

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

29 Jul 82 NA

LEAVE BLANK	
JOB NO	
<i>NCI-370-82-2</i>	
DATE RECEIVED	
<i>July 29, 1982</i>	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>3-3-83</i> Date	<i>Robert M. [Signature]</i> Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)
National Oceanic & Atmospheric Administration/DoC

2. MAJOR SUBDIVISION
National Marine Fisheries Service

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Richard Roberts

5. TEL EXT
443-8595

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>7-27-82</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Judy V. Pass</i>	E. TITLE Departmental Records Management Officer
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	The attached four items from the NOAA Filing-Disposition Handbook.		
	<i>All changes discussed ^{with} and approved by Richard Roberts, 2/2/83. RWC</i>		
	MASS DATA CHANGE SHEET NOT REQUIRED		<i>5 items</i>

*115-107
closed
9-27-87*

Copy to agency, 3-4-83, 88.

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

a. Permits for foreign vessels to fish within the U.S. zone.

Recommended disposition: Cut off when permit expires or application is rejected. Destroy 15 years later.

Explanation - these permits are issued to allow foreign vessels to fish within the U.S. 200-mile economic zone. The records deal with a sensitive area, and are needed for the 15 year period to provide a fairly complete history of the allocations nations have been provided in the past. This can be important in determining future allocations because of concepts such as "traditional fisheries". The information is not, however, considered to be of enough historical importance to justify permanent retention.

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

a. *General Correspondence and Management Plans.*

Recommended disposition: Permanent.

Explanation - Most of the regulations in question implement Fishery Management Plans, are often controversial, and are considered to have historical interest relative to U.S. fisheries policies.

Accumulations per year: ² ~~7~~ cubic feet

Arrangement pattern: ^s geographical area ^{for foreign regulations;} ~~then by fish species code~~ ^{for domestic regulations.}

Transfer to N.A.: ^{in 5-yr blocks} when 15 years old.

b. *Proposed rules, final rules, emergency interim rules, in-season management adjustments and notices of hearings and meetings. Disposition: Cut off at end of calendar year and destroy when 15 years old.*

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

a. Files pertaining to the establishment of fees and fee systems.

Recommended disposition: none requested at this time.

b. Billing and collection files. Includes billings, receipts, and other documents relating to the collection of fees from permit holders.

Recommended disposition: Cut off at end of fiscal year when created. Destroy 6 years ~~later~~, ^{3 months later}.

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

Recommended disposition: Cut off at end of calendar year when created. Destroy 20 years later.

Explanation: This material can relate to issues which retain their value for some time, for example correspondence about ways of determining "optimum yield" of species under regulation. Because this material is often active for some time, and then is useful as background for future developments, it is thought that the recommended retention period is justifiable.

WITHDRAWN

APPRAISAL REPORT ON RECORDS DISPOSITION REQUEST

JOB NUMBER
NC1-370-82-2

SECTION I - ACTION TAKEN

1. **APPROVED FOR DISPOSAL:** The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not have sufficient value for purposes of historical or other research, functional documentation, or the protection of individual rights to warrant permanent retention by the Federal Government.

GENERAL ACCOUNTING OFFICE CONCURRENCE IS NOT NECESSARY IS NECESSARY AND HAS BEEN OBTAINED.

2. **APPROVED FOR PERMANENT RETENTION:** The records described under the following item or items have been appraised by the National Archives and Records Service (NARS) and are designated for permanent retention by the Federal Government. The agency will offer these records to NARS as specified in the schedule.

Item 1504-15a

3. **DISPOSITION NOT APPROVED:** The records described under the following item or items are not approved for disposition. See Section III of this form for explanation.

4. **WITHDRAWN:** The records described under the following item or items have been withdrawn at the request of the agency.

Item 1504-19

SECTION II - RECOMMENDATION/CONCURRENCES

	TITLE	SIGNATURE	DATE
APPAISAL	APPAISER	<i>Robert W. Love</i>	2/2/83
	DIRECTOR, RECORDS DISPOSITION DIVISION	<i>Raymond A. Prosser</i>	2/4/83
CON-CURRENCES	Director, NNE (Acting)	<i>Clara J. Ryan J.</i>	3/1/83

SECTION III - APPRAISER'S COMMENTS

This schedule covers records of the Division of Permits and Regulations, National Marine Fisheries Service, NOAA and amends classification 1504 of the NOAA Files and Records Disposition Manual.

The schedule approves the disposal of foreign fishing vessel permit files, fishery management regulation documentation eventually published in the Federal Register, and billing and collection files associated with fishery permits. The general correspondence and management plans maintained on fishery management regulations have sufficient value to warrant preservation by the National Archives.

To: NNFN

I have no problems with Bob Coren's comments. Regarding files 1504-15 and 19, he has come up with reasonable and workable alternatives to the proposed NOAA disposition instructions.

Lee

Lee R. Johnson 12-27-82

NNF:

I agree. I will recommend your concurrence when the job comes through. 5 year blocks for permanent.
Suburb NNFN 12/28/82

December 28, 1982

NCD: I agree with the recommendations. Permanent records should be offered for transfer in five year blocks.

DTGoggin, NNF

*OK 12/28/83
Suburb NNFN*



AM
3/20/82

Date : December 3, 1982

Reply to

Attn of : Bob Coren (NCD)

Subject: NC1-370-82-2 (Selected series of functional file classification 1504)

To : Director, NCD

*non
12/6/82*

The National Oceanic and Atmospheric Administration (NOAA) has proposed dispositions for four series of records maintained by the Division of Permits and Regulations, National Marine Fisheries Service under functional file numbers 1504-11a, 1504-15, 1504-18b, and 1504-19. File 1504-15, Fishery Management Regulations, is proposed for permanent retention; the remainder are considered to be temporary records by the agency.

1504-11a, Permits for foreign fishing vessels to fish within the U.S. (200 mile) zone, after its expiration, are proposed for 15 year retention, which I support. The records are operational and have no value beyond that to the agency. The fairly lengthy retention period is adequately justified by the agency.

1504-18b, billing and collection files for permit fees, is an obvious housekeeping file which requires GAO concurrence prior to NARS approval. This matter is pending at GAO.

1504-15, Fishing Management Regulations, is an important series but one which needs revision. First, the arrangement is more complex than indicated on the SF 115. The series has two major segments, domestic regulations and foreign regulations. Domestic regulations files are arranged by species code (GRD=groundfish, SAL=salmon), thereunder by a files classification number (10=correspondence, 50=management plans, 60=proposed rules, 70=final rules, 80=emergency interim rules, 85=in-season management adjustment, and 90=notices of hearings and meetings), and thereunder by year. Foreign regulations are arranged by section number of 50 CFR Chapter VI, Part 611, which contains the regulations and is, in effect, an arrangement by general subject and geographical area.

NOAA proposes permanent retention for the entire file even though the files classification



UNITED STATES GENERAL ACCOUNTING OFFICE
WASHINGTON, D.C. 20548

OFFICE OF INFORMATION
SYSTEMS AND SERVICES

11 JAN 1983

Heise

Mr. Lester G. Welch, Jr.,
Acting Departmental Records Management Officer
The Assistant Secretary for Administration
United States Department of Commerce
Washington, D. C. 20230

*rem
1/18/83*

Dear Mr. Welch:

We have reviewed your request dated December 7, 1982, for records disposition authority for Item 1504b (Permit Fee Files.)

All records covered by this item are supporting documentation relating to the collection of fees from fishery permits and are considered accountable office records. The retention period should be 6 years 3 months, instead of 6 years.

This revision has been coordinated with Richard Roberts of your staff, and once the change has been made we will have no objection to the schedule.

If you need further assistance, please do not hesitate to call Zebedee English of my staff on 275-6213.

Sincerely,

[Signature]

Marju Panuing
Records Management Officer

cc: NAFS

numbers 60,70,80, 85,and 90 contain only documents which are published by the Federal Register and are therefore already preserved by NARS as permanent in microform. Pending NNF approval, I will request that only **the correspondence** (10) and management plans (50) of 1504-15 be scheduled for permanent retention and the remainder be scheduled as temporary, perhaps disposable when superseded or no longer needed for agency business. The correspondence and management plans merit permanent retention because they document the procedures and factors considered in developing coastal fishery regulations. This may be important not only as a record of U.S. coastal fishery policy but also as a source of information which may be useful in answering future environmental and foreign policy concerns. The records include internal memoranda and reports from agency personnel on local and regional conditions and their recommendations for developing and implementing the regulations and ^{the} congressional correspondence illuminates the role of certain key ~~C~~ Congressmen in influencing the regulations. The permanent portion of the file accumulates at 2 cubic feet of records annually, with records in the office dating from 1977.

1504-19, Program Issue files, is too vague as presently described. The Permits and Regulations Division of NMFS has only one special issue or program at present - the Joint Venture program - through which domestic vessels are permitted to fish within the 200 mile U.S. fish conservation zone and sell their catch to foreign, mainly processing, vessels. The fish are processed aboard the foreign vessels and then marketed as U.S. fish through the foreign vessel's home country. There are significant diplomatic implications to this program which involve bilateral agreements with Soviet bloc countries like the USSR and Poland. The program is a hybrid between foreign and domestic fishing which promotes the employment of U.S. fishermen and the development of overseas markets for U.S. fish products. A program officer at NMFS speculated that this program would in a matter a few years replace the foreign licensing of fishing vessels in the U.S. zone because of the joint venture program's popularity with foreign nations and also

foster the growth of domestic fishing as U.S. fishermen **acquired** their own processing vessels. Another program official offered the interesting observation that during recent grain and trade embargoes with the Eastern Bloc, the participation of Eastern Bloc nations in the joint venture program was not curtailed. Another diplomatic aspect is that while the Secretary of Commerce signs the joint venture agreements, he frequently receives the advice and recommendations of the **Secretary** of State. A small, but significant portion of these records are security-classified. While I think the above comments provide adequate justification for permanent retention of the records of this program, I do not believe this should be done at this time. The files as presently arranged are somewhat disarrayed, are not currently filed under file classification number 1504-19 (although the office assures me that it will), and includes a significant volume of working **papers** that NARS should not accession. I suggest we inform NOAA that the records of the joint venture program are permanently valuable and that when the Permits and Regulations Division achieve^s control over the file under some 1504 sub-file designation and ^{can} supply us with accurate information on the arrangement and volume, we will reconsider the request. In order to get a timely response from NOAA, perhaps we should make 1504-19 "disposition not approved" and send them a letter giving the reasons. We should also point^{out} that distinct program records should be described and scheduled separately and, for permanent files, the office of record properly identified when file designations are used by multiple offices.

I invite NNF's comments on the schedule and proposed modifications.



Robert W. Coren
Records Disposition Division



UNITED STATES DEPARTMENT OF COMMERCE
The Assistant Secretary for Administration
Washington, D.C. 20230

July 26, 1982

Mr. Raymond Mosley, Director
Records Disposition Division (NCD)
National Archives and Records Service
Washington, D.C. 20230

Dear Ray:

Submitted for your appraisal and the Archivist's approval are four copies of a Records Control Schedule for the National Oceanic and Atmospheric Administration, containing 3 new items to be added to the NOAA Filing - Disposition Handbook, submitted to your office May 26, 1968.

Thank you for your assistance.

Sincerely,

Ivy N. Parr
Departmental Records
Management Officer

Enclosure

parr
7/29/82

Heise
Caren BC

First NOAA
submission?

YES. ROBERTS SAYS THIS
COVERS OFFICES IN NMFS
WE FOUND USING CLASSIFICATION
SYSTEM.

Ref. Inspection