

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

1. FROM (Agency or establishment)

U.S. Department of Commerce

2. MAJOR SUBDIVISION

National Oceanic and Atmospheric Admin.

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Daisy Rivers

(301) 443-0610

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-370-90-2

DATE RECEIVED

4/3/90

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

JUN 9 1995

ARCHIVIST OF THE UNITED STATES

*John W. Paul*

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒

is not required;

☐

is attached; or

☐

has been requested.

DATE

4/5/95

SIGNATURE OF AGENCY REPRESENTATIVE

*Daisy O. Rivers*

TITLE

*NOAA Records Officer*

7.  
ITEM  
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR  
SUPERSEDED  
JOB CITATION

10. ACTION  
TAKEN (NARA  
USE ONLY)

Attached are four functional chapters from

the NOAA Filing-Disposition Handbook #34:

Chapter 100: Records Common to all Offices

Chapter 600: International Affairs

Chapter 1200: Scientific and Technical Records

Chapter 2100: Sea Grant Program Records

All changes to this proposed schedule have been approved by:

*Larry Baume*  
NARA appraiser

*4/5/95*  
date

*Daisy O. Rivers*  
Agency representative

*4/5/95*  
date

*Copies sent to agency, NSR, NNS, NNE, NNT, NSX, NCF 6/14/95*

**NOAA Filing - Disposition Handbook**  
**Chapter 100: Records Common to All NOAA Offices**

This chapter of the *Filing - Disposition Handbook* describes official NOAA program and mission records that may be located throughout all NOAA Headquarters offices, Line Offices, bureaus, services, centers, laboratories, divisions, branches, sections or other organizational unit, and in all NOAA regional and field offices. The records in this chapter are unique program records in NOAA, and many of the records listed are permanently valuable and should be transferred to the National Archives in accordance with the disposition instructions, such as photographs and certain program correspondence subject files. These records are important in preserving the history of NOAA, and to maintain a record of significant decisions, actions, policies, and programs. Other records are listed as temporary, and should be transferred to a federal records center or destroyed in accordance with the approved disposition. The provisions of this schedule apply wherever records performing the function or functions described below are found regardless of the operating unit, division, or the location of the records in NOAA. In some instances, specific NOAA offices are identified as the office of record, and disposition instructions for records in those custodial offices are provided.

Chapter 200 lists the most common administrative and housekeeping records that are often maintained in NOAA offices at all levels. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions, such as personnel records, pay administration and payroll, procurement records, financial records, travel and transportation, administrative management, and other record series that are already scheduled in the General Records Schedule (GRS) issued and approved by the National Archives.

Other chapters of the *Filing - Disposition Handbook* provide disposition instructions for other series of records that relate to unique functions within NOAA, or that would not be found across all NOAA administrative units, i.e. Chapter 1200, Scientific and Technical Records; and Chapter 600, International Affairs Records. If unique NOAA program records are not listed in either Chapters 100 or 200, or in specific functional chapters of this Handbook, contact the NOAA Records Management Officer in the Administrative Services Division of the Office of Administration for disposition instructions and assistance.

**100**

**-01 Publications, Studies, and Reports (N1-370-90-3, Item 1501-16)**

One copy of all official NOAA publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including but not limited to annual reports to Congress and the Secretary of Commerce; special project studies and reports that are conducted by NOAA or under

contract to NOAA; journals, technical reviews, catalogs, and other scientific and technical publications prepared by NOAA; procedural or policy manuals, handbooks, and other agency guidance; public relations flyers, brochures and educational materials prepared to furnish information or to promote agency programs and operations to the public.

**AUTHORIZED DISPOSITION:**

- a. **Official record set.** One copy of each official NOAA publication, study, report, scientific paper, or other formally published or informally produced materials.

PERMANENT. Break files annually and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

- b. **All other copies.** Duplicate copies of NOAA publications maintained by all NOAA operating units and divisions solely for convenience of reference.

Destroy when no longer needed for current agency business.

- c. **Manuscripts and Reviews of Manuscripts.** Manuscripts and reviews of manuscripts submitted to NOAA or other public or private publisher for review and comment prior to publication.

Destroy when no longer needed for frequent reference or when 3 years old, whichever is sooner.

- d. **Publication clearance and review records.** Files containing official documentation of the NOAA publication review and approval process.

Destroy 3 years after notification of publication.

**100**

**-02 Unofficial, Routine, or Informal Publications, Newsletters, Bulletins, Calendars, and Announcements**

Publications circulated or distributed to NOAA staff for informational purposes. These publications are not considered to be official NOAA publications, nor have they been submitted to formal editorial review board offices or received other formal review and approval prior to publication.

**AUTHORIZED DISPOSITION:** Destroy when no longer needed for current agency business.

**100**

**-03 Administrative Issuances (N1-370-76-2, Items 4a, 4b, and 6)**

The distribution copies and the official record set of all NOAA directives, bulletins, organization charts, functional statements, administrative manuals, and similar records.

Office of Record: Office of Administration

**AUTHORIZED DISPOSITION:**

**a. Official Record Set**

The original file copy of all NOAA directives, bulletins, organization manuals and charts, functional statements, and similar administrative issuances and manuals.

**PERMANENT.** Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

**b. Distribution copies**

Duplicate copies of NOAA directives, bulletins, organization charts, mission and functional statements, issuances, and administrative manuals maintained outside of the NOAA Office of Administration..

Destroy when superseded or when no longer needed for current agency business.

**c. Working papers and background materials.** Case files containing a record of concurrence, comments, clearances, justifications, and other background notes or issuance history records for all agency directives, administrative issuances, internal and external reorganization proposals, and bulletins.

**PERMANENT:** Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

100

**-04 Technical and General Reference Materials**

Non-record, unofficial, or duplicate copies of books, publications, manuals, reports, newsletters, press releases, professional journals, reprints, trade catalogs, and other similar materials maintained solely for convenience of reference.

**AUTHORIZED DISPOSITION:** Destroy when superseded, obsolete, or no longer needed for current agency business.

100

**-05 Reading Files (also known as "Chron" or Day Files)**

Duplicate copies of outgoing correspondence prepared by NOAA organizational units and circulated to staff, or maintained in offices solely for convenience of reference.

**AUTHORIZED DISPOSITION:** Destroy when no longer needed for current agency business, or when 2 years old, whichever is sooner.

100

**-06 Photographic Prints, Negatives, and Slides (supersedes NC1-370-75-1, Item 1106-04)**

Photographic negatives, prints, transparencies, and slides related to NOAA's mission and programs. These photographs may be maintained in all NOAA operating units, divisions, branches or sections, or in organized central photograph files within any NOAA administrative unit.

*NOTE: For each type of audiovisual record designated as permanently valuable under Subitem 100-06a of this chapter, the specific components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.*

**AUTHORIZED DISPOSITIONS:**

**a. Original or master negatives, slides, and photographic prints**

Photographic records maintained in NOAA units at all levels or in organized central photograph files relating to architecturally or historically significant NOAA buildings, research facilities, and laboratories; aircraft, ships, and spacecraft; especially significant or precedental laboratory and scientific equipment or apparatus; scientific and technical research projects and experiments that are not maintained as a part of an official project case file

(scheduled in Chapter 1200, Item 1); significant special studies and other investigations; and portraits of senior agency officials or distinguished NOAA researchers, and other significant photographs that document activities directly related to NOAA's mission and programs.

*NOTE: To provide for the proper preservation of NOAA's photographic images, color and black and white negatives and photographic prints should be maintained in separate files while in agency custody, and transferred separately to the National Archives in accordance with the disposition instructions below.*

**a(1) Black and white and color negative photography:** the original negative, and a captioned print.

**a(2) Color photography:** the original negative, a captioned print, and a duplicate negative, if one exists.

**a(3) Color transparency and slide photography:** The original and one duplicate copy.

**a(4) Slide sets or filmstrips and accompanying audio recordings or scripts:** The original and one duplicate copy.

**a(5) Finding aids:** All finding aids, whether electronic or hard copy, relating to the photographic records described above.

**PERMANENT.** Break files every 5 years and transfer the required record elements listed above directly to the National Archives in 5-year blocks when 20 years old.

**b. Routine photographs, negatives, and slides**

Photographs, negatives, slides of routine award ceremonies, common laboratory equipment, routine research projects, duplicate copies of slides, transparencies, or photographs used for audiovisual presentations, and other photographic records that are not related to NOAA's mission, activities, and programs.

Destroy when no longer needed for current agency business, or when 10 years old, whichever is sooner.

100

**-07 Public Affairs Photographs, Negatives, and Slides (Supersedes NC1-370-75-1, Item 1106-04)**

Photographs, slides, negatives, graphic arts, and posters documenting NOAA public affairs activities, or used for annual reports or other publications, news releases, project bulletins, exhibits, and for other public affairs or communications purposes.

Office of Record: Public Affairs Division

**a. Official Record Set**

PERMANENT. Break files annually and transfer the required record elements listed in Item 100-06 directly to the National Archives when 10 years old.

**b. All other copies**

Destroy when no longer needed for current agency business.

100

**-08 Sound Recordings, Videotapes, Motion Picture Film, and other Audiovisual Records (Supersedes NC1-370-75-1, Item 1106-08, 1106-10, 1106-11)**

Sound recordings, videotapes, motion picture films and equivalent or related records created or produced by NOAA, or acquired from other outside sources.

*NOTE: For each type of audiovisual record designated as permanently valuable, the specific record components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.*

**Video recordings:** The original or earliest generation of each video recording, and a dubbing, if one exists.

**Sound recordings:** The original or earliest generation of each audiotape recording, and a dubbing, if one exists.

**Motion pictures:**

Agency-sponsored films: The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

Acquired films: Two projection prints or one projection print and a video recording.

Unedited footage: The original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exists, appropriately arranged, labeled, and described.

**AUTHORIZED DISPOSITION:**

**a. Official record set**

The original master sound or video recording, or the original film negative and one print of motion picture film that documents scientific and engineering research programs and activities conducted by NOAA; public affairs or news interviews with NOAA officials and staff; news releases and public service announcements; and other productions created to disseminate agency information regarding NOAA operations and programs to the public.

PERMANENT. Break files every 5 years and transfer the required record elements listed above directly to the National Archives.

*NOTE: The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing without further agency notification.*

**b. All other copies**

Destroy when no longer needed for current agency business.

100

**-09 Posters, Graphic Arts, and Original Artworks**

- a. Posters, charts, flyers, brochures, handouts, and other graphic arts that are related to NOAA mission or programs and are distributed agency-wide or to the public for promotional, scientific, educational, exhibition, or public relations purposes.

AUTHORIZED DISPOSITION: PERMANENT. Break files every five years and transfer two copies of each poster or graphic art product directly to the National Archives.



- b. Posters, charts, flyers, brochures, handouts and similar records that advertise or publicize activities not directly related to NOAA's missions or programs such as charity drives, credit unions, general building and fire safety programs, facilities and energy conservation programs, professional meetings and associations, personnel and employee services, and the like.

**AUTHORIZED DISPOSITION:** Destroy when no longer needed for current agency business.

**100**

**-10 Public Affairs Speeches, Comments, and News Releases** (Supersedes NC1-370-75-1, Item 1105-01, and Item 1105-07)

The original or official copy of all NOAA news or press releases; copies of speeches, addresses and comments made by senior NOAA and Department of Commerce officials; transcripts or summaries of remarks made for news or public affairs program interviews on television or radio, or at Congressional hearings; and similar interviews, speeches, or hearings that relate to official NOAA policies and programs.

Office of record: Public Affairs Division

**a. Official Record Set**

PERMANENT. Break files annually and transfer to the FRC when 3 years old. Transfer to the National Archives when 20 years old.

**b. All other copies**

Destroy when no longer needed for current agency business or when 5 years old, whichever is sooner.

**Line Organization, Bureau, and Division Program Records**

This section covers program records maintained by both management and technical Line Organizations, bureaus, and other NOAA program units. It pertains to records created regarding the management of NOAA L.O.s, laboratories, units, or divisions. Covered elsewhere in this schedule are general records such as publications, reference materials, administrative issuances, project case files, and NOAA scientific and technological records. Scientific and technical program records, as well as other unique scientific records are covered in separate functional chapters of this schedule, such as Chapter 1200.

100

**-11 Program Correspondence Subject Files Maintained at the Operating Unit, Line Organization (L.O.), and Program Office Above the Division Level**

Official files of all incoming and outgoing correspondence, memoranda, annual reports and program area reports; special studies; long-range planning records; speeches, addresses, or presentations made by NOAA HQ, L.O., and Operating Units; reports prepared for Congress or its committees, and similar records that are created and maintained above the Division level within NOAA. These records document NOAA programs, policies, procedures, decisions, initiatives, long-range planning, organization, functions, and other mission-related, program-related or policy-related management issues, and are usually filed alphabetically by subject.

*NOTE: This item does not cover unique program subject files that serve a specific function or purpose, and that are listed in other functional chapters of this handbook. Refer to the appropriate functional chapter for disposition of these records.*

**AUTHORIZED DISPOSITION:** PERMANENT. Break files annually and transfer to the Federal Records Center when 6 years old; transfer to the National Archives when 20 years old.

100

**-12 Program and Correspondence Subject Files Maintained at the Division Level or Lower**

Official files of all incoming and outgoing correspondence, memoranda, reports, studies and other records relating to the management of NOAA administrative and technical divisions, branches, sections, or other administrative units that are created and maintained at or below the Division level within NOAA, and usually filed alphabetically by subject.

**AUTHORIZED DISPOSITION:** Break files annually and destroy when 5 years old, or 5 years after the file is closed.

100

**-13 Routine and Non-Program Related Congressional and Constituent Correspondence Records (Supersedes NC1-370-75-1, Item 25-4)**

Copies of routine correspondence referred to NOAA from members of Congress, and NOAA replies to Congress or Congressional constituents. This correspondence is often controlled by the NOAA Executive Secretariat and forwarded to the respective NOAA unit for a response. After the response is approved and signed, the original

incoming correspondence and a copy of the outgoing letter is returned for filing purposes to the unit that prepared the response.

*NOTE: Briefing materials and reports prepared for Congress are not covered by this item. Refer to Items 11 or 12 above for the appropriate disposition for these records.*

**AUTHORIZED DISPOSITION:** Break files annually and destroy when 3 years old.

**100**

**-14 Routine Public Relations Correspondence Files (GRS 16, Item 3)**

Routine requests for information from the public that require no policy determination, special research, or administrative action. These records may include requests for publications or public relations materials, copies of news releases or news articles prepared for distribution, copies of speeches by NOAA staff, and the like.

**AUTHORIZED DISPOSITION:** Destroy when three months old or when no longer needed for reference, whichever is sooner.

**100**

**-15 Current Legislation and Regulation Reviews and Comments (Supersedes NC1-370-76-5, Item 10)**

Recommendations for proposed legislation, comments or reviews of pending legislation, comment on proposed regulations, and other input records that are sent to central NOAA office from other NOAA units, or to the General Counsel. *NOTE:* This item does not apply to official file copies of comments, correspondence, memorandums, reports, or other records in the General Counsel's office, or in the NOAA HQ unit that requested the comments or reviews.

**AUTHORIZED DISPOSITION:** Break closed files annually and destroy when 2 years old.

## NOAA Committee, Board, and Conference Records

100

### **-16 NOAA-Sponsored Committee, Task Force, Conference, Group, and Board Records** (Supersedes NC1-370-76-5, Items 5a, 5b, 5c)

Records created by NOAA-sponsored committees, task forces, conferences, boards, or other advisory, governing or policy bodies or organizations to develop or revise scientific programs, coordinate scientific and technological research for the federal government, the United States, or for international scientific and technological projects; to implement new legislation, regulations, policies, or programs affecting NOAA; to review NOAA technical and scientific programs or projects; and for other purposes that are consistent with NOAA's mission. The disposition instructions apply to all such committees unless specific committees are individually listed in separate program areas of this records schedule.

In each case, NOAA staff or offices have certain designated sponsorship, governing, policy, or recordkeeping responsibilities for these committees. The files of the Secretary, recordkeeper, or designated federal officer are considered to be the official records of the committees' activities. The files of other members are considered to be duplicate copies of official records, and are disposable as indicated in subitem "e." In those instances where the chairman of a committee operates in the dual function as a recording secretary or the office of record, the chairman's records will be considered the records of the Secretary.

#### **AUTHORIZED DISPOSITION:**

- a. **Official Committee Records.** Minutes or meeting summaries, agendas, transcripts, reports, studies, and publications in the Secretary's office, or the designated recordkeeping office.

PERMANENT. Break files when 5 years old or when a new Secretary is in place, and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.

- b. **Routine Administrative Records.** Membership records, administrative correspondence, mailing or distribution records, and other routine administrative committee records.

Destroy when superseded, or when no longer needed for current agency business.

- c. **Records of Committee Officers.** Copies of records that are maintained by committee officers that are not official records of the committee, or records listed in Item 16a above and maintained by the designated recordkeeper or Secretary.

Transfer records to incoming chairman or other officer, or destroy when no longer needed for current committee business.

- d. **Records of Committee Members**

Destroy when no longer needed for current committee business.

- e. **Records of defunct committees,** except those records listed in Item 16a.

Destroy 2 years after the committee is terminated.

100

-17 **Non-NOAA Sponsored Committee, Task Force, Conference, Group, and Board Records**

These records document the functions of committees having no direct bearing on the activities of NOAA such as staff professional association committees, private voluntary scientific committees, federal interagency committees or task forces, and other committees NOAA staff may participate in but for which NOAA does not serve as a designated sponsoring or coordinating agency with official governing, policy, or recordkeeping responsibilities.

**AUTHORIZED DISPOSITION:** Destroy when 5 years old or when no longer needed for current agency business.

100

-18 **Briefing Files** (N1-370-90-3, Item 1501-17)

Overhead transparencies, charts, graphs, tables, copies of notes, outlines, comments, and other records prepared by NOAA staff for briefings to Department of Commerce, NOAA, interagency, and other committees, panels, conferences, and meetings, excluding Congressional reports and briefings. *NOTE:* Refer to Item 11 or 12 in this chapter for appropriate filing and disposition of Congressional briefings and reports.

**AUTHORIZED DISPOSITION:** Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

## **NOAA Filing - Disposition Handbook**

### **Chapter 600: International Activities Records**

This chapter of the schedule deals with NOAA's relations with foreign countries, with international organizations and groups, and to technical assistance programs for other countries and their citizens. The Office of International Affairs at the HQ Staff level coordinates all NOAA International Affairs programs and policies. Each NOAA Line Office maintains an International Activities (IA) office or staff which provides international activities programs and services for the specific Line Office and its units. Some records in NOAA International Affairs offices that are not listed in this chapter of the *NOAA Filing - Disposition Handbook* may be scheduled in Chapter 100, Records Common to All NOAA Offices, such as IA program and correspondence subject files. If other program records are not listed in either Chapters 100 or 200, or in other specific functional chapters of this Handbook, contact the NOAA Records Management Officer in the Administrative Services Division of the Office of Administration for storage and disposition instructions.

**600**

#### **-01 "Country" or International Affairs Subject Files.**

Correspondence, reports, memorandums, studies, analyses, cables, publications, and all other documentary materials relating to foreign countries and federal, interagency, and NOAA international scientific affairs, and other topics including but not limited to international activities; policies, decisions, agreements, negotiations, and issues; international scientific issues and resources; foreign country profiles and historical background and technical information; international environmental research initiatives; protected species and other biological research; national and international resource monitoring and compliance; and international treaties, laws and regulations that affect the federal government or NOAA's international activities and initiatives. These files are often arranged by country, and thereunder by subject classification.

NOTE: Dispositions for individual record series with functions that may be listed elsewhere in this manual do not apply when all such records are maintained together in one integral filing unit or in organized country or international affairs subject files.

#### **AUTHORIZED DISPOSITION:**

- a. **Pre-1960 Files.** PERMANENT. Transfer immediately to the National Archives.
- b. **All Other Files.** PERMANENT. Break inactive or closed files every 5 years and transfer to the Federal Records Center when 10 years old. Transfer to the National Archives when the records are 30 years old.

600

**-02 International Group or Organization Files**

Records pertaining to NOAA relations with and participation in meetings, conferences, symposia, or special projects with international organizations and groups, summit meetings, special international task forces, international scientific and professional organizations, and international or regional bodies such as United Nations organizations, the International Council of Scientific Unions (ICSU), the Organization of American States (OAS), the World Meteorological Organization (WMO), the Intergovernmental Oceanographic Commission (IOC), and similar groups or organizations.

**AUTHORIZED DISPOSITION:** PERMANENT. Break inactive or closed files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 30 years old.

600

**-03 International Projects Files**

Records pertaining to NOAA participation in international projects that involve one or more foreign countries. These projects may be formally designated scientific and technical assistance projects, foreign national training programs conducted by NOAA staff, experimental operations or assistance, international data exchange projects, and informal cooperative projects between NOAA and other nations, foundations, special consortiums, or international organizations. **NOTE:** A copy of agreements, memorandums of understanding, or other similar agreement may be maintained in these files. However, this series of records relates to the administration and management of the project, and is usually maintained separately from the official record copy of International Agreement files listed in Item 4.

**AUTHORIZED DISPOSITION:** Break files annually at the close of the project and transfer to the Federal Records Center when 5 years old. Destroy when 10 years old.

600

**-04 International Agreements**

The official copy of each international agreement, memorandum of understanding, or similar record between NOAA and foreign countries or international organizations.

**NOTE:** This disposition applies only to separate series of international agreements maintained apart from other record series listed in this function. Copies of

international agreements may be contained in organized Country Files listed in Item 1; in International Project Files, Item 3; and in Bilateral Relations files, Item 5, and the disposition for those series applies to international agreements filed in them.

**AUTHORIZED DISPOSITION:** Close files annually when the agreement expires or is superseded, and transfer to the FRC 5 years after closure. Destroy 10 years after the file is closed.

**600**

**-05 Multilateral and Bilateral Relations, Policy, and Position Subject Files (Supersedes NC1-370-75-1, Item IA-1)**

Correspondence, memorandums, reports, studies, policy reviews, copies of international agreements, and similar records that document NOAA international policies, international or interagency policy development and policy determinations, NOAA's international or multilateral and bilateral relations, and other issues concerning NOAA's relations with foreign countries or organizations. **NOTE:** These records may often be filed in organized Country Files, listed in Item 1. This disposition applies only to those Multilateral and Bilateral Relations, Policy, and Position Files maintained separately, and are often found in policy-making and policy review offices at the NOAA HQ Staff and Line Office levels..

**AUTHORIZED DISPOSITION:** PERMANENT. Cutoff closed files annually and transfer to the FRC when 5 years old. Transfer to the National Archives when 20 years old.

**600**

**-06 Law of the Sea Policy and Issue Subject Files (Supersedes NC1-370-75-1, Item IA-1)**

Correspondence, reports, memorandums, minutes of meetings, policy reviews and studies, and other records that document NOAA participation in Law of the Sea meetings, policy determinations, issues, and negotiations. **NOTE:** Records relating to NOAA-sponsored attendance and participation at international conferences regarding the Law of the Sea are scheduled under Chapter 100, Item 16, NOAA-Sponsored Committee, Task Force, Conference, Group, and Board Records.

**AUTHORIZED DISPOSITION:** PERMANENT. Cutoff closed files annually and transfer to the FRC five years after cutoff. Transfer to the National Archives when 20 years old.



600

**-07 Foreign Visitor, Training or Assistance Files** (Supersedes NC1-370-75-1, Item IA3)

Case files containing correspondence, memorandums, reports, background, technical, or biographical information, and other records relating to protocol matters and assistance in arranging travel plans and visits for foreign officials and other visitors. The files may also contain travel, sponsorship, training, and course records related to NOAA-sponsored international training programs conducted for visitors, foreign scientists, or foreign officials.

**AUTHORIZED DISPOSITION:** Destroy when 3 years old.

600

**-08 Technical Assistance Project Files** (Supersedes NC1-370-75-1, Item IA-4)

Correspondence, reports, memorandums, research papers, progress reports, and other records pertaining to foreign technical assistance projects and programs undertaken by U.S. scientists for foreign countries in the environmental and marine sciences.

**AUTHORIZED DISPOSITION:** Destroy 5 years after the project closes.

**NOAA Filing - Disposition Handbook**  
**Chapter 1200: Scientific and Technical Records**

The records listed below document NOAA scientific, technological, or engineering research, testing, and investigation regardless of media or physical format, i.e. textual, electronic, photographic, microform, audiovisual, or other media or format. The records may be created and maintained by all NOAA operating unit laboratories, data centers, or laboratory groups, project teams, or individual staff researchers. Research projects included in this schedule may be funded directly through NOAA appropriations, by other government agencies, by contracts with private-sector businesses or other organizations, in conjunction with various research institutes or consortia, or in collaboration with other NOAA offices or laboratories. Scientific program records may also be listed in either Chapters 100, Records Common to All Offices, such as program and correspondence subject files. Other records may be scheduled in Chapter 200, or in other specific functional chapters of this Manual. If program records are not listed in either Chapters 100 or 200, or in other specific functional chapters of this Handbook, contact the NOAA Records Management Officer in the Administrative Services Division of the Office of Administration for storage and disposition instructions.

**1200**

**-01 Project Case Files**

Records containing information regardless of the physical media or format that are created by NOAA staff, project groups, sections, or technical divisions related to specific research projects, tests, or assignments that may be sponsored or funded by NOAA, other government agencies, private-sector businesses or other collaborators, scientific research consortia, or NOAA interagency collaboration.

Research notebooks created by the principal investigator or an investigating group or project team in the course of completing a specific research project are related to these project case files, and are separately scheduled in Item 2.

A project case file should provide a reasonable record of a project which would allow another person to reconstruct and/or verify the procedures and analyses. A typical file contains, but is not limited to, incoming and outgoing correspondence, memoranda, e-mail printouts, copies of contracts or other requests for service, technical papers, engineering plans and drawings, preliminary and final reports, photographs and negatives related to the project, references or indexes to related electronic records and data, test schedules, periodic progress reports, notes and working papers, specifications, draft and final approved standards, preliminary and final research data, statistical analyses, tables, charts, graphs, computer printouts or analyses of scientific or engineering data, reprints of the final project report, study, or journal article, and other records accumulated in NOAA laboratories or technical divisions documenting

the progress and completion of agency research projects. Related records may include computer disks, tapes, and other electronic media and information.

**NOTE:** Prior to closing project case files and transferring them to the Federal Records Center or to the NOAA Records Storage Facility, project case files and the corresponding research notebooks should be reviewed by the appropriate division chief to determine if the records meet any or all of the permanent records selection criteria described below. Project case files (and the related research notebooks) meeting one or more of the criteria listed will be selected for permanent retention, clearly identified as permanently valuable records, and maintained separately from nonselected case files (and research notebooks) while in the custody of the agency. All selected project case files and research notebooks must be retired separately from nonselected records to the Federal Records Center, and a statement certifying that the agency has reviewed the records as set forth below must accompany the SF 135.

**Selection criteria:**

Case files (and related research notebooks) that are particularly significant for documenting NOAA research projects that:

1. received national or international awards of distinction, i.e. the Nobel Prize;
2. were the work of prominent NOAA investigators of widely recognized professional stature, or who have received national or international recognition outside their professional discipline;
3. resulted in a significant improvement in public health, safety, or other vital public interest;
4. made a significant contribution to new national or international environmental policies, or had a significant impact on the development of new national or international scientific, political, economic, or social priorities.
5. were the subject of widespread national or international media attention;
6. resulted in significant social, political, or scientific controversy;
7. were the subject of extensive Congressional, Department of Commerce, or other government agency scrutiny or investigation; or
8. established a precedent for significantly changing NOAA research or administrative policies.

## **AUTHORIZED DISPOSITION:**

### **a. Selected project case files**

PERMANENT. Break closed files annually and transfer to the Federal Records Center. Transfer to the National Archives when 30 years old.

### **b. Nonselected project case files**

Break closed files annually and remove duplicate copies and unnecessary nonrecord materials. Transfer to the Federal Records Center. Destroy when 30 years old.

**1200**

## **-02 Research notebooks**

Research notebooks are maintained by individual scientists, engineers, or project teams and document the progress of research and experimentation. The records include, but are not limited to, notes of the investigator's observations and research progress, scientific methodology, preliminary conclusions, indices and other references to relevant electronic files, sketches and drawings, formulas or equations, statistical analyses, preliminary or final results of tests, experiments, research, investigations or other technological and scientific development activities.

**NOTE:** Prior to closing research notebooks and transferring them to the Federal Records Center or to the NOAA Records Storage Facility for temporary storage, all research notebooks and their related project case files should be reviewed by the appropriate division chief to determine if the records meet any or all of the permanent records selection criteria described in Item 1. Research notebooks (and the related project case files) meeting one or more of the criteria listed will be selected for permanent retention, clearly identified as permanently valuable records, and maintained separately from nonselected research notebooks (and project case files) while in the custody of the agency. All selected project case files and research notebooks must be retired separately from nonselected records to the Federal Records Center, and a statement certifying that the agency has reviewed the records according to the criteria set forth below must accompany the SF 135.

## **AUTHORIZED DISPOSITION:**

### **a. Selected research notebooks**

PERMANENT. Transfer directly to the National Archives with the selected project case files (Item 1) when 30 years old. **NOTE:** Closed research

notebooks may be transferred to the Federal Records Center for storage with the selected project case files, and then transferred to the National Archives with the project case files when 30 years old.

**b. Nonselected research notebooks**

Destroy when 30 years old or when no longer needed for current agency business, whichever is later.

**1200**

**-03 Machine, Instrument, and Laboratory Log Books and Registers**

Log books documenting the operation or use of scientific equipment and instrumentation, or the use of laboratory facilities by NOAA employees or contractors.

**AUTHORIZED DISPOSITION:** Destroy when no longer needed for current agency business.

**1200**

**-04 Equipment, Machine, and Instrumentation Design Drawings, and Related Records**

Drawings, plans, specifications, instruction manuals, system design records, development and construction requirements and specifications, "as built" drawings, and other related records describing the design, fabrication, use, improvement, and modification of laboratory instrumentation, equipment, machinery, and scientific apparatus.

**AUTHORIZED DISPOSITION:** Destroy when the related instrumentation, machinery, or equipment is destroyed, or donate design drawings to the NOAA History Center, NOAA museum, or other federal agency or institution with the instrumentation, machinery, or equipment in accordance with 36 CFR 1228.60.

**1200**

**-05 Project Proposal and Planning Records**

Proposals and plans for scientific and technical projects, research and development activities, and other investigations that are submitted to internal NOAA units or external funding agencies for technical review, feasibility, revision, or other consideration. These records may include but are not limited to the project proposal, objectives and goals to achieve plans, work statements, justifications and priority

statements, budget and resource plans or projections, technical reports, peer reviews, feasibility studies, and similar records that relate to the proposed project.

**AUTHORIZED DISPOSITION:**

**a. Funded Proposals and Plans**

Transfer to a Project Case File, listed in Item 1.

**b. Nonfunded Proposals and Plans**

Destroy when 5 years old.

**1200**

**-06 Data Request Records**

Requests from the public, other government agencies, or private organizations and businesses for copies of NOAA scientific data, certifications, technical reports, and other scientific or technical information.

**AUTHORIZED DISPOSITION:** Destroy when no longer needed for current agency business, or when 3 years old, whichever is sooner.

**NOAA Filing - Disposition Handbook**  
**Chapter 2100: Sea Grant Program Records**

This section of the NOAA *Filing - Disposition Handbook* describes unique program records that are created and maintained in the NOAA Sea Grant Program Office regardless of media or physical format. The records relate to Sea Grant programs which assist state and local governments, educational institutions, and private industries in cooperative programs to better access, tap, and manage marine resources; to advance marine science and technology; and to official activities relating to NOAA Sea Grant proposals, funding, and awards. Other records that may be located in Sea Grant Offices may be scheduled in Chapter 100, Records Common to All NOAA Offices, such as Sea Grant program subject files. Other common records may be scheduled Chapter 200, Housekeeping and Routine Administrative Records. If program records are not listed in either Chapters 100 or 200, or in other specific functional chapters of this Handbook, contact the NOAA Records Management Officer in the Administrative Services Division of the Office of Administration for disposition instructions and assistance.

**2100**

**-01 Grant Case Files**

Case files maintained for each proposal and award made to Sea Grant universities and research centers to support marine research. The case files include the proposal, correspondence, evaluations and review reports; site visit records; contract and proposal negotiations, recommendations, and revisions; contracts, financial and budgetary reports; periodic grant progress and final project reports; and other records related to the proposal or award process.

**AUTHORIZED DISPOSITION:**

**a. Funded Proposals**

Cutoff each FY at close of grant and transfer to the FRC. Destroy when 15 years old.

**b. Unfunded Proposals**

Cutoff each FY at close of proposal period and transfer to the FRC. Destroy when 5 years old.

**2100**

**-02 Grant Record Logs, Cards, and Electronic Indexes**

Grant control and tracking information maintained in card indexes, logs, or in electronic format that includes the year of award, grant case number, amount of award, university, principal investigator, and similar information used for grant control purposes.

**AUTHORIZED DISPOSITION:** Update or delete as needed for current agency business. {GRS 23, Item 8}

**2100**

**-03 Statistical Grant and Program Analysis Records**

Electronic records, spreadsheets, databases, and printouts of charts, tables, graphs, or other statistical information which list university, funding amount, matching amount, principal investigator, and the like, and are used for Sea Grant program management and development purposes.

**AUTHORIZED DISPOSITION:** Destroy 1 year after the statistical analyses are superseded or obsolete.

**2100**

**-04 Sea Grant College Designation Records**

Records such as correspondence, reports, site visits, notes, recommendations, program guidelines, official designation letters, and similar materials that relate to the official designation of a college or university as a Sea Grant Institution. First-time or initial applications from colleges and universities for designation as a Sea Grant Institution are maintained separately from that institution's ongoing biennial site visit and review conducted by NOAA to renew the institution's status and designation in the Sea Grant Program..

**AUTHORIZED DISPOSITION:**

**a. Initial designation files**

**PERMANENT.** Close files 5 years after the official designation is cancelled or withdrawn, and transfer to the FRC. Transfer to the National Archives 20 years after closure.



**b. Biennial review submissions**

**PERMANENT:** Break files 5 years after the submission is approved and transfer to the FRC. Transfer to the National Archives when 20 years old.

**Job No. N1-370-90-2**  
**Cross Index of Previously Approved Authorities**

<u>New Item No.</u>		<u>Superseded Job and Item No.</u>
100-01	Publications	N1-370-90-03, Item 1501-16
100-02	Routine Publications	New Item
100-03	Admin. Issuances	NC1-370-76-2, Items 4a, 4b, 4c
100-04	Gen. Reference files	Nonrecord items
100-05	Reading files	Nonrecord items
100-06	Photographs	NC1-370-75-1, Item 1106-04
100-07	Public Affairs Photos.	New Item
100-08	Sound Recordings	NC1-370-75-1, Items 1106-08, 1106-10, 1106-11
100-09	Posters	New Item
100-10	Speeches	NC1-370-75-1, Items 1105-01, 1105-07
100-11	Subject Files (above Div.)	New Item
100-12	Subject Files (below Div.)	New Item
100-13	Cong. Correspondence	NC1-370-75-1, Item 25-4
100-14	Public Relations Corr.	GRS item
100-15	Leg. Review/Comment	NC1-370-76-5, Item 10
100-16	Committee Records	NC1-370-76-5, Items 5a, 5b, 5c
100-17	Committee Records	New Item
100-18	Briefing Files	N1-370-90-3, Item 1501-17

600-01	Country files	New Item
600-02	Int'l. Group files	NC1-370-75-1, Item IA-1
600-03	Int'l. Project files	NC1-370-75-1, Item IA-1
600-04	Int'l. Agreements files	NC1-370-75-1, Item IA-1
600-05	Multi-lat. Relations files	NC1-370-75-1, Item IA-1
600-06	Law of Sea Files	NC1-370-75-1, Item IA-1
600-07	Foreign Visitor files	NC1-370-75-1, Item IA-3
600-08	Technical Assistance files	NC1-370-75-1, Item IA-4
1200-01	Project Case files	NC1-370-75-1, Items 19-10a, 10b, 10c
1200-02	Research Notebooks	NC1-370-75-3, Item 19-10b and 19-11a
1200-03	Laboratory Logbooks	NC1-370-75-1, Item 19-7
1200-04	Equipment Drawings	New Item
1200-05	Project Proposal records	New Item
1200-06	Data Request records	New Item
2100-01	Grant Case files	NC1-370-75-1, Items SG-1a, SG-1b
2100-02	Grant Record Indexes	NC1-370-75-1, Item SG-2
2100-03	Statistical Analysis records	NC1-370-75-1, Items SG-4a, 4b
2100-04	S.G. College Designations	New item