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NOAA Records Schedules

Chapter 100 - Enterprise Wide Functions

This chapter 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 units, 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 such as photographs and certain program correspondence subject files. Permanent records are transferred to the National Archives in accordance with the disposition instructions. 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 can be transferred to a federal records center if inactive or destroyed in accordance with the approved disposition. In some instances, specific NOAA offices are identified as the office of record, and disposition instructions for records in those custodial offices are provided.

This schedule is “media-neutral” and includes, in addition to a paper recordkeeping system, special media records (such as still pictures, aerial photography, maps, charts, drawings, motion picture film, analog videotape, and analog sound recordings).

Table of Contents

- 100-01 Publication, Studies and Reports
- 100-02 Unofficial, Routine, or Informal Publications
- 100-03 Administrative Issuances/Organization Charts/Delegations of Authority
- 100-04 Technical and General Reference Materials
- 100-05 Reading Files (also known as Chronological or Day Files)
- 100-06 Photographic Prints, Negatives and Slides
- 100-07 Reserved
- 100-08 Sound Recordings, Videotapes, Motion Picture Film
- 100-09 Posters, Graphic Arts and Original Artworks
- 100-10 Public Affairs Speeches, Comments and News Releases
- 100-11 Program Correspondence Subject Files
- 100-12 Program and Correspondence Subject Files
- 100-13 Routine Congressional and Constituent Correspondence
- 100-14 Routine Public Relations Correspondence Files

- 100-15 Current Legislation and Regulation Reviews and Comments
- 100-16 NOAA-Sponsored Committee, Task Force, Board
- 100-17 Non-NOAA Sponsored Committee, Task Force, Board
- 100-18 Briefing Files
- 100-19 Interagency Cooperative Documents/ Agreements
- 100-20 Proposed and Final Regulations, Rules Making
- 100-21 Agency Website Records, including permanent web content records

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
100-01	Publication, Studies, and Reports	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 other agency guidance; public relations flyers, brochures and educational materials prepared to furnish information or to promote agency programs and operations to the public.		
		<p>a. Official Record Set.</p> <p>One copy of each official NOAA publication, study, report, scientific paper, or other formally published or informally produced materials.</p>	N1-370-90-3	PERMANENT. Break files annually and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.
		<p>b. All other copies.</p> <p>Duplicate copies of NOAA publications maintained by all NOAA operating units and divisions solely for convenience or reference purpose.</p>	N1-370-90-3	TEMPORARY. Destroy when no longer needed for current agency business.
		<p>c. Manuscript and Reviews of Manuscripts.</p> <p>Manuscript and Reviews of Manuscripts. Manuscripts</p>	N1-370-90-3	TEMPORARY. Destroy when no longer needed

		and reviews of manuscripts submitted to NOAA or other public or private publisher for review and comment prior to publication.		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.	N1-370-90-3	TEMPORARY. 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 receive other formal review and approval prior to publication.	N1-370-90-2	TEMPORARY. Destroy when no longer needed for current agency business.
100-03	Administrative Issuance.	The distribution copies and the official record set of all NOAA directives, bulletins, organization charts, functional statements, administrative manuals, and similar records.		
		a. Official Record Set The original file copy of all NOAA directives, bulletins, organization manuals and charts, functional statements, and similar administrative issuance and manuals.	N1-370-90-2	PERMANENT. Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.
		(1) Reorganization Proposal Case Files. These files provide a detailed description of the arrangement and administrative structure of the agency: Included are		

		proposals, justifications, staff evaluations, correspondence relating to the establishment and reorganization of the Agency; mission, functions, and changes in organizational directives; functional statements; delegations of authority, including Headquarters and Component offices; final products and graphs/charts. This item applies only to internal NOAA reorganizations requiring NOAA approval.		
		(2) NOAA directives, bulletins, organization manuals, and similar administrative issuance and manuals. The official record set prescribes authority, responsibility, procedures, and information essential to the administration or operation of the agency. Each case file includes a printed copy of the directive, record of clearance and approvals, comments, justifications, and other significant background document or issuance history records, for all agency directives, administrative issuances, and bulletins.		
		(3) Delegations of Authority – Records that establish concepts and principles for, and documents the delegation of authority and order of succession to key NOAA positions. The records specify who is authorized to act on behalf of NOAA Administrator or other key NOAA officials for specific purposes. Individuals are identified by title or position, not by name. The delegations record copy contains the approved delegations, comments, and all background material.		
		b. Duplicate copies. NOAA directive, bulletins, organization charts, mission and functional statements, issuances, and	N1-370-90-2	TEMPORARY. Destroy when superseded,

		administrative manuals maintained outside of the NOAA Office of Administration.		becomes obsolete, or no longer needed.
		c. Interim Delegations of Authority: Temporary delegation of authority to act on another official behalf during their absence or for a specific activity.	N1-370-90-2	TEMPORARY. Destroy when superseded, becomes obsolete, or no longer needed.
100-04	Technical and General Reference Materials	Non-record, unofficial, or duplicate copies of books, publications, manuals, reports, newsletters, press release, professional journals, reprints, trade catalogs, and other similar materials maintained solely for convenience of reference.	Nonrecord item	TEMPORARY. Destroy when superseded, obsolete, or no longer needed for current agency business.
100-05	Reading Files (Also known as chronological 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.	Nonrecord item	TEMPORARY. Destroy when no longer needed for current agency business or 2 years old, whichever is sooner.
100-06	Photographic Prints, Negatives and Slides.			
		a. Original or master negatives, slides, and photographic prints. Photographic records maintained in NOAA units at all levels in organized central photographic files relating to architecturally or historically significant NOAA buildings, research facilities, and laboratories;	N1-370-90-2	PERMANENT. Break files every 5 years and transfer the required record elements listed above directly to

		<p>aircrafts, ships, and scientific equipment or apparatus; scientific and technical research projects and experiments that are not maintained as part of an official project case file (scheduled in Chapter 1200, Item 1): significant special studies and other investigations; portraits of senior agency officials or distinguished NOAA researchers, and other significant photographs that document activities directly related to NOAA's mission and programs.</p> <p>(1) Black and white color negative photography: the original negative, and a captioned print.</p> <p>(2) Color Photography: the original negative, a captioned print, and a duplicate negative, if one exists.</p> <p>(3) Color transparency and slide photography: The original and one duplicate copy.</p> <p>(4) Slide sets or filmstrip and accompany audio recording or scripts: The original and one duplicate copy.</p> <p>(5) Finding aids: All finding aids, whether electronic or hard copy, relating to the photographic records described above.</p>		<p>the National Archives in 5-years blocks when 20 years old.</p>
		<p>b. Routine photographs, negative and slides.</p> <p>Photographs, negative, 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.</p>	N1-370-90-2	<p>TEMPORARY. Destroy when no longer needed for current agency business, or when 10 years old, whichever is sooner.</p>
100-07	Public Affairs	(Renumbered, see 100-10)		

	Photographs, Negatives, and Slides.			
100-08	Sound Recordings, Videotapes, Motion Picture Film, and other Audiovisual Records	<p>Sound recordings, videotapes, motion picture film and equivalent or related records created or produced by NOAA, or acquired from other outside sources.</p> <p>Video recording: The original or earliest generation of each video recording, and dubbing, if one exists.</p> <p>Sound recording: The original or earliest generation of each audio recording, and a dubbing, if one exists.</p> <p>Motion pictures: Agency-sponsored films: The original negative or color original plus separate sound track, and intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.</p> <p>Acquired films: Two projection prints or one projection print and a video recording.</p> <p>Unedited footage: The original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exist, appropriately arranged, labeled and described.</p>		
		a. Official record set - The original master sound or video recording, or the original film negative and one print 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	NC1-370-90-2	PERMANENT. Break files every 5 years and transfer the required record elements listed

		releases and public service announcements; and other productions created to disseminate agency information regarding NOAA operations and programs to the public.		above directly to the National Archives.
		b. All other copies	NC1-370-90-2	TEMPORARY. 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 the public for promotional, scientific, educational, exhibition, or public relations purposes.	NC1-370-90-2	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.	NC1-370-90-2	TEMPORARY. Destroy when no longer needed for current agency business.
100-10	Public Affairs Speeches,	The original or official copy of all NOAA news or		

	Comments and News Releases.	press release; copies of speeches, addresses and comments made by senior NOAA and Department of Commerce officials; transcripts of summaries of remarks 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.		
		a. Official Record Set in the office of record: Public Affairs Division	N1-370-90-2	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	N1-370-90-2	TEMPORARY. Destroy when no longer needed for current agency business or when 5 years old, whichever is sooner.
100-11	Program Correspondence Subject Files Maintained at the Operating Unit, Line Organization and Program Offices 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	N1-370-90-2	PERMANENT. Break files annually and transfer to the Federal Records Center when 6

		<p>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.</p> <p><i>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.</i></p>		<p>years old; transfer to the National Archives when 20 years old.</p>
100-12	Program and Correspondence Subject Files Maintained at the Division Level or Lower.	Officials files of all incoming and outgoing correspondence, memoranda, reports, studies and other records relating to the management of NOAA administrative units that are created and maintained at or below the Division level within NOAA, and usually filed alphabetically by subject.	N1-370-90-2	TEMPORARY. Break files annually and destroy when 5 years old if files are inactive, or 5 years after the files are closed.
100-13	Routine and Non-Program Related Congressional and Constituent Correspondence Records.	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	N1-370-90-2	TEMPORARY. Break files annually and destroy when 3 years old.

		<p>the response.</p> <p><i>NOTE: Congressional and Constituent records maintained by the office of primary interest, can be found in NOAA Records Series 505, Congressional Affairs.</i></p>		
100-14	Routine Public Relations Correspondence Files.	(Moved to Chapter 506, Communications and Public Affairs Files)		
100-15	Current Legislation and Regulation Reviews and Comments.	<p>Recommendations for proposed legislation, comments or reviews of pending legislation, comments on proposed regulations, and other input records that are sent to central NOAA office from other NOAA units, or to the General Counsel.</p> <p><i>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.</i></p>	N1-370-90-2	TEMPORARY. Break closed files annually and destroy when 2 years old.
100-16	NOAA-Sponsored Committee, Task Force, Conference, Group, and Board Records.	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 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 their records schedule.		

		In each case, NOAA staff or offices have certain designated sponsorship, governing, policy, or recordkeeping responsibility for these committees. The files of the Secretary, recordkeeping, 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. 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.		
		a. Official Committee Records. Minutes or meeting summaries, agendas, transcripts, reports, studies, and publications in the Secretary's office, or the designated recordkeeping office.	N1-370-90-2	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.	N1-370-90-2	TEMPORARY. 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.	N1-370-90-2	TEMPORARY. Transfer records to incoming chairman or other officer, or destroy when no longer needed for current business.
		d. Records of Committee Members	N1-370-90-2	TEMPORARY. Destroy when no longer needed for current committee business.
		e. Records of Defunct committees, except those records listed in Item 16a.	N1-370-90-2	TEMPORARY. 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 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 responsibility.	N1-370-90-3	TEMPORARY. Destroy when 5 years old or when no longer needed for current agency business.

100-18	Briefing Files.	Overhead transparencies, charts, graphs, tables, copies of notes, outlines, comments, and other records prepared by NOAA staff for briefing to Department of Commerce, NOAA, interagency, and other committees, panels, conferences and meetings excluding Congressional reports and briefings.	N1-370-90-3	TEMPORARY. Destroy when 3 years old or when no longer needed for reference, whichever is sooner.
100-19	Interagency Cooperative Documents/ Agreements.	Files created to document Cooperative Agreements, Memorandum of Understanding, Reimbursable Agreements, data sharing, technical support, and program support between NOAA and universities, other Federal agencies and other public and private agencies. <i>NOTE: This item does not cover International Agreements. Refer to Chapter 600 for the authorized disposition for these records.</i>	N1-370-99-2	TEMPORARY. Close files at the end of the FY in which the agreement expires and transfer the files to the FRC. Destroy files 5 years after closure.
100-20	Proposed and Final Regulations, Rules Making, and Policy Making Documentation.	Case files detailing the history of regulations, rulemaking, policy development and the preparation for publication in the Federal Register or other such publications. These files include all background materials used in developing the regulation, rule or policy; correspondence relating to this development; public comments/minutes of public hearing and the Final Rule/Regulation. NARA Reference Number NCI-370-03-9.		
		a. Final Rule/Regulation	NCI-370-03-9	TEMPORARY. Cut off when policy or

				regulation is published. Transfer to the Federal Records Center 5 years after cutoff. Destroy 20 years after cutoff.
		b. Proposed/Not Passed	NCI-370-03-9	TEMPORARY. Cut off when decision is made to no longer develop the regulation or policy. Destroy 5 years after cutoff.
		c. Drafts and Comments maintained in other offices providing input to origination office	NCI-370-03-9	TEMPORARY. Cut off when final decision is reached on proposed policy or regulation. Destroy 3 years after cutoff.
		d. Electronic copies created in word processing or electronic mail programs	NCI-370-03-9	TEMPORARY. Destroy 90 days after creating record keeping copy.

100-21	Schedules of Senior-Level Daily Activities.	Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by federal employees while serving in an official capacity, created and maintained in hard copy or electronic form. [See 200-06 for Division-level and below activities]	N1-370-90-2	PERMANENT.
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