

(Revised on 02/2018)

NOAA Records Schedules

Chapter 1500 – Fishery and Living Marine Resource Functional Files

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 located on the main table of contents to NOAA Records Schedules.

Table of Contents

1502	Resource Assessment, Distribution, and Classification Files
1503	Environmental Impact Analysis Files
1504	Fisheries Management and Coordination Files
1505	Regional Fisheries Development Files

- 1506 Pribilof Islands Program Files
- 1507 Fisheries Statistics and Marketing News Reporting Files
- 1508 Fishery Marketing and Consumer Aid Files
- 1509 Economic Analysis Files
- 1510 Vessel Financial Services Files
- 1511 Fishery Protection and Claims Files
- 1512 Fishery Product Quality and Safety Inspection Files
- 1513 Fishery Law Enforcement and Surveillance Files
- 1514 Marine Mammal and Endangered Species Protection Files
- 1515 Marine Recreational Fisheries Program Files
- 1516 Natural Resource Damage Assessment (NRDA) Post-Settlement and Administrative Record Files
- 1517 Fisheries Marine National Monument Management Plan Records

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	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	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after completion of review.
1502-08	Information Request Files.	Correspondence and related material prepared to respond to requests for information.		
		1. Routine requests requiring no special research or policy decisions.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 3 months old or when no longer needed, whichever is sooner.

		2. Other requests:	N1-370-90-003 (12/9/92)	TEMPORARY. 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.)	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after 3 years or when no longer needed for reference purposes.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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	FERC License Review Files.	Reviews of requests for FERC permits for hydroelectric of fossil fuel power plants, and resulting assessments, advice, and recommendations given.	N1-370-90-003 (12/9/92)	TEMPORARY. 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	Reviews of requests for licenses for nuclear power plants, and resulting assessments and	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when review is

	Review Files.	recommendation.		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 assess effects on living marine resources and their habitats; and any comments or recommendations.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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 Files.	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	N1-370-90-003 (12/9/92)	TEMPORARY. 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	Coast Guard Permit Files.	Reviews of request for Coast Guard permits, including assessments and recommendations.	Deleted 10/31/91	
1503-10	Aquaculture Review Files.	Reviews of aquaculture plans and operations, and related assessments and recommendations.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when review is

		Subdivide by permit type if necessary.		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.	DAA-GRS- 2013-0008- 003 (GRS 1.2, item 030)	TEMPORARY. Destroy when business use ceases.
1503-13	National Wetland Inventory Review Files.	Reviews of Fish and Wildlife inventories of national wetlands, and resulting assessments and recommendations.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-002, Item 100-01 (6/9/95)	Apply Disposition for 100-01, Publication, Studies and

				Reports.
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 100-19 for interagency agreements.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	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.		
		a. Recordkeeping paper copy:	N1-370-01-004 (Rev. 10/4/02)	PERMANENT. Cutoff annually. Retire 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:	N1-370-01-004 (Rev. 10/4/02)	TEMPORARY. Delete after the recordkeeping copy is produced.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1504	Fishery 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cutoff 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Review annually. Cutoff at end of calendar year. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Review annually. Cutoff at end of calendar year. Destroy when superseded or obsolete.
1504-05	Grant Application Files.	Material submitted by states applying for grants described in 1504-06 below.		
		1. Accepted applications.	N1-370-90-003 (12/9/92)	TEMPORARY. Transfer file to 1504-06 below.
		2. Rejected applications.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Break files annually and transfer to FRC. Destroy when 6 years and 3 months old.
1504-08	Program Audits Files.	Reports on audits made on state programs or disbursement of funds.	N1-370-90-003 (12/9/92)	TEMPORARY. Cutoff at end of year when

				received. Destroy 5 years later.
1504-09	Fisheries Management Studies Files.	<i>(Supersedes 1504-09, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> Special studies conducted on the management and conservation of fish species.	N1-370-97-003 (9/14/98)	PERMANENT. Offer to NARA after 25 years.
1504-10	Institutional Coordination Files.	<i>(Supersedes 1504-10, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> Correspondence, reports and other documents relating to programs to institutionalize arrangements for federal-state cooperation in fisheries management.		
		1. Originating Office:	N1-370-97-003 (9/14/98)	PERMANENT. Transfer to FRC when 5 years old. Offer to NARA after 25 years old.
		2. Other offices:	N1-370-97-003 (9/14/98)	TEMPORARY. Destroy when superseded or obsolete.
1504-11	Fishing Vessel Permit Files.	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 to 75 year retention band.		
		<i>(Supersedes 1504-11a, NOAA Disposition Authority N1-370-82-2).</i> 1. Permits for foreign vessels to fish in the U.S. zone.	N1-370 08-002 (9/26/08)	TEMPORARY. Cut off when permit expires or application is rejected. Destroy/delete when between 15 and 75 years old.
		<i>(Supersedes 1504-11b, NOAA Disposition Authority N1-370-90-3).</i> 2. Permits for U.S. ships to fish in foreign zones.	N1-370 08-002 (9/26/08)	TEMPORARY. Cut off at end of calendar year. Destroy/delete after expiration of permit when between 6 and 75 years old.
		3. Permits for U.S. ships to fish in the U.S. zone.	N1-370 08-002 (9/26/08)	TEMPORARY. 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.	<i>(Supersedes 1504-12, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> Reviews of proposed legislation, incorporating views of states and industry. This file pertains to coordination of reviews for fishery management	N1-370-97-003 (9/14/98)	PERMANENT. Transfer to the FRC when no longer needed for reference, or when superseded. Transfer

		legislation.		to the National Archives when 20 years old.
1504-13	Fishery Management Plan Files.	<p><i>(Supersedes 1504-13, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i></p> <p>Plans and implementing regulations for the management of fisheries within a region, supporting documents, proposed and final rules, in season management adjustments, and notices of hearings.</p>		
		1. Headquarters:	N1-370-97-003 (9/14/98)	PERMANENT. Close the files after 3 years and transfer to the FRC. Transfer to the National Archives when 20 years old.
		2. Regional FMC Files:	N1-370-97-003 (9/14/98)	PERMANENT. Close the files after 3 years and transfer to the FRC. Transfer to the National Archives when 20 years old.
1504-14	Fishery Management Council (FMC) Organization Files.	<p>Documents relating to guidance on preparation and publication of regulations in the Federal Register, and formation, membership, responsibilities, etc., of FMC's.</p> <p><i>(Supersedes 1504-14, NOAA Disposition Authority N1-</i></p>		

		370-90-3, 12/9/92).		
		a. Legislation:		
		Headquarters Files:	N1-370-97-003 (9/14/98)	PERMANENT. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.
		Regional Offices:	N1-370-97-003 (9/14/98)	PERMANENT. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.
		b. Regulations. Regulations was superseded by 100-20, please see N1-370-03-9, 10/6/03 changed to temporary.		
		Headquarters Files:	N1-370-03-009 (10/6/03)	TEMPORARY. Follow disposition instructions listed for 100-20 a, b, c, and d.
		Regional Offices:	N1-370-03-009 (10/6/03)	TEMPORARY. Follow disposition instructions listed for 100-20 a, b, c, and d.

		c. Charters:		
		Headquarters Files:	N1-370-03-009 (10/6/03)	PERMANENT. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.
		Regional Offices:	N1-370-03-009 (10/6/03)	PERMANENT. Transfer to FRC when no longer needed for reference, or when superseded. Transfer to the National Archives when 20 years old.
		d. Council Membership:	N1-370-03-009 (10/6/03)	TEMPORARY. Break files every 5 years, or each council term of office, and transfer to FRC. Destroy when 30 years old.
		e. Responsibilities:	N1-370-03-009 (10/6/03)	
		Headquarters Files:	N1-370-03-009 (10/6/03)	PERMANENT. Transfer to FRC when no longer needed for reference, or when superseded. Transfer

				to the National Archives when 20 years old.
		Regional Offices:	N1-370-03-009 (10/6/03)	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:	N1-370-03-009 (10/6/03)	TEMPORARY. Break files every 3 years or at termination of panel or committee and transfer to FRC. Destroy when 20 years old.
		g. Advisory panels:	N1-370-03-009 (10/6/03)	TEMPORARY. Break files every 3 years or at termination of panel or committee and transfer to FRC. Destroy when 20 years old.
		h. Scientific and statistical committees:	N1-370-03-009 (10/6/03)	TEMPORARY. 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 Guidance Files.	<p><i>(Supersedes 1504-15, NOAA Disposition Authority N1-370-90-3, 12/92).</i></p> <p>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).</p>	N1-370-97-003 (9/14/98)	TEMPORARY. Destroy when no longer needed for reference or when superseded, whichever is later.
1504-16	Fishery Management Council (FMC) Operations Files.	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:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 2 years old.
		1. Federal Register notices of meetings and related materials.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 1 year after

				publication.
		2. Files documenting the clearance and processing of proposed and final rules, along with the proposed and final rules.	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC 5 years after publication in the Federal Register. Transfer to NARA when 20 years old.
		b. Minutes and reports of meetings:		
		1. Audiotapes of meetings		
		(a.) If tape is only record of meeting.	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when transcript, minutes, or other summary is verified and approved.
		2. Textual records of meetings.	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to the FRC in five year blocks when ten years old. Transfer to the National Archives when 20 years old.

		c. Council Resolutions.	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC when file becomes inactive. Offer to NARA after 20 years.
		d. Program reports (other than admin. reports in 1504-17)	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 2 years after report is discontinued.
		e. Workshop and special issue development.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after 2 years or when no longer needed for reference purposes.
		f. Liaison activities with other organizations.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after 2 years.
		g. Publications. Record set of official publications issued by Fishery Management Councils.	N1-370-90-003 (12/9/92)	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	N1-370-90-003	TEMPORARY Cut off

			(12/9/92)	at end of fiscal year. Destroy 8 years after audit is closed.
		b. Budget Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after close of fiscal year covered by the budget.
		c. Finance Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 3 years old.
		d. Grant Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 6 years and 3 months after grant is closed.
		e. Legal Files (including liability questions, subpoenas, etc.).	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 7 years after case is closed.
		f. Mailing Lists	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.
		g. Meetings (other than formal council meetings).	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 3 years old or when no longer needed for reference purposes.

		h. Milestones for Councils.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years old or when no longer needed for reference purposes.
		i. Personnel Files.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	
		(1) Procurement or purchase organization copy, and related papers.		
		a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 6 years and 3 months after final payment.
		b. Transaction of \$25,000 or less and construction contracts under \$2,000.		TEMPORARY. Destroy 3 years after final payment.

		(2) Obligation copy	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when funds are obligated.
		(3) Other copies of records described above used by component elements of a procurement office for administrative purposes.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 5 years old.
		k. Property Management Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 2 years old.
		l. Public Affairs Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 2 years old.
		m. Travel Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 3 years old.
		n. Administrative Report Files.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 2 years old or when report is canceled, whichever is sooner.
1504-18	Permit Fee Files.	<i>(Supersedes 1504-20, NOAA Disposition Authority N1-370-82-2, 3/3/83).</i>		

		Documents pertaining to the establishment and collection of fees associated with fishery permits.		
		a. Files pertaining to the establishment of fees and fee systems.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Destroy after 2 years.
1504-20	Limited Access Privilege (LAP).	<i>(Supersedes 1504-20, NOAA Disposition Authority N1-370-06-3, 9/26/06, Dedicated Access Permits).</i> 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.	N1-370-08-003 (Rev. 8/27/08)	TEMPORARY. 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.

		<p>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.</p> <p>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 LAPs issued are unique to each region. Each regional office or fisheries science center responsible for permitting under a LAS has different file retention needs.</p>		
1504-21	Dealer, Buyer, Processor or Receiver Permits.	<p><i>(Supersedes 1504-21, NOAA Disposition Authority N1-370-06-3, 9/26/06, Registered Buyer Certificate File).</i></p> <p>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.</p>	N1-370-08-003 (Rev. 8/27/08)	TEMPORARY. Cut off when permit certificate expires. Retire to FRC one year after cut off. Destroy/delete when between 6 and 75 years old.

		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.		
1504-22	National Appeals Office Files (NAO).	<p>Adjudicates appeals of persons affected by initial administrative determinations limited access privilege programs. Most 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.</p> <p>NOTE: Unless otherwise noted, all disposition instructions below are media neutral, they apply regardless of the format of the record.</p>		
		1. Appeal Case Files.		
		Documents the appeal of a decision rendered by an office of NMFS, as well as other offices in the Department of Commerce. 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.	N1-370-12-002 (10/16/12)	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.	N1-370-12-002 (10/16/12)	
		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.		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 . Retention may be extended for data that has ongoing statistical value and other business purposes.
1504-23	Alaska Groundfish Catch & Effort Data System.	This system provides information used to monitor the progress of fisheries, support regulatory development, and provide information on species		

		catch over time. The system maintains data on fish catch by date, species, gear, area, product form and weight, crew size and discard information. It also tracks processor vessels locations.		
		1. Input/Source Records: Weekly production reports and check-In/check-out reports. Reports submitted by fishing industry documenting fish catch, type of gear, species, area, discard information, processor ID and other information.	N1-370-95-002 (9/4/97)	TEMPORARY. Cutoff at the end of the year. Transfer to the FRC when 5 years old. Destroy when 10 years old.
		2. Electronic data files:	N1-370-95-002 (9/4/97)	TEMPORARY. Update or delete as needed for current agency business.
		3. Output: Reports in printed format or posted on computer bulletin board.		
		a. Weekly reports:	N1-370-95-002 (9/4/97)	TEMPORARY. Destroy or delete when no longer needed or superseded.
		b. Year-end report:	N1-370-95-002 (9/4/97)	TEMPORARY. Destroy when 10 years old or no longer needed, whichever is sooner.
		4. General correspondence relating to the program:		Apply disposition instructions for 100-11 or 100-12 as appropriate.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.
1505-02	Program Correspondence Files.	Correspondence on program operations, including designations of formal contacts in the states.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Destroy after 2 years.
1505-03	Program Coordination Files.	Correspondence with NOAA to coordinate the efforts affecting the development of fisheries.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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).	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Destroy 7 years later.
1505-09	Obstruction and Assistance Files.	Documents dealing with obstructions to fish in waterways, such as dams, and assistance (such as ladders or screens) provided to by-pass such obstructions.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Destroy after 3 years.
1505-11	Catch Statistics Files.	Statistics on the numbers of fish caught, either by species or area.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Destroy after 3 years.
1505-12	Operation Improvement Files.	Investigations and recommendations concerning improvements in operations of segments of a regional program.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	PERMANENT. Break files every 5 calendar years and transfer to FRC. Transfer to NARA when 20 years old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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	Official Log Books.	<i>(Supersedes 1506-11 of NOAA Disposition Authority N1-370-90-3, 12/92).</i> Daily logs of island activities and operations kept by government agents for both St. Paul and St. George. St. Paul 1872-1961. St. George 1870-1961.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-02	Census Files.	<i>(Supersedes Item #2 of NOAA Disposition Authority N1-370-90-3, 12/92).</i> A tally of island residents taken on a periodic basis. 1906-1966.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-03	Photographs and Maps.	<i>(Supersedes 1506-03 of NOAA Disposition Authority N1-370-90-3, 12/92).</i> Documents relating to the fur seal harvest, residents, and geography of the islands. 1885-1906.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-04	Inventories.	<i>(Supersedes 1506-04 of NOAA Disposition Authority N1-370-90-3, 12/92).</i> Documents relating to the purchase and use of government property and supplies in the islands.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.

		1943-1985.		
1506-05	Administrative Correspondence.	<i>(Supersedes NOAA Disposition Authority N1-370-90-3, 12/92).</i> General correspondence on island activities and operations. Subjects include administrative, legal, environmental, economic and social issues. 1888-1984.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-06	Annual Reports.	<i>(Supersedes NOAA Disposition Authority N1-370-90-3, 12/92).</i> Yearly report to headquarters of activities which take place on the islands. 1930-1963.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-07	Time Books/Personnel Records.	<i>(Supersedes NOAA Disposition Authority N1-370-90-3, 12/92).</i> Daily work assignments for native residents and their time and attendance records.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.
1506-08	Fur Seal and Fox Harvesting Records.	<i>(Supersedes NOAA Disposition Authority N1-370-90-3, 12/92).</i> Bound volumes of data on fur seal and fox hunts. Includes kill records, reports, and annual statistical summaries. 1870-1962.	N1-370-95-001 (7/21/95)	PERMANENT. Transfer immediately to the National Archives, Alaska Region.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1507	Fisheries 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	Statistics Agreement Files.	Agreements with companies to obtain statistics.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when superseded or obsolete.
1507-02	Statistic Reporting Procedures Files.	Procedures for the reporting of statistics in the most usable form.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when reporting system is superseded or 3 years after report is cancelled.
1507-03	Market News Report Files.	Record set of the Market News Reports and the Annual Market News Summaries.	N1-370-90-003 (12/9/92)	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.		
		a. Correspondence:	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at the end of the calendar year when

				created. Destroy 2 years later.
		b. Source material:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after publication of related report or summary.
1507-05	Market News Issuances Files.			
		a. Record set of issuances:	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC after 5 years. Offer to NARA 20 years later.
		b. Copies of issuance kept by offices for reference purposes and to answer questions from the public.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after 2 years.
1507-08	Special Reports Files.	Special reports on statistical or marketing information or problems.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy superseded by new statistical information or when no longer needed for reference purposes.
1507-11	Statistical Data Files.	<i>(Supersedes 1507-11, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> Paper reports, schedules, and printouts of statistics relating to fish and fishery industry	N1-370-02-001 (Rev. 7/12/02)	TEMPORARY. Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.
		(1) Electronic Copies of records created using electronic mail or word processing for 1507-13b	N1-370-02-001 (Rev. 7/12/02)	TEMPORARY. Delete when the recordkeeping copy is produced.
1507-12	Public Information Files.	Reference material gathered to aid responses to common information requests from the public. Also	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when no

		any minor research done for such requests.		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		
		<i>(Supersedes 1507-13a, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after survey data is released.
		<i>(Supersedes 1507-13b, NOAA Disposition Authority N1-370-90-3, 12/9/92).</i> b. Continuing Survey Operations Files. Documents relating to the day-to-day operations of an ongoing project. Includes work done by contractors and grantees.	N1-370-02-001 (Rev. 7/12/02)	TEMPORARY. Cutoff annually. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.
		(1) Electronic Copies of records created using electronic mail or word processing for 1507-13b	N1-370-02-001 (Rev. 7/12/02)	TEMPORARY. 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	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 2 years later.

		data-gathering project.		
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 2 years after authorization expires.
		c. Documents relating to release or protection agreements not covered in 1507- 01 or 1507-13 above.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 2 years after protection agreement expires.
		d. General confidentiality correspondence.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 2 years old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1- 370-75-5, item 1 of National Marine Fisheries Records. (6/24/75)	PERMANENT. Offer to the National Archives when 15 years old.
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.	N1-370-75-005 (6/24/75)	TEMPORARY. Destroy when 2 years old.
1508-03	State Marketing Program Files.	Correspondence and related material giving assistance to states in marketing programs. See 1505 for major regional development programs.	N1-370-90-002 (6/9/95)	Apply disposition instructions for 100-11 or 100-12 as appropriate.
1508-04	Cooperative Marketing Agreement Files.	<i>(Supersedes 1508-04, NOAA Disposition Authority N1-370-75-5, 6/24/75, Cooperative Marketing Agreement Files).</i> Agreements made in accordance with the Fishery Cooperative Marketing Act.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after agreements are superseded.
1508-05	Promotional Files.	Recipes, photos, and other promotional material to aid in marketing seafood products. Includes	N1-370-90-003 (12/9/92)	PERMANENT. Retire one original of each to

		demonstration material.		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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at issuance of final report. Destroy 3 years later.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1509	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.		
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.	NC-370-75-005, items #24a and #24b. (6/24/1975)	
		a. Records set of final reports.		PERMANENT. Offer to the National Archives when 15 years old.
		b. Schedules and other papers uses as source material for study and related correspondence.		TEMPORARY. Destroy when 1 year old.
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.		
		a. Record set of issuances:	NC-370-75-005, item #27a	PERMANENT. Offer to the National Archives when 15 years old.
1509-03	Cost-Benefit Study Files.	Studies determining the cost-benefit ratio of current or purposed NOAA programs affecting the fishery industry.	DAA-GRS-2013-0050007 (GRS 3.2, item	TEMPORARY. Destroy 5 years after system is superseded

			011)	by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use
1509-04	Economic Coordination Files.	Correspondence and reports giving advice on means of coordinating NOAA activities relating to fishery economics.	NC-370-75-005, item #24b (6/24/1975)	TEMPORARY. Destroy when 1 year old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.		
		1. Approved applications:	N1-370-90-003 (12/9/92)	TEMPORARY. Transfer to appropriate code for case file.
		2. Rejected applications:	N1-370-90-003 (12/9/92)	TEMPORARY. 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		
		1. Collateral documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Return to borrower when loan is repaid.
		2. Other documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when loan is repaid. Destroy 3 years later.
1510-03	Vessel Mortgage Insurance Files.	<i>(Supersedes NOAA Disposition Authority NC-370-75-5, 2/3/76, item #8).</i>		

		Applications, case histories, commitments, contracts, guarantee agreements, notes insurance policies, and related papers concerning the insuring of mortgages on fishing vessels.		
		1. Collateral documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Return to borrower after payments completed.
		2. Other documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when payments completed. Destroy 3 years later.
1510-04	Obligation Guarantee Files.	<i>(Supersedes NOAA Disposition Authority NC-370-75-5, 2/3/76, item #8).</i> Guarantees for obligations incurred under 1510-03 above. May be filed with case file under that code.		
		1. Collateral documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Return to borrower after payments completed.
		2. Other documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when payments completed. Destroy 3 years later.
1510-05	Capital Construction Files.	<i>(Supersedes 1510-05 of NOAA Disposition Authority N1-370-84-04, 7/27/84).</i> Includes applications, reports, and related documents on aid given to vessel owners under the capital construction program.		

		1. Paper records which have been microfilmed (and the film verified):	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at termination of aid. Destroy 1 year later.
		2. Microfilm copies, or paper records which have not been microfilmed:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 1 year later 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	<i>(Supersedes 1510-12 of NOAA Disposition Authority N1-370-84-04, 7/27/84).</i> Applications, agreements, and related documents pertaining to subsidies given to promote the U.S. construction of fishing vessels under this program.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when case is closed. Destroy 15 years later.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (GRS 6, item 10)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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	N1-370-90-003 (12/9/92)	TEMPORARY. 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	N1-370-90-003 (GRS 6, item 5b)	TEMPORARY. Destroy when 3 years old.

		operation or claims programs.		
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1512	Fishery Product Quality and Safety Inspection Files.	These files relate to programs providing 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.		
		1. Record Set:	N1-370-90-003 (12/9/92)	PERMANENT. 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:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when superseded.
1512-02	Regulations For Processed Products Files.	Regulations affecting processed fishery products.		
		1. Record Set:	N1-370-90-003 (12/9/92)	PERMANENT. Cut off when superseded. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA 20 years later.

		2. Drafts, correspondence, and copies:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after approval of specification.
1512-03	Specifications For Products Files.	Specifications for fishery products, including related drafts and correspondence. Destroy 3 years after approval of specification.		
		1. Record Set:	N1-370-90-003 (12/9/92)	PERMANENT. Cut off when superseded. Permanent. Transfer to FRC when no longer needed for reference purposes. Offer to NARA 20 years later.
		2. Drafts, correspondence, and copies:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 years after approval of specification.
1512-04	Inspection Guideline Files.	Guidelines established for inspectors, and related instructions to them. Includes manuals.		
		1. Record Set:	N1-370-90-003 (12/9/92)	PERMANENT. 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:	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.		
		a. Master set:	N1-370-75-005 (6/24/75)	PERMANENT. Offer to National Archives when 15 years old.
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	N1-370-90-003 (12/9/92)	TEMPORARY. 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.			
		a. Formal 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.	N1-370-97-001 (Rev. 11/19/97)	TEMPORARY. Close files at the end of each calendar year. Destroy 5 years after closure.
		b. Preliminary sanitation information as described in NOAA Handbook 25, Fishery Products Inspection Manual, including reporting forms such as NOAA Forms 89-813, 89-825, 89-825A, 89-809 or their equivalents.	N1-370-97-001 (Rev. 11/19/97)	TEMPORARY. Destroy when superseded or obsolete.

1512-09	Listing Files.	Requests for label approval, lists of approved labels, and related correspondence.	N1-370-90-003 (12/9/92)	TEMPORARY. 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).	N1-370-90-3 (12/9/92)	TEMPORARY. Cut off at end of calendar 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).	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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 (se 1203-01).	N1-370-90-003 (12/9/92)	TEMPORARY. 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	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy after 3 years.

		not apply to research case files (see 1203-01).		
1512-16	Quality Research Review Files.	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).	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	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.	Alert and Recall files. Copies of alerts and recalls issued by an industry or by other government agencies, and related correspondence and reports	N1-370-90-003 (12/9/92)	

		1. Copies of alerts and recalls:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when no longer needed for reference purposes.
		2. Other documents:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy correspondence files after 2 years. Destroy reports when superseded by new report.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1513		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 possible violations 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:	N1-370-90-003 (12/9/92)	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:	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when superseded or obsolete. Destroy when 3 years old.

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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	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:	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off when case is closed. Destroy when five years old.
1513-05	NAFD Report Files.	Reports to NAFD on catches of selected species.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 5 years later.
1513-06	International Commission Files.	See Chapter 600-02, International Group or Organization Files of this handbook.	N1-370-90-002 (6/9/95)	PERMANENT. Break inactive or closed files every 5 years and transfer to the Federal Records Center. Transfer to

				the National Archives when 30 years old.
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).	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 3 months after return of arms.
1513-10	Observer Program Files.	Reports, correspondence, and other documents relating to the number of observers in 31 regions, the adequacy of coverage, and similar subjects pertaining to the maintenance and review of an observer network.		
		a. Domestic Observer Program.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 6 years old.
		b. Foreign Observer Program Records.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when 10 years old.
		c. Observer Notebooks, Logs, and Reports.	N1-370-90-003 (12/9/92)	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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 5 years later.
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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 5 years later.
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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 3 years later.
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-11-001 (Rev.4/8/11)	TEMPORARY. Retain until final disposition of property.
1513-16	Civil Penalties, Criminal Fines,	Records relating to documentation associated with the collection of penalties, fines, the proceeds of	N1-370-11-001 (Rev. 4/8/11)	

	<p>Forfeited Property and Proceeds from the Sale of Forfeited Property.</p>	<p>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.</p>		
		<p><u>1. Administrative Forfeiture documentation.</u></p> <p>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.</p>	<p>N1-370-11-001 (Rev.4/8/11)</p>	<p>TEMPORARY. Cut off closed cases annually. Retire to FRC one year after cutoff. Destroy seven years after annual period during which the case was close.</p>
		<p><u>2. Forfeited Property: Case Files.</u></p> <p>Copies of records relating to interviews, police</p>	<p>N1-370-11-001 (Rev. 4/8/11)</p>	<p>TEMPORARY. Cut off closed cases annually. Destroy</p>

		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		when seven years old.
		<p>3. <u>Asset Forfeiture Database.</u></p> <p>(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.</p>	N1-370-11-001 (Rev. 4/8/11)	TEMPORARY. Destroy seven 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	N1-370-11-001 (Rev. 4/8/11)	TEMPORARY. Destroy/delete after recordkeeping copy is generated and placed in a recordkeeping system.
1513-17	Office of Law Enforcement, Electronic Investigative Case Management System (CMS) Files.	NOAA Fisheries Office of Law Enforcement's (OLE) case management system (CMS) is a web based records management system designed to facilitate the entry, management, and reporting of law enforcement collected data. The system enables National Oceanic and Atmospheric Administration's (NOAA) OLE personnel to capture, inquire, and display information regarding law enforcement activities such as: compliance assistance, education	DAA-0370-2017-0002 (10/25/17)	

		<p>and outreach, patrols, investigations, individuals, businesses, conveyances, seized property and evidence, and other types of data. Incident tracking management, investigative and performance metrics analyses and reporting are the primary objectives of this system.</p> <p>Data is entered into the system by OLE agents, officers, operational and support staff from paper and electronic sources consisting of law enforcement sensitive data, Personally Identifiable Information, Business Identifiable Information, and open source materials. Data is also sourced from an interface with prior OLE case management systems prior case management systems, as well as the Office of General Counsel--Enforcement Section's system.</p> <p>NOTE: <i>Hard copies of the Violation Investigative Case Files are currently scheduled under, N1-370-90-003, item 1513-01.</i></p>		
		<p>Item 1. Investigative Case Files.</p> <p>The master file consists of data scanned or manually entered and validated in the CMS which includes information on compliance assistance, education and outreach, patrols, investigations, arrests, information on individuals and businesses, conveyances, seized property and evidence, and other related data.</p>	<p>DAA-0370-2017-0002-0001, item 1.1</p> <p><i>Supersedes NOAA Law Enforcement Accessible Database System (LEADS) issued under Disposition Authority N1-370-11-003, item 1513-17.</i></p>	<p>TEMPORARY. Destroy no sooner than 10 years (s) after case is closed but longer retention is authorized.</p>

		<p>Item 2. Intermediary Records.</p> <p>Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials. • audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created) • dictation recordings • input or source records, which agencies create in the routine process of creating, 	<p>DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)</p> <p><i>Supersedes:</i></p> <p>DAA-GRS-2013-0001-0004, <i>GRS 4.3</i>, Input Records, Output Records, and Electronic Copies:</p> <p>DAA-GRS- 2013-0001-0001 (GRS 4.3, item 010), Hard or analog input/source records scheduled as temporary;</p> <p>DAA-GRS- 2013-0001-0002 (GRS 4.3, item 011), Hard or analog input/source records scheduled as permanent;</p> <p>DAA-GRS- 2013-0001-0003 (GRS 4.3, item 012), Hard or analog input/source records not previously scheduled;</p> <p><i>DAA-GRS- 2013-0001-0004 (GRS 4.3, item 020)</i>, Electronic input/source</p>	<p>TEMPORARY.</p> <p>Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>
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		<p>maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:</p> <ul style="list-style-type: none"> ○ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1) ○ electronic input source records such as transaction files or intermediate input/output files ● ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report ● data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2) <p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p> <p>Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another</p>	<p>records;</p> <p>DAA-GRS- 2013-0001-0005 (GRS 4.3, item 030), Output records;</p> <p>DAA-GRS-2013-0001-0006 (GRS 4.3, item 031), Data file outputs; and</p> <p>DAA-GRS-2013-0001-0007 (GRS 4.3, item 040), Data file outputs</p>	
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		<p>schedule):</p> <ul style="list-style-type: none"> • files created only for public access purposes • summarized information from unscheduled electronic records or inaccessible permanent records • data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original • data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012) <p>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		
		<p>Item 3. Master File.</p> <p>Data input includes positional records created depending on the particular fishery requirement, one position every 30 minutes, or 60 minutes, positional data, name, and location.</p>	<p>DAA-0370-2017-0002-0001, item 1.1</p> <p><i>Supersedes</i> N1-370-11-004 (11/3/11)</p>	<p>TEMPORARY. Follow disposition for 1513-17, 1. Investigative Case Files, above.</p>

		<p>Item 4. Output.</p> <p>This system provides OLE employees, contractors, with workstation graphical user interface (full screen view of data), reports and vessel hot file</p>	<p>DAA-GRS-2017-0003-0002 (GRS 5.2, item 020) <i>Supersedes</i> N1-370-11-003 (11/3/11)</p>	<p>TEMPORARY. <i>Follow disposition for 1513-17, 2, Intermediary Files, above.</i></p>
		<p>Item 5. System Documentation.</p> <p>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</p> <p>Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including</p> <ul style="list-style-type: none"> • data/database dictionary record • record layouts • data systems specifications • metadata • file specifications • user guides • code books • output specifications <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p>	<p>DAA-GRS-2013-0005-0003 (GRS 3.1, item 051) <i>Supersedes</i> GRS 20, item 11a (1), Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.</p>	<p>TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> • software operating manuals • data standards • table and dependency descriptions • taxonomies • schemas • registries • source code • physical data model • logical data model 		
1513-18	vTrack Vessel Monitoring System (VMS)	VMS is a tool for the management of all federally permitted fishing vessels and provides current location data to all Magnusson partners. The system enables National Oceanic and Atmospheric Administration's (NOAA) Office for Law Enforcement (OLE) agents and officers to display information using map overlays placed in the application for management areas to assist in Fisheries Management.		
		<p>Item 1. Input Data entered into the system by the OLE help desk, support staff, and electronic inputs consisting of name, address, vessels, cases, and location. Data is also from interface with Interconnect Service Agreements (ISA) with the Northeast Region and Science Center, and Southeast Fisheries Science Center.</p>	<p>DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)</p> <p><i>Supersedes:</i></p> <p>DAA-GRS-2013-0001-0004, <i>GRS 4.3</i>, Input Records, Output Records, and Electronic Copies:</p> <p>DAA-GRS- 2013-0001-0002 (GRS 4.3, item 011), Hard or analog</p>	<p>TEMPORARY. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>

			<p>input/source records scheduled as permanent;</p> <p>DAA-GRS- 2013-0001-0003 (GRS 4.3, item 012), Hard or analog input/source records not previously scheduled;</p> <p>DAA-GRS- 2013-0001-0004 (GRS 4.3, item 020), Electronic input/source records;</p> <p>DAA-GRS- 2013-0001-0005 (GRS 4.3, item 030), Output records; and</p> <p>DAA-GRS-2013-0001-0006 (GRS 4.3, item 031), Data file outputs.</p>	
		<p>Item 2. Master File. Data input includes positional records created depending on the particular fishery requirement, one position every 30 minutes, or 60 minutes, positional data, name, and location.</p>	<p>N1-370-11-004 (11/3/11)</p>	<p>TEMPORARY. Delete/destroy 10 years after current data is migrated to a new system and verified or after termination of the system.</p>
		<p>Item 3. Output. This system provides OLE employees, contractors, with visual mapping</p>	<p>N1-370-11-004 (11/3/11)</p>	<p>TEMPORARY. Destroy when the</p>

		through a web interface (full screen view of data, reports and vessel information downloadable to spreadsheet data.		agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
		<p>Item 4. System Documentation. All documentation for temporary electronic records and documentation not necessary for preservation of permanent records.</p> <p>Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including</p> <ul style="list-style-type: none"> • data/database dictionary record • record layouts • data systems specifications • metadata • file specifications • user guides • code books • output specifications <p>and also the following records for all electronic records whether scheduled as temporary or permanent</p> <ul style="list-style-type: none"> • software operating manuals • data standards 	<p>DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)</p> <p><i>Supersedes:</i></p> <p>GRS 20, item 11a (1), Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.</p>	<p>Temporary. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none">• table and dependency descriptions• taxonomies• schemas• registries• source code• physical data model• logical data model		
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1514	Marine Mammal and Endangered Species Protection Files.	These files relate to programs that 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of permit. Destroy 5 years later.
1514-03	Marine Mammal Inventory Files.	Inventories of marine mammals being held on captivity. Includes any statistics on species held	Pen and ink change on 10/31/91 to N1-370-90-003 (12/9/92)	PERMANENT. Cut off files annually and transfer to FRC when 3 years old. Transfer to the National Archives when 25 years old.
1514-04	Marine Mammal Regulations Files.	<i>(Supersedes 1514-04, NOAA Disposition Authority N1-370-90-3, 12/9/92, Marine Mammal Regulations Files).</i> Proposed and Final Regulations, Rule Making, and	N1-370-03-009 (10/6/03)	TEMPORARY. Follow disposition instructions listed for 100-20 a, b, c, and d.

		Policy Making Documentation.		
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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year when created. Destroy 2 years later.
1514-06	Enforcement Guidance Files.	Guidance given to offices responsible for enforcement of related laws from office which is responsible for overall program.	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy when no longer needed for reference purposes.
1514-07	Species Files.	Reference file with information on species, and relevant statistics. Non-record material.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.		
		a. Approved application and certifications:	N1-370-90-003 (12/9/92)	TEMPORARY. Destroy 5 years after application or certifications expires
		b. Rejected applications and certifications	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	PERMANENT. Cut off files annually and transfer to FRC when 5 years old. Offer to the National Archives when 25 years old.
1514-11	Species Incident, Status, and Survey Databases.	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.	N1-370-06-002 (Rev. 12/19/06)	TEMPORARY. 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.	N1-370-06-002 (Rev. 12/19/06)	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.	N1-370-06-002 (Rev. 12/19/06)	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.	N1-370-06-002 (Rev. 12/19/06)	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.	N1-370-06-002 (Rev. 12/19/06)	TEMPORARY. 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.	N1-370-06-002 (Rev. 12/19/06)	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.	N1-370-90-003 (Rev. 12/9/92)	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.	N1-370-90-003 (12/9/92) (Pen and Ink revision made on 10/31/91).	PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 25 years old.

1514-14	Grant Application Files.	Material submitted by states or organizations applying for grants described in 1514-15 below.		
		1. Accepted applications:	N1-370-90-003 (12/9/92)	TEMPORARY. Transfer file to 1514-15 below.
		2. Rejected applications:	N1-370-90-003 (Rev. 12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (Rev. 12/9/92)	PERMANENT. Transfer to FRC

				when 5 years old. Offer to NARA after 20 years.
1514-20	Hearing Files.	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.	N1-370-90-003 (12/9/92) (Pen and Ink revision made on 10/31/91).	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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC when 5 years old. Offer to the National Archives after 25 years old.
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	N1-370-90-003 (12/9/92) (Item added by Pen and Ink revision made on 10/31/91).	TEMPORARY. Cut off at end of exemption program, transfer to FRC 5 years later. Destroy when 20 years old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Review annually. Destroy when obsolete or superseded.
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.	N1-370-90-003 (12/9/92)	TEMPORARY. 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.	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of study. Destroy 6 years after the completion of study.
1515-04	Management Plan	Documents pertaining to the development and	N1-370-90-003	TEMPORARY. Cut off

	Files.	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.	(12/9/92)	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, 41 recreational fisheries.		
		a. Originating office:	N1-370-90-003 (12/9/92)	PERMANENT. Transfer to FRC 5 years after supersession. Offer to NARA when 20 years old.
		b. Participating office:	N1-370-90-003 (12/9/92)	TEMPORARY. 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. <i>See 1515-03, recreation fishery resources.</i>	N1-370-90-003 (12/9/92)	TEMPORARY. Cut off at end of calendar year. Review annually. Retain for 5 years after plan is superseded.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1516	NRDA Post-Settlement Files.	These files relate to the Natural Resource Damage Assessment (NRDA) restoration activities.		
1516-01	NRDA Post-Settlement Case Files Records.	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.		
		a. Recordkeeping Set:	N1-370-03-008 (9/23/03)	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:	N1-370-03-008 (9/23/03)	TEMPORARY. Delete when recordkeeping copy has been produced.
		c. Microfilm: Silver halide:	N1-370-03-008 (9/23/03)	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:	N1-370-03-008 (9/23/03)	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.		
		a. Official Record Set:	N1-370-03-008 (9/23/03)	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:	N1-370-03-008 (9/23/03)	TEMPORARY. Duplicate copies and electronic copies used solely for convenience or stored at local Administrative Record repositories.

				Destroy when no longer needed for DARP business
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1517	Fisheries Marine National Monument Management Plan Records. National Monuments Designation Files and Supporting Material Designation Files.	<p>The Marine National Monument Program (MNMP) coordinates the development of management plans, scientific exploration and research programs within the Marine National Monuments in the Pacific Islands Region. Under the Antiquities Act, the Marine National Monument Program works with Federal and regional partners and stakeholders to conserve and protect the marine resources in the large marine protected areas.</p> <p>MNMP coordinates the development of management plans, scientific exploration and research programs within the Marine National Monuments in the Pacific Islands Region to protect areas of outstanding scientific, cultural, conservation and aesthetic value, and provide for the long-term persistence of these natural and cultural legacies for the Marianas Trench, Pacific Remote Islands and Rose Atoll, and the Papahānaumokuākea Marine National Monument.</p>		
1517-01	National Monuments Designation Files and Supporting Material.			
		a. Designation Files. These files consist of designations, determinations, and findings.	DAA-0370-2015-0005-0001 (Rev. 9/18/2015)	PERMANENT. Cut off at the end of the calendar year in which the

				monument was designated. Transfer to the National Archives 15 years after cut off.
		b. Monument National Management Plans and Related Reports. This series consists of the National Monument Management Plans and include significant reports such as the Environmental Impact Statement (EIS), the Environmental Assessment (EA), and Finding of No Significant Impact (FONSI), if completed. This item is media neutral.	DAA-0370-2015-0005-0002 (Rev. 9/18/2015)	PERMANENT. Cut off at the end of the calendar year in which the monument was designated. Transfer to the National Archives 15 years after cut off.
		c. Supporting Material. The Supporting Materials may consist of preliminary drafts, copies public comments; workshops, work papers, correspondence, copies regulatory packages, copies of proposed and final rule, and similar documentation. This item is media neutral.	DAA-0370-2015-0005-0003 (Rev. 9/18/2015)	TEMPORARY. Cut off at the end of the calendar year in which plan is completed. Transfer to the FRC 10 years after cut off. Destroy 25 year(s) after cut off.
1517-02	Marine National Monuments (MNM) Management Plans and Revision Files.	The files document the periodic revision of a MNM management plan, beginning with the Environmental Assessment and ending with the completion of a revised management plan and final Environmental Impact Statement (EIS) or Environmental Assessment (EA). This item is media neutral.	DAA-0370-2015-0005-0004 (Rev. 9/18/2015)	PERMANENT. Cut off at the end of the calendar year in which the monument was designated. Transfer to the National Archives 15

				years after cut off.
1517-03	Individual Supplemental Management Plans and Supporting Materials.	This series document the development and management of Individual Supplemental Plans, process, or MOAs/MOUs which are additional requirements which support the execution of the National Marine Monument Plan. Currently, Individual Supplemental Management Plans such as the National Resource Maritime Cultural Heritage Plan, Native Hawaiian Plan and Climate Change Plan support the mission of ensuring national monuments are protected and preserved as long as they exists. This item is media neutral.		
		a. Final Plan. The final plan aims to facilitate the Management Plan's goal for understanding and interpreting the Hawaiian Islands and to provide the information required to support management actions, such as managing threats, permitting activities, and evaluating the effectiveness of management efforts). This item is media neutral.	DAA-0370-2015-0005-0005 (Rev. 9/18/2015)	PERMANENT. Cut off at the end of the calendar year in which the monument was designated. Transfer to the National Archives 15 years after cut off.
		b. Supporting Materials. The Supporting Materials consists of preliminary drafts, copies of public comments; workshops work papers, correspondence, copies of regulatory package, copies of the proposed and final rule, and similar documentation). This item is media neutral.	DAA-0370-2015-0005-0006 (Rev. 9/18/2015)	TEMPORARY. Cut off at the end of the calendar year in which plan is completed. Transfer to the FRC 10 years after cut off. Destroy 25 year(s) after cut off.

1517-04	Marine National Monument Permit Files.	This category includes documents related to the application for and processing of applications to conduct activities within a MNM. Documents under this series may include material submitted by an applicant in support of their application (cover letter, a project summary or abstract, technical information a description of environmental consequences and how the results will be treated, and any other supporting information), correspondence between the NMNP and the applicant, signed and dated permits or other letters of approval or disapproval, and records pertaining to an appeal when related to monuments. This item is media neutral.	DAA-0370-2015-0005-0007 (Rev. 9/18/2015)	TEMPORARY. Cut off at the end of the calendar year in which permit expires. Destroy 25 year(s) after cut off.
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