

FUNCTION NUMBER 1500

FISHERY AND LIVING MARINE RESOURCE

FUNCTIONAL FILES

(Rev. NI-370-06-2, NI-370-06-3 9/06, N1-370-08-03, N1-370-11-1, N1-370-12-2)

Function number 1500 deals with programs related to fisheries and living marine resources. 1501 has been replaced with chapter 100. Office Housekeeping files and Research and Development files have been assigned separate functional numbers. The table of contents and index should be consulted.

1502 Resource Assessment, Distribution, and Classification Files

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1514 Marine Mammal and Endangered Species Protection Files

1515 Marine Recreational Fisheries Program File

1516 NRDA Post-Settlement and Administrative Record Files

1502 RESOURCE ASSESSMENT, DISTRIBUTION, AND CLASSIFICATION FILES

These files relate to programs to assess the numbers and distribution of marine resources, to assess trends which may be developing, and to clarify types of marine life. Includes material related to commercial and recreational fisheries.

1502-01 Assessment Coordination files.

Correspondence and related material involving coordination with other agencies, states, and institutions in the planning and operation of resource assessment activities.

Disposition

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

1502-02 Survey Operations files.

Correspondence, progress reports, and related material concerning the operation of resource assessment activities.

Disposition

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

1502-03 Survey Data files.

Raw results of surveys and related projects. Also preliminary coordination of data and results.

Disposition

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

1502-04 Survey Report files.

Final reports showing trends in resource levels or distribution, and portrayals of current biological or environmental situations.

Disposition

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

1502-05 Atlas Files.

Atlases prepared showing numbers or distribution of resources. If part of report described in 1502-04 above, a copy should be filed with that report.

Disposition

Permanent. Transfer to FRC after 5 years. Offer to NARA when 25 years old.

1502-06 Taxonomical Studies files.

Studies on the classification of marine life.

Disposition

Destroy when no longer needed for reference, or transfer to another repository in accordance with 36 CFR 1228.

1502-07 **Program Review files.**

Technical reviews of survey methods or results.

Disposition

Cut off at end of program year. Destroy 3 years after completion of review.*

1502-08 **Information Request files.**

Correspondence and related material prepared to respond to requests for information.

Disposition

1. Routine requests requiring no special research or policy decisions: Destroy when 3 months old or when no longer needed, whichever is sooner.
2. Other requests: Cut off at end of calendar year. Destroy after 2 years.

1502-09 **Research and Technique Tracking files.**

Documents relating to the tracking of related research being done by other offices, or of assessment techniques which may be of use. (Use 1502-02 for any material relating to a specific survey being conducted.)

Disposition

Destroy after 3 years or when no longer needed for reference purposes.

1503 ENVIRONMENTAL IMPACT ANALYSIS FILES

These files relate to reviews of Federal, or Federally licensed, proposals for projects with potential impact on the marine and anadromous environment, and fishery resources.

1503-01 **COE Section 10 Permit Review files.**

Reviews of requests to the U.S. Army Corps of Engineers (COE) for permits for construction in, or other modifications or alterations of navigable waters; and recommendation for approval, conditional approval, or denial of the requests, based on assessments of environmental impact.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-02 **NPDES Permit Review files.**

Reviews of permit requests under National Pollutant Discharge Elimination System (NPDES), controlling effluent discharged into U.S. waters; and resulting assessments and recommendations.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-03 **Ocean Dumping Permit Review files.**

Reviews of requests for Environmental Protection Agency permits for the ocean dumping of waste material, and recommendations.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-04 **FPC License Review files.**

Reviews of requests for FERC permits for hydroelectric or fossil fuel power plants, and resulting assessments, advice, and recommendations given.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-05 **Nuclear Regulatory Commission License Review files.**

Reviews of requests for licenses for nuclear power plants, and resulting assessments and recommendations.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-06 **OCS Oil and GAS Lease Review files.**

Reviews of oil and gas leases on the outer continental shelf (OCS) in order to access effects on living marine resources and their habitats; and any comments or recommendations.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

1503-07 **Federal Water Project Review files.**

Reviews of proposed or authorized projects by other Federal agencies, and involving the impounding, diverting, modifying, or controlling the waters of any stream or other body of water; and any recommendations made to prevent or mitigate damage to living resources.

Disposition

Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.

- 1503-08 **EIS Review and Assistance**
Reviews of and comments on draft Environmental Impact Statements (EIS'S) for Federal and Federally funded actions; and assistance given in the preparation of EIS's.
Disposition
Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- 1503-09 **Deleted 10/31/91**
- 1503-10 **Aquaculture Review files.**
Reviews of aquaculture plans and operations, and related assessments and recommendations.
Disposition
Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- 1503-11 **General Permit Review files.**
Reviews of and recommendations on permit requests not described by other items within this sub- function. Subdivide by permit type if necessary.
Disposition
Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- 1503-12 **CZM Advisory files.**
Correspondence and materials prepared to advise states and the office responsible for Coastal Zone Management (CZM) on effects of management plans and possible estuarine or marine sanctuaries.
Disposition
Disposition not authorized.
- 1503-13 **National Wetland Inventory Review files.**
Reviews of Fish and Wildlife inventories of national wetlands, and resulting assessments and recommendations.
Disposition
Cut off when review is completed. Destroy 5 years later unless the information in the review is of current importance. Destroy cases retained beyond 5 years when the information is superseded or obsolete.
- 1503-14 **Special Studies files.**
Special studies, usually conducted in cooperation with other agencies or groups relating to land or water projects affecting the marine or water environment or its life. See 1501-16C for published studies.
Disposition
Disposition not authorized.

1503-15 **Agency Liaison files.**

General coordination with other agencies or outside bodies. Excludes specific coordination on individual permits and projects identified in this sub- function. See 1501-10 for interagency agreements.

Disposition

Cut off at end of calendar year. Destroy after 2 years or when no longer needed for reference purposes, whichever is sooner.

1503-16 **Essential Fish Habitat Consultation Files.** (Rev. 11/02 NI-370-01-4)

Correspondence between the National Marine Fisheries Service (NMFS) and Federal agencies, state agencies or Fishery Management Councils concerning measures to minimize the adverse effects of actions authorized, funded, or carried out by Federal or state agencies on designated EFH.

Disposition

- a. Recordkeeping paper copy: Permanent. Cutoff annually. Transfer to FRC when 5 years old. Transfer to NARA with related indexes or finding aids when 25 years old.
- b. Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy is produced.

1504 FISHERIES MANAGEMENT AND COORDINATION FILES

These files relate to programs to coordinate plans and research of the Federal Government in the area of fisheries management with those of the states; to obtain maximum uniformity of regulations; to institutionalize cooperation; to issue permits to foreign and domestic fishing vessels; and award related grants.

1504-01 **Program Correspondence files.**

Correspondence on program operations, including designations of formal contacts in the states.

Disposition

Cut off at end of calendar year when created or superseded, whichever is appropriate. Destroy 5 years later.

1504-02 **Fishery Management Guidelines files.**

Guidelines developed to aid states in the management of fisheries.

Disposition

Cut off at end of calendar year. Review annually. Destroy when superseded or obsolete.

1504-03 **Regulation Coordination files.**

Documents relating to programs to coordinate Federal and state regulations to obtain maximum uniformity, and any recommendations resulting from this coordination.

Disposition

Retain until regulation is passed or until no longer needed for reference purposes.

1504-04 **Research Coordination files.**

Correspondence and reports relating to program that coordinate research programs of the states and the Federal government.

Disposition

Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.

1504-05 **Grant Application files.**

Material submitted by states applying for grants described in 1504-06 below.

Disposition

1. Accepted applications. Transfer file to 1504-06 below.
2. Rejected applications. Destroy 3 years after grant is rejected or withdrawn.

1504-06 **Closed Grant Case files.**

Case files on grants made to states for the development, implementation, administration monitoring, or evaluation of fishery management plans or resources.

Disposition

Break files annually and transfer to FRC. Destroy when 6 years and 3 months old.

1504-07 **Closed Grant Financial Data files.**

Any financial reports, summaries of financing, and related material. May be filed with case file in 1504-06 above.

Disposition

Break files annually and transfer to FRC. Destroy when 6 years and 3 months old.

1504-08 **Program Audit files.**

Reports on audits made on state programs or disbursement of funds.

Disposition

Cut off at end of year when received. Destroy 5 years later.

1504-09 **Fisheries Management Studies files.**

Special studies conducted on the management and conservation of fish species.

Disposition

Permanent. Offer to NARA after 15 years.

1504-10 **Institutional Coordination files.**

Correspondence, reports and other documents relating to programs to institutionalize arrangements for federal-state cooperation in fisheries management.

Disposition

Permanent files for originating office. Transfer to FRC when 5 years old. Offer to NARA after 25 years old. Other offices: Destroy when superseded or obsolete.

1504-11 **Fishing Vessel Permit files.** (Rev. 8/08 N1-370 08-2)

Applications and permits for vessels to fish in the economic zones. Upon receipt of the Archivist authorization, the Assistant Administrator for Fisheries, or his designee, will direct each Regional Administrator to establish a cutoff period subject to regional requirements within the 6-75 year retention band.

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

Disposition

Cut off when permit expires or application is rejected. Destroy/delete when between 15 and 75 years old.

b. Permits for U.S. ships to fish in foreign zones.

Disposition

Cut off at end of calendar year. Destroy/delete after expiration of permit when between 6 and 75 years old.

c. Permits for U.S. ships to fish in the U.S. zone.

Disposition

Cut off at end of calendar year. Destroy/delete after expiration of permit when between 6 and 75 years old.

1504-12 **Legislation Review files.**

Reviews of proposed legislation, incorporating views of states and industry. This file pertains to coordination of reviews for fishery management legislation.

Disposition

Permanent. Transfer to the FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.

1504-13 **Fishery Management Plan files.**

Plans and implementing regulations for the management of fisheries within a region plans and supporting documents, proposed and final rules, in season management adjustments, and notices of hearings.

Disposition

Headquarters: Permanent. Transfer to the FRC when no longer needed for reference or when superseded. Transfer to the National Archives when 20 years old. Regional FMC files: Permanent. Transfer to FRC when no longer needed for reference. Transfer to the National Archives when 20 years old.

1504-14 **Fishery Management Council (FMC) Organization files.**

Documents relating to guidance on preparation and publication of regulations in the Federal Register, and formation, membership, responsibilities, etc., of FMC's.

a. Legislation.

Disposition

Items 1504-14a, b, c:

Headquarters Files: Permanent. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.

b. Regulations.

Disposition

Regional Office FMC files: Permanent. Transfer to FRC when no longer needed for reference or when superseded. Transfer to the National Archives when 20 years old.

c. Charters.

d. Responsibilities.

Disposition

Break files every 5 years, or each council term of office, and transfer to FRC. Destroy when 30 years old.

e. Council Membership.

Disposition

Headquarters Files: Permanent. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.

f. Lead designations for plans.

g. Scientific and statistical committees.

h. Advisory panels.

Disposition

*Items f, g, h:

Break files every 3 years or at termination of panel or committee and transfer to FRC. Destroy when 20 years old.

1504-15 **Fishery Management Regulations files.**

Documents relating to guidance on preparation and publication of regulations in the Federal Register and regulatory training materials pertaining to fishery regulations development and publication of regulations pertaining to fisheries management (including Fishery Management Plans).

Disposition

Destroy when no longer needed for reference or when superseded.

1504-16 **Fishery Management Council (FMC) Operations files – (N1-370-90-3)**

Documents relating to the meetings and programs of FMC's. See 1504-13 for Fishery Management Plans, 1504-15 for regulations, and 1504-17 for FMC administrative support.

a. Meeting plans

Disposition

Destroy meeting plans after 2 years.

(1) Federal Register Notices of Meetings

Disposition

Destroy 1 year after publication.

(2) Files Documenting the Clearance and Processing of Proposed and Final Rules, along with the final or Proposed Rules.

Disposition

Permanent. Transfer to FRC 5 years after publication. Offer to NARA after 20 years.

b. Minutes and report of meetings. (See Attached Revision)

(1) Audiotapes of meetings

(a.) If tape is only record of meeting:

Disposition

Permanent. Transfer to the FRC when 5 years old. Transfer to the National Archives when 10 years old.

(b.) If tape is transcribed or summarized.

Disposition

Destroy when transcript, minutes, or other summary is verified and approved.

(2) Textual records of meetings.

Disposition

Permanent. Transfer to the FRC in five year blocks when ten years old. Transfer to the National Archives when 20 years old.

c. Resolutions.

Disposition

Council resolutions permanent. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years.

d. Program Reports (other than admin. report in 1504-17n).

Disposition

Destroy 2 years after report is discontinued.

e. Workshop and special issue development.

Disposition

Destroy after 2 years or when no longer needed for reference purposes.

f. Liaison activities with other organizations.

Disposition

Destroy after 2 years.

g. Publications, Record set of official publications issued by Fishery Management Councils.

Disposition

Permanent. Transfer to the FRC in five year blocks when 10 years old or when no longer needed for reference. Transfer to the National Archives after 20 years old.

1504-17 **Fishery Management Council (FMC) Administration files.**

Documents relating to the administrative support of council operations.

a. Audit files.

Disposition

Cut off at end of fiscal year. Destroy 8 years after audit is closed.

b. Budget files.

Disposition

Destroy 3 years after close of fiscal year covered by the budget.

c. Finance files.

Disposition

Destroy when 3 years old.

d. Grant files.

Disposition

Destroy 6 years and 3 months after grant is closed.

e. Legal files (including liability questions, subpoenas, etc.).

Disposition Destroy 7 years after case is closed.

f. Mailing lists

Disposition

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

g. Meetings (other than formal council meetings).

Disposition

Destroy when 3 years old or when no longer needed for reference purposes.

h. Milestones for councils.

Disposition

Destroy when 3 years old or when no longer needed for reference purposes.

i. Personnel files.

Disposition

Review annually, destroy superseded or obsolete documents: Destroy all documents relating to an individual employee within one year after separation or transfer.

j. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.

(1) Procurement or purchase organization copy, and related papers.

a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Disposition

Destroy 6 years and 3 months after final payment.

b. Transaction of \$25,000 or less and construction contracts under \$2,000.

Disposition

Destroy 3 years after final payment.

(2) Obligation copy

Disposition

Destroy when funds are obligated.

(3) Other copies of records described above used by component elements of a procurement office for administrative purposes.

Disposition

Destroy upon termination or completion.

(4) Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

Disposition

Destroy when 5 years old.

k. Property management files.

Disposition

Destroy when 2 years old.

l. Public affairs files.

Disposition

Destroy when 2 years old.

m. Travel files.

Disposition

Destroy when 3 years old.

n. Administrative report files.

Disposition

Destroy when 2 years old or when report is canceled, whichever is sooner.

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.

Disposition

Destroy when no longer needed for current agency business.

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

Disposition

Cut off at end of fiscal year when created. Destroy 6 years and 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.

Disposition

Cut off at end of calendar year. Destroy after 2 years.

1504-20 **Limited Access Privilege (LAP) N1-370-08-3, Rev. 8/27/08**

Federal permits, issued as part of a limited access system under the Magnuson Stevens Fishery Conservation and Management Act (MSA), to harvest a quantity of fish expressed by a unit or units representing a portion of the total allowable catch of the fishery that may be received or held for exclusive use by a person; includes individual fishing quota. A limited access system (LAS) means a system that limits participation in a fishery to those satisfying certain eligibility criteria or requirements contained in a fishery management plan or associated regulation.

An LAP provides an individual fisherman, cooperative, or community the exclusive privilege of harvesting a quantity of fish. LAP programs may require annual permits that authorize the use of these harvest privileges. An LAP management program may provide for such privileges and permits to be transferable amongst eligible fishermen, cooperatives and/or processors.

Upon receipt of the Archivist's authorization, the Assistant Administrator for Fisheries, or his designee, will direct each Regional Administrator to establish a cutoff period subject to regional requirements within the 6-75 year retention band. The fisheries managed under LAS vary from region to region across NOAA Fisheries. The LAPs issued are unique to each region. Each regional office or fisheries science center responsible for permitting under a LA has different file retention needs.

Disposition:

Cut off 5 years after permit is granted. Retire to FRC one year after cut off. Destroy/delete when between 6 and 75 years old.

1504-21 **Dealer, Buyer, Processor or Receiver Permits N1-370-08-3, Rev. 8/27/08**

Applications and permits for persons to receive or process fish harvested in the EEZ under a limited access system or a fishery management plan in accordance with associated statutes or regulations. These permits are valid only for the period issued effectively closing out any certificates issued for the prior permit. The permit number issued may be required for reporting the harvest or processing effort.

Upon receipt of the Archivist's authorization, the Assistant Administrator for Fisheries, or his designee, will direct each Regional Administrator to establish a cutoff period subject to regional requirements within the 6-75 year retention band.

Disposition:

Cut off when permit certificate expires. Retire to FRC one year after cut off. Destroy/delete when between 6 and 75 years old.

1504-22 **National Appeals Office Files (N1-370-12-2) New Item**

The National Appeals Office (NAO) is a division of NOAA Fisheries Office of Management and Budget. NAO is the successor to the Office of Administrative Appeals, Alaska Region, and is charged with processing appeals that were filed with the Office of Administrative Appeals, Alaska Region. NAO adjudicates appeals of persons affected by initial administrative determinations, including those related to implementation of the Magnuson Stevens Fishery Conservation and Management Act. Section 303 of the Magnuson-Stevens Fishery Conservation and Management Act authorizes limited access privilege programs and requires NMFS to "include an appeals process for administrative review of the Secretary's decisions regarding initial allocation of limited access privileges." Typically, although not exclusively, NAO proceedings are for appeals of denials of permits or other limited access privileges. Other

programs that may opt into the NAO process may include the Alaska Charter Halibut Limited Access Program or the North Pacific Groundfish Observer Program. NAO may also adjudicate appeals for other offices within the Department of Commerce. Appeals may include hearings, during which an administrative judge accepts testimony, and receives evidence into the record. NAO also may respond to motions and other requests related to the administrative appeals process. NAO ensures due process is afforded to all participants in the appeals process, and ensures sound and consistent jurisprudence in the appeals process. NAO determines the regulatory issues to be resolved, evaluates the evidence, and prepares written decisions. For each appeal, NAO provides a written decision to the appellant and relevant persons within NOAA. A typical adjudication involves an initial letter to the parties allowing them to submit documents and evidence. The case is heard before an administrative judge, who has the discretion to allow testimony or rely on the NAO case record to prepare a written decision. A written decision is then rendered by NAO through an administrative judge. The decision becomes final 30 days after issuance unless 10 days from the date the decision is issued, the Regional Administrator remands, reverses, or modifies the decision. The Regional Administrator's written decision to reverse or modify NAO's decision is the final decision of the Department. This schedule covers appeals handled by NAO and its predecessor, the Office of Administrative Appeals. NAO may publish its decisions on the Internet. NAO maintains a database of current and historical caseload data and responds to requests for statistical data about appeals.

Unless otherwise noted, all disposition instructions below are media neutral, they apply regardless of the format of the record.

1. Appeal Case Files

The appeal case file documents the appeal of a decision rendered by an office of the National Marine Fisheries Service (NMFS) as well as other offices in the Department of Commerce. The office that rendered the initial administrative determination forwards the records relevant to the appeal to NAO. A typical appeal case file includes, but is not limited to, appeal letter/petition, acknowledgement letter, initial administrative determination, evidence, pleadings, decision(s) and order(s), appeals correspondence, and audio recordings of hearings, including witness testimony. Appeals case files may also be referred to as NAO case records.

Authorized Disposition:

TEMPORARY: Cut off at the end of the year in which final decision is issued. Retain 6 years after the final decision, and then destroy if no court action has been initiated. If court action has been initiated, destroy 1 year after final court action. Court decision must be final. All appeal processes must have either been exhausted or waived.

2. Appeals Tracking Database

NAO uses a database to track cases through the appeal process. The software used to create the database assigns case numbers, and allows NAO to maintain other information such as, judge who is assigned, case/program type, number of case days is open, appellant contact information, attorney assigned to case.

Authorized Disposition:

TEMPORARY: Cut off at the end of the year in which final decision is issued. Retain 6 years after the final decision, and then delete if no court action has been initiated. If court action has been initiated, delete 1 year after final court action. Court decision must be final. All appeal processes must have either been exhausted or waived. Retention may be extended for data that has ongoing value for statistical and other business purposes.

1505 REGIONAL FISHERIES DEVELOPMENT FILES

These files relate to programs to assist the development of fisheries, either commercial or recreational, in regions of the country. Columbia River programs are included.

1505-01 **Program Development Plan files.**

Plans written for overall development of fisheries in a region.

Disposition

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.*

1505-02 **Program Correspondence files.**

General correspondence with states, industries, or groups about general development programs; also operational correspondence.

Disposition

Cut off at end of calendar year. Destroy after 2 years.

1505-03 **Program Coordination files.**

Correspondence with NOAA to coordinate efforts affecting the development of fisheries.

Disposition

Cut off at end of calendar year. Destroy after 2 years.

1505-04 **Studies files.**

Study report, and related background material, on studies conducted on matters related to regional development. May be subdivided into proposed and accepted studies.

Disposition

Destroy 5 years after completion or cancellation of study.*

1505-05 **Species Utilization Development files.**

Documents concerning the increased utilization of species through better management and marketing techniques; and related information on species availability, etc.

Disposition

Cut off at end of calendar year. Destroy after 3 years.*

1505-06 **Marketing Development files.**

Correspondence and plans concerning the improvement of marketing techniques for seafood in a particular region. Does not include material for individual species (see

1505-05 above) unless integrated into an overall plan for region. Does not include regular marketing improvement files (see 1508).

Disposition

Cut off at end of calendar year. Destroy after 3 years.*

1505-07 **Hatchery Program files.**

Documents relating to the cooperative operation of hatcheries, such as for the Columbia River Program. Includes copies of contracts, evaluations of results, and similar records.

Disposition

Cut off at end of calendar year when created. Destroy 7 years later.

1505-08 **Pollution Abatement files.**

Documents relating to programs to limit and reduce the amounts of pollution in waters as part of program to aid development of fisheries in region.

Disposition

Cut off at end of calendar year. Destroy 7 years later.*

1505-09 **Obstruction and Assistance files.**

Documents dealing with obstructions to fish in water-ways, such as dams, and assistance (such as ladders or screens) provided to by-pass such obstructions.

Disposition

Cut off at end of calendar year. Destroy after 3 years.

1505-10 **Stream Improvement files.**

Documents pertaining to action taken to improve streams or other water ways to aid fish resources.

Disposition

Cut off at end of calendar year. Destroy after 3 years.*

1505-11 **Catch Statistics files.**

Statistics on the number of fish caught, either by species or area.

Disposition

Cut off at end of calendar year. Destroy after 3 years.

1505-12 **Operation Improvement files.**

Investigations and recommendations concerning improvement in operations of segments of a regional program.

Disposition

Destroy 3 years after investigation is completed.*

1505-13 **Aquaculture Program files.**

Documents relating to the development, promotion, and evaluation of aquaculture programs and techniques.

Disposition

Permanent. Break files every 5 calendar years and transfer to FRC. Transfer to NARA when 20 years old.*

1506 PRIBILOF ISLANDS PROGRAM FILES

These files relate to programs to conserve and utilize the fur seals of the Pribilof Islands, and in carrying out NOAA's responsibilities with the island=s residents.

1506-01 **Fur Seal Contract files.**

Contracts and related correspondence regarding the fur seal harvest and the processing and sale of products.

Disposition

Disposition not authorized.

1506-02 **Sealing Catch Data files.**

Data on seals taken and resulting products. Includes daily kill records, annual kill report, annual statistical summaries, tallies of skin shipped and meal and oil produced, specimens given for research, etc.

Disposition

Disposition not authorized.

1506-03 **Monthly Activity Report files.**

Monthly report of activities which take place on the islands.

Disposition

Disposition not authorized.

1506-04 **Operational Correspondence files.**

General correspondence on island activities and operations.

Disposition

Disposition not authorized.

1506-05 **Complaint Correspondence files.**

Correspondence concerning complaints from public or Congress about sealing particles.

Disposition

Complaints from public: Destroy when 3 months old. Complaints from Congress: Cut off at end of calendar year when receive. Destroy 3 years later.

1506-06 **Veterinarian Study files.**

Special studies conducted by veterinarians on the development of more humane methods of killing seals.

Disposition

Disposition not authorized.

1506-07 **Native Resident files.**

Documents pertaining to programs for residents of the islands.

Disposition

Permanent. Transfer to FRC after 7 years. Offer to NARA 20 years later.

1506-08 **Wildlife Management files.**

Documents relating to the management of Pribilof Island wildlife other than fur seals.

Disposition

Disposition not authorized.

1506-09 **Fur Seal other Indigenous Mini Ped Research Files.**

Documents and data on the ecology and biology of the Northern Fur Seal and other migratory mammals resulting from single or coordinated research programs and containing documentation on program operation, research techniques, objectives, data collection, and program evaluation.

Disposition

Permanent. Break files every 5 years and transfer to FRC. Transfer to the National Archives when 20 years old, or on completion of the project.

1507 FISHERY STATISTICS AND MARKETING NEWS REPORTING FILES

These files relate to the reporting of statistical information concerning fish and the fishery industry, and related publications. Not included are statistics involved in assessing the resources. Those files are covered in 1502.

1507-01 **Statistic Agreement files.**

Agreements with companies to obtain statistics.

Disposition

Destroy when superseded or obsolete.

1507-02 **Statistic Reporting Procedures files.**

Procedures for the reporting of statistics in the most usable form.

Disposition

Destroy when reporting system is superseded or 3 years after report is canceled.*

1507-03 **Market News Report files.**

Record set of the Market News Reports and the Annual Market News Summaries.

Disposition

Cut off at end of calendar year. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.*

1507-04 **Market News Source files**

Correspondence, price, and other data used as source material for published Market News Report or Summaries.

Disposition

1. Correspondence: Cut off at end of calendar year when created. Destroy 2 years later.

2. Source material: Destroy after publication of related report or summary.

1507-05 **Market News Issuances files.**

a. Record set of issuances.

Disposition

Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.

b. Copies of issuances kept by office for reference purposes and to answer questions from the public.

Disposition

Cut off at end of calendar year when created. Destroy 6 years later.

1507-06 **Market New Issuance Source files.**

Daily production and other feeder reports used as source material, and related correspondence. Subdivide by type of report.

Disposition

1. Daily production and similar reports from fish dealers: Destroy when 6 months old.
2. Import receipts, cold storage data, railroad receipt forms on arrivals, and similar industry report; Cut off at end of calendar year when created. Destroy 2 years later.

1507-07 **Market News Subscription files.**

Subscriptions from industry and public for market news reports or issuances.

Disposition

Destroy after 2 years.

1507-08 **Special Reports files.**

Special reports on statistical or marketing information or problems.

Disposition

Destroy 3 years after issuance of report, for reference purposes, whichever comes first.

1507-09 **Statistical Publications files.**

Record set of fishery publications other than described in 1507-03 and 1505-05 above. Subdivide by type of publication.

Disposition

Cut off at end of calendar year when created. Permanent. Transfer to FRC after 5 years. Offer to NARA 20 years later.

1507-10 **Marine Recreational Fisherman=s Catch files.**

Statistics on catches by species, length, weight, etc. A Privacy Act record.

Disposition

Destroy when superseded by new statistical information or when no longer needed for reference purposes.*

1507-11 **Statistical Data Files** (Supersedes NOAA Disposition handbook Item 1507-11)

Paper reports, schedules, and printouts of statistics relating to fish and fishery industry.

Disposition

Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.

1507-12 **Public Information files.**

Reference material gathered to aid responses to common information requests from the public. Also any minor research done for such requests.

Disposition

Destroy when no longer needed for reference purposes.

1507-13 **Survey Operations files.**

Documents relating to the operation of both one-time and continuing data-gathering

and processing projects. Includes work done by contractors and grantees. See 1507-02 for procedures of on-going applicability, assessment surveys.

a. One-time survey files. Proposals, procedures, operational and guidance, and other materials relating to the conduct of one-time survey or data-gathering projects.

Disposition

Destroy 3 years after survey data is released.

b. Continuing Survey Operations Files (Supersedes NOAA Disposition Handbook 1507-13b)

Documents relating to the day-to-day operations of an ongoing project. Includes work done by contractors and grantees.

Disposition

Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.

c. Electronic Copies

Electronic copies of records listed on this schedule that are created using electronic mail or word processing

Disposition

Delete when the recordkeeping copy is produced.

1507-14 **Industry Relations files.**

Correspondence and other documents concerning relations with individual companies or an industry, and relating to general statistical needs, problems, procedures, etc. See 1507-01 for formal agreements, and 1507-13 for dealings which are part of a specific data-gathering project.

Disposition

Cut off at end of calendar year. Destroy after 2 years.

1507-15 **Confidentiality files.**

Documents relating to the protection of confidential statistics, and to the authorized access to such information. See 1501-05 and 1501-06 for applicable laws, directives, etc.

a. Documents relating to the identification of material requiring protection, and the methods of providing it.

Disposition

Destroy when superseded or obsolete.

b. Documents authorizing or denying access to protected information. Includes Statements of Non-disclosure, lists of authorized users, special access requests, and similar material.

Disposition

Destroy 2 years after authorization expires.

c. Documents relating to release or protection agreements not covered in 1507-01 or 1507-13 above.

Disposition

Destroy 2 years after protection agreement expires.

d. General confidentiality correspondence.

Disposition

Destroy when 2 years old.

1508 FISHERY MARKETING AND CONSUMER AID FILES

These files relate to programs aiding fishery industries in marketing seafood products. See 1505 for records relating to total fishery development within a region of the country.

1508-01 **Marketing Development Plan files.**

Plans and reviews of plans to develop more effective marketing of seafood products.

Disposition

Disposition not authorized.

1508-02 **Market Analysis Report files.**

Quarterly reports on the market situation and its outlook; and on-going analyses to identify trends in the market.

Disposition

Disposition not authorized.

1508-03 **State Marketing Program files.**

Correspondence and related material giving assistance to states in marketing programs. See 1505 for major regional development programs .

Disposition

Disposition not authorized.

1508-04 **Cooperative Marketing Agreement files.**

Agreements made in accordance with the Fishery Cooperative Marketing Act.

Disposition

Destroy 3 years after agreements are superseded.

1508-05 **Promotional files.**

Recipes, photos, and other promotional material to aid in marketing seafood products. Includes demonstration material.

Disposition

Permanent. Retire one original of each to FRC when no longer used as marketing material. Offer to NARA 20 years after retirements.

1508-06 **Survey files.**

Surveys conducted to determine consumer preferences and use patterns. Includes questionnaires, reports and reactions of consumers, and reports of data complications.

Disposition

Cut off at issuance of final report. Destroy 3 years later.

1509 ECONOMIC ANALYSIS FILES

These files relate to analyses of the fishing industry and its markets.

1509-01 **Economic Study files.**

Studies of the fishery industry, or segments of it, to determine its present health, the effects of international trade or technological changes, or the impact of other variables. Includes final studies, schedules and other data used as input, and related correspondence.

a. Records set of final reports.

Disposition

Disposition not authorized.

b. Schedules and other papers uses as source material for study and related correspondence.

Disposition

Disposition not authorized.

1509-02 **Fishery Situation files.**

Reports and correspondence concerning the economic situation in a region or with a selected species. Documents pertaining to a specific study should be filed with a 1509-01 above.

Disposition

Disposition not authorized.

1509-03 **Cost-Benefit Study files.**

Studies determining the cost-benefit ratio of current or purposed NOAA programs affecting the fishery industry.

Disposition

Disposition not authorized.

1509-04 **Economic Coordination files.**

Correspondence and reports giving advice on means of coordinating NOAA activities relating to fishery economics.

Disposition

Disposition not authorized.

1510 VESSEL FINANCIAL SERVICES FILES

These files relate to programs providing loans, subsidies, or guarantees to aid in the construction, repair, etc., of fishing vessels.

- 1510-01 **Pending Application files.**
Applications for loans or other forms of assistance. Subdivided by type of aid.
Disposition
1. Approved applications: Transfer to appropriate code for case file.
2. Rejected applications: Destroy after 5 years.
- 1510-02 **Fishery Loan files.**
Case files on loans made to finance or refinance costs relating to fishing vessels, including their purchase. Includes applications, case histories, insurance policies, mortgages, and related correspondence and forms.
Disposition
1. Collateral documents: Return to borrower when loan is repaid.
2. Other documents: Cut off when loan is repaid. Destroy 3 years later.
- 1510-03 **Vessel Mortgage Insurance files.**
Applications, case histories, commitments, contracts, guarantee agreements, notes insurance policies, and related papers concerning the insuring of mortgages on fishing vessels.
Disposition
1. Collateral documents: Return to borrower after payments completed.
2. Other documents: Cut off when payments completed. Destroy 3 years later.
- 1510-04 **Obligation Guarantee files.** Guarantees for obligations incurred under 1510-03 above. May be filed with case file under that code.
Disposition
Same as 1510-03 above.
- 1510-05 **Capital Construction files.**
Includes applications, reports, and related documents on aid given to vessel owners under the capital construction program.
Disposition
1. Paper records which have been microfilmed (and the film verified): Cut off at termination of aid. Destroy 1 year later.
2. Microfilm copies, or paper records which have not been microfilmed: Cut off at termination of aid. Destroy 6 years later.
- 1510-06 **Billing Statement files.**
Billing statements sent in connection with financial aid given in items described above. May be filed with individual case files.
Disposition
Destroy 2 years after payment. Delinquent bills covered by 1510-07. Copies of bills filed with individual case files.
- 1510-07 **Delinquent Payment Report files.**
Reports of aid which is not being repaid on time.
Disposition
Destroy when superseded by revised report.

1510-08 **Master Loan Record Book files.**

Listings of each loan, grant, etc., with case number, dollar amount involved, dates of action, and closing date or repayment in full.

Disposition

Cut off when book is full or at end of fiscal year. Destroy when no longer needed for administrative use.

1510-09 **Financial Statistics files.**

Statistics developed on financial assistance provided for fishing vessels.

Disposition

Cut off at end of calendar year. Destroy after 3 years.

1510-10 **General Correspondence files.**

General correspondence pertaining to programs described in the sub function.

Disposition

Cut off at end of calendar year when created. Destroy 2 years later.

1510-11 **Program Operation files.**

Documents relating to the operation of the various financial assistance programs. Does not include the individual case files, any policy formulation (see 1501-01), or records described in other series within this sub function.

Disposition

Destroy 2 years after the program is superseded or when no longer needed for reference purposes, whichever is sooner.

1510-12 **Construction Differential Subsidy Program Case files.**

Applications, agreements, and related documents pertaining to subsidies given to promote the U.S. construction of fishing vessels under this program.

Disposition

Cut off when case is closed. Destroy 15 years later.

1511 FISHERY PROTECTION AND CLAIMS FILES

These files relate to programs to protect U.S. fishing vessels from financial loss due to gear damage, seizure by other countries, and related problems; includes claims made as a result of laws providing for the reimbursement of losses.

1511-01 **Fishery Protective Act Agreement files.**

Agreements with U.S. vessel owners relating to protection from financial losses due to seizure of vessels by other nations due to fishing in contested areas.

Disposition

Destroy 3 years after agreement expires.

1511-02 **Protective Act Claims files.**

Case files of claims filed as a result of the agreements in 1511-01.

Disposition

Destroy when 6 years, 3 months old.

1511-03 **Gear Conflict Claims files.**

Case files of claims concerning damage to U.S. gear by foreign vessels.

Disposition

Cut off at close of case. Destroy 3 years later.

1511-04 **General Correspondence files.**

General correspondence on the operation of the protection and claims program.

Disposition

Cut off at end of calendar when created. Destroy 2 years later.

1511-05 **Fishermen's Contingency Fund Claims files.**

Case files for claims for damages to fishing vessels from oil and gas activities.

Disposition

Destroy when 6 years, 3 months old.

1511-06 **Claims Financial files.**

Requests to the NOAA financial officer for the disbursement of funds; also reports on status of funds, and similar records pertaining to the financial operation or claims programs.

Disposition

Destroy when 3 years old.

1512 FISHERY PRODUCT QUALITY AND SAFETY INSPECTION FILES

These files relate to programs to inspect fishery products for quality and safety.

1512-01 **Standards For Grades files.**

Standards for grades of fishery products, and inspector=s instructions for grading fishery products.

Disposition

1. Record Set: Cut off when superseded. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA 20 years later.*
2. All other copies: Destroy when superseded.

1512-02 **Regulations For Processed Products files.**

Regulations affecting processed fishery products.

Disposition

1. Record Set: Cut off when superseded. Permanent. Transfer to FRC when superseded by new regulations. Offer to NARA 20 years later.

2. Drafts, correspondence, and copies. Destroy 3 years after approval of specification.

1512-03 **Specifications For Products files.**

Specifications for fishery products, including related drafts and correspondence.

Disposition

1. Record Set: Cut off when superseded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later.
2. Drafts, correspondence, and copies. Destroy 3 years after approval of specification.

1512-04 **Inspection Guideline files.**

Guidelines established for inspectors, and related instructions to them. Includes manuals.

Disposition

1. Record Set: Cut off when superseded. Permanent. Transfer to FRC after 3 years. Offer to NARA 20 years later.
2. All other copies: Destroy when superseded.

1512-05 **Interagency Coordination files.**

Coordination with other agencies on labeling procedures, USDA regulations on food products, program requirements, and related matters.

Disposition

Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.

1512-06 **Plant Listing files.**

Official annual listing of plants under USDC inspection.

Disposition

Disposition not authorized.

1512-07 **Inspection Contract files.**

Documents relating to contracts between processors and the agency for inspection services, and related correspondence, surety bonds, and other papers concerning the contract.

Disposition

Cut off at close of contract. Destroy 5 years after final payment. (See 101-09 for copies of contracts maintained solely for office accounting purposes).

1512-08 **Inspection files.**

Documents pertaining to inspections, including inspection certificates, related daily inspection reports and score sheets, plant production summaries, general plant survey reports, quality control plans, and related correspondence.

Disposition

Cut off at end of calendar year when created. Destroy 5 years later.

1512-09 **Labeling files.**

Requests for label approval, lists of approved labels, and related correspondence.

Disposition

Cut off at termination of inspection agreement. Destroy 1 year later.

- 1512-10 **Inspection Service Financial files.**
Financial status reports, reports on delinquent payments, material related to billings, and related financial records. This item does not include office budget files (see 1501-15).
Disposition
Cut off at end of fiscal year when created. Destroy 5 years later.
- 1512-11 **Reports and Tests files.**
Reports on the effects of metal content and related material on fishery products, on methods of inspection to determine problems, and on microbiological tests conducted. (Test results relating to a specific plant should be filed in 15-08 above).
Disposition
Transfer to FRC when 5 years old. Destroy after 20 years.
- 1512-12 **Purchasing Specification files.**
Material relating to purchasing specifications for fishery products of companies, states, and private organizations.
Disposition
Destroy when superseded, obsolete, or no longer needed.
- 1512-13 **International Inspection files.**
Documents pertaining to dealings with other nations on inspection matters, such as standards, the acceptability of inspected/noninspected items, the receipt of bad products, and similar items.
Disposition
Cut off closed files at end of calendar year, and transfer to FRC. Destroy when 20 years old.
- 1512-14 **Safety Research Review files.**
Reports, data, and correspondence concerning the research into safety problems with fishery products. This item does not apply to actual research case files (see 1203-01).
Disposition
Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.
- 1512-15 **Quality Research Review files.**
Reports, data, and correspondence concerning the research into seafood nutrition issues. This item does not apply to research case files (see 1203-01).
Disposition
Destroy after 3 years.
- 1512-16 **Nutrition Research Review files.**
Reports, data, and correspondence concerning research into seafood nutrition issues. This item does not apply to research case files (see 1203-01).
Disposition
Destroy after 3 years.

1512-17 **Reserved**

1512-18 **Species/Commodities files.**

Information on various species or commodities, relating to resource levels, quality and safety questions, technological and utilization matter, and similar subjects.

Disposition

Permanent. Transfer to FRC when no longer needed for reference or research purposes. Offer to NARA after 20 years.

1512-19 **Reserved**

1512-20 **Alert and Recall files.**

Copies of alerts and recalls issued by an industry or by other government agencies, and related correspondence and reports.

Disposition

1. Copies of alerts and recalls. Destroy when no longer needed for reference purposes.
2. Other documents: Destroy correspondence files after 2 years. Destroy reports when superseded by new report.

1513 FISHERY LAW ENFORCEMENT AND SURVEILLANCE FILES

These files relate to the enforcement of laws and regulations pertaining to fisheries, marine mammals, and endangered species, and related surveillance activities.

1513-01 **Violation Investigation Case files.**

Case files on investigations of laws and regulations, and outcome of investigations with action taken.

a. Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) establish a legal precedent; (2) attract national or international news media attention; or (3) result in changes in internal NMFS or NOAA policy or procedures.

Disposition

Permanent. Cut off when case is closed. Retire to Federal Records Center when five years old. Transfer to NARA when 20 years old.

b. All other cases.

Disposition

Cut off when case is closed. Destroy when five years old.

1513-02 **Surveillance Procedures files.**

Day-by-day guidance on surveillance procedures to be used, and related material.

Disposition

Cut off when superseded or obsolete. Destroy 3 years later.

- 1513-03 **Surveillance Reports and Statistics files.**
Reports and statistics developed or made as a result of surveillance activities subdivided by type of report or statistic.
Disposition
Cut off at end of calendar year when created. Destroy 5 years later.
- 1513-04 **Foreign Citation files.**
Documents relating to citations for violations by foreign fishing vessels.
a. Cases forwarded from the field to Headquarters which meet one or more of the following criteria: (1) cases involving issues of sovereignty where either diplomatic negotiations or treaties were related to the resolution of the case; (2) international cases of mutual interest to the United States or other countries, such as drift net fishing on the high seas; or (3) incident attracting international news media attention. Transfer to NARA when 20 years old.
Disposition
Permanent. Cut off when case is closed. Retire to Federal Records Center when 5 years old. Transfer to NARA when 20 years old.
- b.** All other cases.
Disposition
Cut off when case is closed. Destroy when five years old.
- 1513-05 **NAFD Report files.**
Reports to NAFD on catches of selected species.
Disposition
Cut off at end of calendar year when created. Destroy 5 years later.
- 1513-06 **International Commission files.**
See 609-09.
- 1513-07 **Interagency Liaison files.**
Coordination with other agencies (including the Marine Mammal Commission) affecting the enforcement program. Does not include any formal agreements with other agencies (see 1501-10).
Disposition
Cut off at end of calendar year when created. Destroy 2 years later.
- 1513-08 **Enforcement Regulations, Rules, and Quotas files.**
Developed by office responsible for program, and published in the Federal Register.
Disposition
Cut off when superseded or obsolete. Destroy 3 years later.
- 1513-09 **Firearm Control files.**
Documents relating to firearm distribution, including charge out records and receipts.
Disposition
Destroy 3 months after return of arms.
- 1513-10 **Observer Program files.**
Reports, correspondence, and other documents relating to the number of observers in

regions, the adequacy of coverage, and similar subjects pertaining to the maintenance and review of an observer network.

a. Domestic Observer Program Records

Disposition

Destroy when 6 years old.

b. Foreign Observer Program Records

Disposition

Destroy when 10 years old.

c. Observer Notebooks, Logs, and Reports

Disposition

Permanent. Cut off files annually and transfer to FRC when 3 years old. Transfer to the National Archives when 20 years old.

1513-11 Permit Clearance files.

Checks made on applicants for permits, registration, certification, etc., to determine if they have been convicted or charged with violations of marine mammal, endangered species, or fishery laws. Also inspections of facilities made as part of clearance process.

Disposition

Cut off at end of calendar year. Destroy after 5 years.*

1513-12 Import-Export Clearance files.

Documents relating to the importing or reporting of marine mammal or endangered species products, or of fishery products which must have been obtained by methods which reduce the risk to specific species. Includes certificates of exclusion, clearance forms, and relating correspondence.

Disposition

Cut off at end of calendar year. Destroy after 5 years.

1513-13 Test and Identification files.

Tests and research conducted to determine if substances or items belonged to a marine mammal, endangered species, or otherwise protected species; and if so, what species. If part of a violation investigation file with 1513-01 above.

Disposition

Cut off at end of calendar year. Destroy after 3 years.

1513-14 Agent Qualification files.

Documents relating to the maintenance of special qualifications for agents, such as with firearms. Includes standards, range tests, firearm training, and similar material.

Disposition

Retain until no longer needed for reference.

1513-15 Seized Property files.

Documents relating to the control and tracking of property that has been seized and held in custody as part of a law enforcement action. Includes final disposition of property involved.

Disposition

Retain until final disposition of property.

1513-16 Civil Penalties, Criminal Fines, Forfeited Property and Proceeds from the Sale of Forfeited Property (N1-370-11-1) **New item (4/8/11)**

Records relating to documentation associated with the collection of penalties, fines, the proceeds of forfeited property and forfeited property. The file includes all administrative issues relating to seizure of property, return of property under quick release procedures, placement of forfeited and abandoned property into official government use, the maintenance and security of property during the forfeiture proceedings, and the collection of civil penalties and criminal fines. Documentation such as copies of voluntary abandonment, notice of seizure and settlement forms, and voluntary abandonment deposits, seized funds deposit and transfer memos, and other miscellaneous documentation which supports the forfeiture. May also include additional administrative documents added to the files such as notice letters, publication verification forms, forfeiture declarations, equitable sharing forms, and requests for official government use of funds. May also include financial management forms documenting the use of such funds.

1. Administrative Forfeiture documentation.

Documents relating to collection, management, and disposition of funds received for fines/penalties, and proceeds of forfeited property. Records relating to a wide variety of acquisition documents including purchase card use documentation, purchase orders, delivery orders, requisitions, summary settlements and request for obligation-CMP Fund form.

Disposition

Cut off closed cases annually. Retire to FRC one year after cutoff. DESTROY seven years after annual period during which the case was closed.

2 Forfeited Property: Case files

Copies of records relating to interviews, police reports, lab reports, affidavits for search and seizure warrants, criminal histories, appraisal information and other miscellaneous documentation supporting the forfeiture. Includes notice letters, publication verification forms, address checks, incarceration checks, equitable sharing forms, request for official use of property.

Disposition

Cut off closed cases annually. Destroy when 7 years old.

3. Asset Forfeiture database.

1. Electronic spreadsheets/database generated to support administrative, seizure, custody, notification, claim, petition, forfeiture, disposal, official use, income and expenses, abandonment of property and seized for forfeiture, agreements, understandings and reports.

Disposition

Destroy 7 years after the year in which the funds were spent.

2. Records that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

Disposition

Destroy/delete after recordkeeping copy is generated and placed in a recordkeeping system.

1514 MARINE MAMMAL AND ENDANGERED SPECIES PROTECTION FILES

These files relate to programs to protect the marine mammals and endangered species placed under NOAA's responsibility.

1514-01 **Marine Mammal and Endangered Species Permit files.**

Permits, and applications for them, to permit the use of marine mammals or endangered species for display, scientific research, or other scientific purposes, or propagation. Contains information on applicants and activities to be conducted. A Privacy Act record.

Disposition

Cut off at end of permit. Destroy 5 years later.

1514-02 **Marine Mammal and Endangered Species Hardship Exemption files.**

Applications for exemptions on basis of undue economic hardship. Includes personal information on applicant and financial status. A Privacy Act record.

Disposition

Cut off at end of exemption. Destroy 5 years later.

1514-03 **Marine Mammal Inventory files.** Revised 10/31/91

Inventories of marine mammals being held on captivity. Includes any statistics on species held.

Disposition

Permanent. Transfer to FRC when 5 years old. Transfer to National Archives when 25 years old.

1514-04 **Marine Mammal Regulations files.**

Revised 10/31/91.

Disposition

Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-05 **Interagency Coordination files.**

Correspondence and related documents involving coordination with other agencies having responsibilities in this sub functions program areas, or agencies whose assistance is necessary. See 1501-10 for formal agreements.

Disposition

Cut off at end of calendar year. Destroy after 2 years.

1514-06 **Enforcement Guidance files.**
Guidance given to offices responsible for enforcement of related laws from office which is responsible for overall program.

Disposition

Destroy when no longer needed for reference purposes.

1514-07 **Species files.**
Reference file with information on species, and relevant statistics. Non-record material.

Disposition

Review annually and destroy all material which is obsolete or no longer needed.

1514-08 **Certification and Registration files.**
Applications (and related papers) for certification or registration of collectors, tanners, or similar operations dealing with marine mammals or endangered species; and resulting actions taken.

Disposition

Approved application and certifications: Destroy 5 years after application or certifications expires. Rejected applications and certifications: Destroy after 2 years.

1514-09 **Management Strategy files.**
Documents relating to the development of plans and strategies for the management and protection of specific species, and to the dissemination and coordination of such strategies. Plans for overall program activity should be filed under 1501-01.

Disposition

Destroy when no longer needed for reference purposes or after 2 years whichever is sooner.

1514-10 **Species Management files.**
Documents dealing with general or specific problems facing a species, or a member of it, such as beached or stranded animals, the harassment of animals, etc.

Disposition

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old.

1514-11 **Species Incident, Status, and Survey Databases** (Rev. 9/06 NI-370-06-2)

Databases containing species information for incidents, biological status, and surveys collected under NOAA's responsibilities for the Marine Mammal Protection Act and/or the Endangered Species Act. These databases are created and maintained by NOAA programs that track and evaluate species information to manage species and report upon them. The databases may contain data on strandings, incidents of disease and mortality, species spatial data, species abundance data, multispecies interaction information, species behavior, and other types of data used to track, analyze, or model species characteristics.

(a.) Databases.

(1) Project Databases.

Species incident, status, and survey (data files) used to support and track research, survey, and monitoring activities that are limited in scope, size, or relevance to the specific purpose or program they support and have little long-term utility for supporting new or different research.

Disposition: Destroy when no longer needed to support or validate the reports, studies, and other significant records created by the study or program element that the database supports.

(2) Historically Significant Databases

Species incident, status, and survey (data files) selected by a national project director as permanent because they are large-scale, national or multi-regional in scope, and have sufficient informational content on such topics as species distribution and sightings, species health, and species behavior to support new research and document long-term species research information not necessarily recorded elsewhere. These databases include collections such as the Marine Mammal National Database maintained by the Office of Protected Resources' Marine Mammal Health and Stranding Response Program, and the Platforms of Opportunity Program Database maintained by National Marine Mammal Laboratory's Cetacean Assessment and Ecology Program.

Disposition: PERMANENT. Transfer a copy of the master file to NARA every five years. The first transfer will include all previous data sets and take place upon approval of this schedule and validation and verification of the database. Consult with NARA to determine the applicable format standards at the time of transfer.

(b.) Input documents.

Draft working copies, raw data, input forms, and other materials used solely as source data for database entries.

Disposition: TEMPORARY. Destroy after data has been input and documents are no longer needed for verification or validation of database entries.

(c.) Reports.

(1) Convenience and Reference Reports.

Periodic and on demand reports printed to paper or digital media containing portions, summaries, and analyses of the data and used for convenience, reference, or distribution.

Disposition: TEMPORARY. Destroy when no longer needed.

(2) Record and Case File Reports.

Periodic and on demand reports printed to paper or digital media containing portions, summaries, and analyses of the data and filed in a case file or as a record copy and used to document a program, activity, or decision.

Disposition: Retain for the specified retention period of case file or records where reports are filed.

(d.) Historically Significant Databases Documentation

Current system documentation for historically significant databases (item a(2)), such as data dictionaries, table structures, manuals, description of coded information and other system documentation.

Disposition: PERMANENT. Transfer current copy of system documentation to NARA when transferring historically significant databases.

1514-12 **Species Status files.**

Documents relating to determinations of the status of specific species, whether they should/should not be listed as endangered, and the need to change classifications due to petitions or new evidence.

Disposition

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 25 years old.

1514-13 **Critical Habitat Designation files.**

Documents relating to proposals for the protection of critical habitat areas, and the resulting designations of restricted fishing or other protected areas.

Disposition

Revision 10/31/91. Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-14 **Grant Application files.**

Material submitted by states or organizations applying for grants described in 1514-15 below.

Disposition

1. Accepted applications: Transfer file to 1514-15 below.
2. Rejected applications: Destroy 2 years after grant awarded.

1514-15 **Grant Case files.**

Case files on grants made to states or organizations to enable them to manage marine mammals or endangered species, to conduct related research, or similar activities.

Disposition

Destroy 6 years and 3 months after grant file is closed.

1514-16 **State and Organization Coordination files.**

Documents relating to cooperative programs, with states and organizations for the protection, conservation, and management of marine mammals or endangered species.

Disposition

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

1514-17 **Fishing Permit files.**

Applications, permits, and certificates of inclusion for fishing vessels, domestic or foreign, to take marine mammals incidental to commercial fishing activities.

Disposition

Cut off when permit expires or application is rejected. Destroy 3 years after expiration of permit.

1514-18 **Fish Importation files.**

Correspondence, reports and other documents relating to the importation of fish from countries conducting fishing operations which could result in the incidental take of

marine mammals. Includes the Assistant Administrators finding on issues or cases.

Disposition

Cut off at end of calendar year. Transfer to FRC after 5 years. Destroy after 10 years.

1514-19 **Vessel Transfer files.**

Applications and related documents pertaining to requests to transfer vessels to foreign registry.

Disposition

Permanent. Transfer to FRC when 5 years old. Offer to NARA after 20 years.

1514-20 **Hearing files.** Revised 10/31/91.

Documents relating to the conduct of public hearings on marine mammals or endangered species activities. Hearings which are part of the regulation development process should be filed with that material in 1501-06.

Disposition

Permanent. Transfer to FRC when 5 years old. Transfer to the National Archives when 25 years old.

1514-21 **Research Review files.**

Reviews of research being conducted on marine mammals, endangered species, or related subject area. Includes recommendations for tasks, identification of actions in variance with plans, and similar actions.

Disposition

Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.

1514-22 **ESA Consultation files.**

Documents relating to consultations required by Section 7 of the Endangered Species Act, or similar laws or regulations, to ensure that any action authorized, funded, or carried out by any Federal agency is not likely to jeopardize the continued existence of any endangered species, or result in the destruction or adverse modification of critical habitat of such species.

Disposition

Permanent. Transfer to FRC when 5 years old. Offer to NARA after 25 years.

1514-23 **Marine Mammal Exemption Program.**

Documents relating to the exemption program for commercial fishing. Includes registration data marine mammal interaction data, vessel owner data, and observer data.

Disposition

Cut off at the end of exemption program transfer to FRC 5 years later. Destroy when 20 years old.

1515 MARINE RECREATION FISHERIES PROGRAM FILES

These files relate to the development, review, and coordination of programs dealing with marine recreations fisheries. Files dealing with negotiations and agreements with other countries should be filed under 602.

- 1515-01 **Program Liaison files.**
Documents relating to coordination with other agencies, states, and private organizations on recreational fisheries matters.
Disposition
Cut off at end of calendar year. Review annually. Destroy when superseded or obsolete.
- 1515-02 **Statistics and Assessments files.**
Documents relating to the resource levels of sport fisheries species, the number being caught, and similar data or assessments.
Disposition
Cut off at end of calendar year. Review annually. Destroy when obsolete or no longer needed for reference purposes.
- 1515-03 **Survey and Study files.**
Surveys, studies, and related records pertaining to recreational fisheries. Includes survey of catch efforts by fishermen, the studies of the socio-economic impact of the fisheries and any changes, etc. Note: this series may contain records protected under the Privacy Act.
Disposition
Cut off at end of study. Destroy 6 years after completion of study.
- 1515-04 **Management Plan files.**
Documents pertaining to the development and review of plans to manage the recreational fishery resources, except for plans that are a part of official Fishery Management Plans (which are filed under 1504-13). Includes reviews of possible additions to plans, alternatives, and similar material.
Disposition
Cut off at end of calendar year. Review annually. Retain for 5 years after plan is superseded.
- 1515-05 **Program Review files.**
Documents relating to reviews of state or regional programs dealing with, or related to, recreational fisheries.
Disposition
Originating office: Transfer to FRC 5 years after supersession. Offer to NARA when 20 years old. Participating office: Destroy when superseded or obsolete.
- 1515-06 **Resource Development files.**
Documents relating to efforts to improve recreational fishery resources - aquaculture, artificial reef development, and similar programs. Does not include Columbia River program files.
Disposition
Disposition not authorized.
- 1516-01 **NRDA Post-Settlement Case Files**
Records of action performed to support or document Natural Resource Damage Assessment (NRDA)

restoration activities. These activities include the design, implementation and monitoring of restoration projects. Records may include, but are not limited to, Restoration Plans, Feasibility Reports, permits clearances (NEPA, Eos, etc.), Federal Register notices, trustee council resolutions, consent decrees, MOU/MOAs, real estate documents, contracts, grants, monitoring plans, monitoring reports, technical review of monitoring reports, adaptive management decisions. Record formats may include paper, microfilm, photographs, and magnetic media such as videotapes.

Authorized Disposition:

- a. Recordkeeping Set: Temporary. Cut off at each phase of restoration or at milestone. Keep file in office until restoration is completed. Cut off file at each phase or milestone, keep in office one year, transfer to Federal Records Center as needed, if volume necessitates. Destroy 30 years after restoration is completed.
- b. Electronic copies created on e-mail and word processing applications: Temporary. Delete when recordkeeping copy has been produced.
- c. Microfilm: *Silver halide*: Temporary. Transfer to the Federal Records Center 2 years after restoration is completed as part of the restoration project file. Destroy 30 years after restoration is completed.
- d. *Diazo copy*: Temporary. Destroy 90 calendar days after silver halide copy has been transferred to Federal Records Center.

1516-02 NRDA Administrative Record Files – Post-Settlement

Records selected by the National Resource Damage Assessment trustees that are entered in an Administrative Record. The Administrative Record documents the information that the trustees relied upon to make determinations regarding the planning, implementation and monitoring of a restoration project. These records include, but are not limited to, Restoration Plans, Federal Register notices, consent decrees, MOU/MOAs, monitoring plans, monitoring reports, technical reviews of monitoring reports, adaptive management decisions.

Authorized Disposition:

- a. Official Record Set: Permanent. Cut off when restoration project is completed. Transfer to Federal Records Center 2 years after cut off, or sooner if volume necessitates. Transfer to National Archives 30 years after cut off.
- b. All other copies: Duplicate copies and electronic copies used solely for convenience or stored at local Administrative Record repositories. Destroy when no longer needed for DARP business.

