off or when no longer needed for reference.

10. **209 Other Workshop and Meeting Files**

Records include various files created in conjunction with the creation of Commission-sponsored workshops or symposia (EXCLUDING the annual meeting and workshops funded through the Scientific Research Program). Periodically the Commission organizes and supports, in whole or part, workshops and meetings to investigate issues or phenomena of particular importance to marine mammal conservation. Commission staff often works with workshop organizers to develop an agenda and assist with background materials.

- a. Final workshop materials, including final reports, transcripts, and other records.

Disposition: **PERMANENT**. Cut off at end of the FY in which workshop occurred. Transfer to the National Archives 15 years after cut off.

- b. Correspondence, drafts and background material.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 2 years after cut off or when no longer needed for reference.

11. 210 Records of the Committee of Scientific Advisors

- a. Records covering the nomination, selection and appointment process of the Commissioners and Committee of Scientific Advisors on Marine Mammals, which govern the Commission as designated by the Marine Mammal Protection Act. Records include the nomination letter to the National Science Foundation (NSF), return letters from the NSF to nominees and the final appointment letters from the NSF.

Disposition: **PERMANENT**. Transfer to the National Archives when 15 years old.

Note: the General Services Administration, Agency Liaison Division, is the official repository of personnel records for special government employees serving on the Commission and the Committee.

- b. All other records related to the Committee of Scientific Advisors

Includes correspondence with the Council on Environmental Quality, the Smithsonian Institution, the National Science Foundation, and the National Academy of Sciences, all of which play a role in the selection of the Commissioners and members of the Committee of Scientific Advisors. Additional documents include submissions to the Office of Management and Budget, congressional testimony if required, official appointment documents, informal meeting minutes and correspondence, and membership lists and biographies.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 10 years after cut off or when no longer needed for reference.

12. 211 Records of Other Federal Agencies

Records cover general records of other agencies with which the Commission interacts, including the Departments of Commerce, Interior, Defense, BOEM, NOAA, NPS, USGS and others. Include administrative matters, research program reviews, budgets, strategic plans, and guidelines for approaches to marine mammals.

Disposition: **TEMPORARY**. Destroy when 2 years old or when no longer needed for reference, whichever occurs later.

13. 213 Liaison Files

Records include very general correspondence and liaison activity materials, including periodic bulletins, newsletters, announcements, publicity and annual reports from public sector conservationist and protectionist organizations, industry, other organizations, state agencies, and presidential administrations.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 2 years after cut off or when no longer needed for reference.

RECORDS OF THE GENERAL COUNSEL**Marine Mammal Commission RCS No. 300**

The Office of the General Counsel is the chief legal adviser to the Commission. The General Counsel provides legal support for Agency rules and policies. The Records of the General Counsel contain documents that cover litigation updates and specific case histories pertaining to marine mammals, Marine Mammal Protection Act text, amendments, reauthorization and hearing materials, responses to Congressional requests, and records on the native exemption regulations, co-management agreements under Section 119, Indian treaty rights, and other documents related to Native American issues. Freedom of Information Act records and financial disclosure report files are also included. Files on the Ethics Program, Annual Agency Ethics Program Questionnaire, Ethics Employee Training and Education, and Ethics Program procedure files are contained in this group.

14. 301 Litigation Files

Records cover litigation updates and specific case histories pertaining to marine mammal conservation. Files are utilized as references for Commission responses, correspondence, recommendations and other Commission needs.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 10 years after cut off or when no longer needed for reference.

15. 302 Legislation Files

Records pertain to legislation relevant to the Commission's work (EXCLUDING FOIA records). Documents include Marine Mammal Protection Act text, amendments, reauthorization and hearing materials, and related correspondence as well as bills and appropriations.

- a. Commission-produced records, such as testimony, proposed amendments, text, response to Congressional requests, and related correspondence.

Disposition: **PERMANENT**. Cut off at end of the FY. Retire to the Federal Records Center (FRC) when no longer needed. Transfer to the National Archives 50 years later.

- b. Records of other agencies, Congress and copies of Acts.

Disposition: **TEMPORARY**. Cut off at end of the FY. Destroy 10 years after cut off or when no longer needed for reference.

16. 303 Co-management Files

Records cover native exemption regulations, co-management agreements under Section 119, Indian treaty rights, and other documents related to Native American and co-management issues. Commission staff provides comments, recommendations, briefs and other related correspondence.

Disposition: **PERMANENT**. Transfer to the National Archives when 15 years old.

17. 304 Waiver Files

Records include documents related to waivers and authorizations for the taking of marine mammals incidental to Alaskan Native culture or commercial fishing where the MMC is a rulemaking party.

Disposition: **PERMANENT**. Cut off at end of the FY. Retire to the Federal Records Center (FRC) when no longer needed. Transfer to the National Archives 50 years later.

RECORDS OF INTERNATIONAL AND POLICY PROGRAM DIRECTOR

Marine Mammal Commission RCS No. 400

The International and Policy Program Director Files represent Commission responses to and comments on the National Environment Policy Act (NEPA), including Environmental Impact Statements and Environmental Assessments, final Commission-produced recommendations, letters, publications and/or conclusions on the International Program. Documents on Ocean Policy, Area Specific Management, Energy Program, Species Program, Fisheries Subject Files, and Permit and Authorization files are also included.

18. 401 National Environmental Policy Act Files

Records related to the National Environmental Policy Act (NEPA) of 1969, which provides procedural requirements for all federal agencies to prepare environmental assessments and impact statements that outline potential environmental effects of proposed agency actions.

Records include commission responses to and comments on NEPA documents (including Environmental Impact Statements and Environmental Assessments), any NEPA-related correspondence, background records, agency responses, and final NEPA documents.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the NEPA document was finalized. Transfer to the Federal Records Center 30 years after cutoff. Transfer to the National Archives 30 years later.

19. 402 International Program Files

Records pertain to legislation relevant to the Commission's work (EXCLUDING FOIA records). Documents include Marine Mammal Protection Act text, amendments, reauthorization and hearing materials, and related correspondence as well as bills and appropriations.

- a. Final Commission-produced recommendation, letter, publication and/or conclusions and related key documents.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the project was completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records.

Disposition: **TEMPORARY**. Cut off at the end of the FY in which the project was completed. Destroy/delete when no longer needed for reference.

20. 403 Ocean Policy Files

Records that cover ocean policy and related issues.

- a. Final Commission-produced recommendation, letter, publication and/or conclusions and related key documents.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the project was completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records.

Disposition: **TEMPORARY**. Cut off at the end of the FY in which the project was completed. Destroy/delete when no longer needed for reference.

21. 404 Area Specific Management Files

Records cover specifically protected areas, including national marine sanctuaries, national parks, seashores, monuments and refuges by geographic location, governing rules and regulations, and related public inquiries.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions and related key documents.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the project was completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records.

Disposition: **TEMPORARY**. Cut off at the end of the FY in which the project was completed. Destroy/delete when no longer needed for reference.

22. 405 Energy Program Files

Records pertain to Commission actions regarding energy issues (including oil and gas and renewable energy), and include energy-related correspondence and technical documents, workshop reports, research plans, data collection and management guidelines, industry best practices, contracted reports and other materials.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions and related key documents, background documents, and final agency actions/policies.

Disposition: **PERMANENT**. Cut off at the end of the FY in which action was authorized. Transfer to the Federal Records Center (FRC) 30 years after cutoff. Transfer to the National Archives 20 years later.

- b. All other correspondence, drafts, and related records.

Disposition: **TEMPORARY**. Cut off at the end of the FY in which the project was completed. Destroy/delete after 20 years or when no longer needed for reference.

23. 406 Species Program Files

Records include correspondence, species-specific materials, public inquiries and comments, biological material and sub-files on species-specific recovery plans and teams, program reviews, projects, and conflicts.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions or other materials and related key documents.

Disposition: **PERMANENT**. Cut off at end of FY in which the project was completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records

Disposition: **TEMPORARY**. Cut off at end of FY in which the project was completed. Destroy/Delete when no longer needed for reference.

24. 407 Fisheries Subject Files

Records document Commission's work with and interaction with fisheries. Includes general information on marine mammal-fishery interactions, specific fishery conservation and management councils and management plans, lists of fisheries and other fishery-related issues.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions or other materials and related key documents.

Disposition: **PERMANENT**. Cut off at end of the FY in which the project was completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records

Disposition: **TEMPORARY**. Cut off at end of the FY in which the project was completed. Destroy/Delete when no longer needed for reference.

25. 408 Policy Subject Files

Records cover subject files not covered elsewhere in this schedule, but which are important to the Commission's work, such as files on climate change, sound, noise and acoustic disturbance, stranding and health, marine debris and tourism and recreation.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions or other materials and related key documents, background documents, and final agency actions/policies.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the project was completed. Transfer to the National Archives 30 years after cut off.

- b. All other correspondence, drafts and related records

Disposition: **TEMPORARY**. Cut off at the end of the FY in which the project was completed. Destroy/delete when no longer needed for reference.

26. 409 Permit Files

Records include scientific research, public display, photography and enhancement permits, Antarctic Conservation Act permits, and other authorizations and their associated records, such as correspondence with permitting agencies and Commission recommendations.

Disposition: **TEMPORARY**. Cut off at the end of the FY in which action was authorized. Transfer to the Federal Records Center (FRC) 30 years after cut off. Destroy 20 years later.

RECORDS OF THE SCIENTIFIC RESEARCH PROGRAM

Marine Mammal Commission RCS No. 500

The records of the Scientific Research Program include Project Grant Files that cover grants for scientific projects funded by the Commission. Documents include the funded research proposals, project agreement or statement of work, funding documentation, progress reports, and reviews or comments on draft and final reports. Stock Status Files that cover Commission correspondence and research regarding stock status, and recommendations on and responses to Stock Status Reports contain final Commission produced recommendations, publications, letters, and/or conclusions or other materials and related key documents. Master Files of the Survey of Federally Funded Research and Data Collection System files include the Commission's methodology used to conduct annual surveys as mandated by the Marine Mammal Protection Act.

27. 410 Incidental Harassment and Letter of Authorization Files

Records related to 101(A) of the MMPA, including Commission responses to and comments on authorization applications, background records, proposed authorization or regulations, agency responses, and final authorizations or regulations.

Disposition: **PERMANENT**. Cut off at the end of the FY in which the authorization or regulation was finalized. Transfer to the National Archives 30 years after cutoff.

28. 502 Stock Status Files

Records cover Commission correspondence and research regarding stock status, recommendations on and responses to Stock Status Reports and associated documents.

- a. Final Commission-produced recommendation, publication, letter, and/or conclusions.
Disposition:

Disposition: **PERMANENT**. Cut off at end of FY in which the project is completed. Transfer to the National Archives 15 years after cut off.

- b. All other correspondence, drafts and related records

Disposition: **TEMPORARY**. Cut off at end of the FY in which project is completed. Destroy/delete when no longer needed for reference.

29. Commission Website

Web content consists of commission web pages containing duplicate information maintained in records scheduled separately under other items above.

Disposition: **TEMPORARY**. Delete pages as they are superseded and no longer needed for reference purposes.