

## **NOAA Records Schedules**

### **Chapter 200**

#### **Administrative and Housekeeping Records**

**200-01 Administrative and Housekeeping Records**

**200-02 Audit Case File**

**200-03 Budget Background Records**

**200-04 Budget Estimates and Narrative Statement Records**

**200-05 Agency-wide Budget Projection Records**

**200-06 Electronic Budget Tracking Records**

**200-07 Transitory Records**

**200-08 Committee Management Records (Moved to 100 Records Series)**

**200-09 Credit/Bank Card Transactions**

**200-10 Electronic Version of Records Scheduled for Disposal**

**200-11 Equal Employment Opportunity (EEO) General Records**

**200-12 Electronic Mail Records held in an Email System**

**200-13 Federal Financial System Data Input Records**

**200-14 Finding Aids (or Indexes)**

**200-15 Freedom of Information Act (FOIA) Requests Records**

**200-16 Freedom of Information Act (FOIA) Control Records**

**200-17 Freedom of Information Act (FOIA) Appeals Records**

**200-18 Fund Use and Availability Records**

**200-19 Input Source Records**

**200-20 Key Accountability Records**

**200- 20 Key Accountability Records**

**200-21 Library Materials**

**200-22 Mail Management Records**

**200-23 Deemed Export Program Records**

**200-24 Records Disposition Records**

**200-25 Reorganization Proposal Case File**

**200-26 Routine Procurement/Contract Administrative (COTR/TOM/TM) Records**

**200-27 Schedules of Daily Activities**

**200-28 Electronic Spreadsheets**

**200-29 Suspense Log**

**200-30 Technical Reference Materials**

**200-31 Time and Attendance Input Records**

**200-32 Time and Attendance Source Records**

**200-33 Records Tracking and Control Records**

**200-34 Electronic Copies**

**200-35 Electronic Mail and Word Processing System Copies**

**200-36 Personnel Records: Supervisor's and Duplicate Official Personnel Folder Documentation**

**200-37 Training and Workshop Records**

**200-38 Budget Correspondence Files**

**200-39 Management Control Records**

**200-40 Documents Published in the Federal Register**

**200-41 Project Control Files**

**200-42 Privacy Act Reports Files**

**200-43 Feasibility Studies**

**200-44 Microform Inspection Records**

**200-45 Forms Files**

**200-46 Records Management Files**

**200-47 Files Planning, Organization, and Maintenance: Designating Files**

**200-48 Records Holdings Files**

**200-49 Privacy Act Amendment Case Files**

**200-50 Privacy Act Accounting of Disclosure Files**

**200-51 Privacy Act Control Files**

**200-52 Privacy Act Reports Files**

**200-53 Privacy Act General Administrative Files**

**200-54 Erroneous Release Files**

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
200	Administrative Management and Housekeeping Records.	<p>This Chapter lists the most common administrative and housekeeping records that are maintained in all levels of NOAA offices. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions. These functions are already scheduled in the <a href="#">General Records Schedule (GRS)</a>, issued and approved by the <a href="#">National Archives and Records Administration (NARA)</a>, or by a <a href="#">SF-115</a> approved and signed by the Archivist of the United States at NARA. All records in this series are scheduled as temporary records.</p>		
200-01	Administrative and Housekeeping Records	<p>Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the function for which the office exists. In general, these records relate to:</p> <p>The office organization, staffing, procedures, and communications, including fax machine logs; budget records; day-to-day administration of office personnel; training; travel; supplies; office services; and the use of office space and utilities.</p> <p>These records include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve</p>	GRS 23, item 1	<p><b>TEMPORARY.</b> Destroy when 2 years old.</p>

		<p>as unique documentation of the programs the office.</p> <p><i>Note: Not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office.</i></p> <p><b>Note:</b> <u>All records associated with Government Purchase Cards, and Government Travel Cards are not included. Please see DOC and NOAA policies governing the retention of records related to those cards.</u></p>		
200-02	Audit Case Files	Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.	N1-370-99-6	<b>TEMPORARY.</b> Recordkeeping paper copy: Cut off at the end of FY in which case is closed. Destroy 8 years later.
200-03	Budget Background Records	Program office copies of materials which constitute program office input during the annual budget formulation cycle and the budget execution phase. Cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules, and originating offices' copies of reports submitted to budget offices.	GRS 5, item 2	<b>TEMPORARY.</b> Recordkeeping paper copy: Destroy 1 year after the close of the fiscal year covered by the budget.
200-04	Budget Estimate and Narrative Statement Records	Documents pertaining to budget estimates prepared or consolidated by budget offices; and including appropriation language sheets, narrative statements, and papers related to	NC1-370-74-228	<b>PERMANENT.</b> Cut off at end of fiscal year. Transfer to the FRC two years after

		<p>associated meetings and briefings.</p> <p><b>Note: These records are located in the NOAA Budget Office only. All other offices, use 200-03.</b></p> <p><b>Moved to 100 Series</b></p>		closure. Transfer to the National Archives 20 years after closure.
200-05	Agency-wide Budget Projection Records	Projections of resources needed to meet program needs and future goals. These projections are made by the office responsible for oversight of the program area.		
		a. Projections not duplicated in budget submissions that deal with overall program.	NC1-370-76-5	<b>TEMPORARY.</b> Recordkeeping paper copy records: Close files at the end of FY and transfer to the FRC after 3 years. Destroy 10 years after closure.
		b. Projections which are "feeder" reports to those in "a" above or which are duplication in budget submissions.	NC1-370-76-5	<b>TEMPORARY.</b> Destroy when 5 years old
200-06	Electronic Budget Tracking Records	Electronic spreadsheets used to track office expenditures for budgetary control.	GRS 23, item 1	<b>TEMPORARY.</b> Delete when 2 years old, or when no longer needed, whichever is sooner.
200-07	Transitory Records	<p>Documents of short-term interest which have no documentary or evidential value and normally <i>need not be kept more than 180 days or less</i>. Examples of transitory correspondence are shown below.</p> <p>Routine requests for information or publications and copies of replies which require no administrative action, no policy</p>	GRS 23, item 7	<b>TEMPORARY.</b> Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule.

		<p>decision, and no special compilation or research for reply.</p> <p>Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.</p> <p>Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.</p>		
200-08	Committee Management Records	Moved to 100-16 and 100-17 series.		
200-09	Credit/Bank Card Transaction	<p>Copies of bank statements of credit card transactions receipts, reports and related documentation.</p> <p><b>NOTE:</b> Always consult both Purchase and Travel Card Policy Materials to confirm current NOAA retention policy.</p>		
		Official record held in the office of record:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	<b>TEMPORARY.</b> Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	<b>TEMPORARY.</b> Destroy when business use ceases.

200-10	Electronic Version of Records Scheduled for Disposal	Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.		
		a. Scanned images		<b>RESCINDED BY TRANSMITTAL 23</b>
		b. Other than scanned images – administrative records.		<b>RESCINDED BY TRANSMITTAL 23</b>
		c. Hard copy printouts created for short-term administrative purposes.		<b>RESCINDED BY TRANSMITTAL 23</b>
200-11	Equal Employment Opportunity (EEO) General Records	General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.  <b>NOTE:</b> EEO records relating to the oversight of the EEO Program, please refer to NOAA Records Series 312.	GRS 1, item 25, g	<b>TEMPORARY.</b> Recordkeeping paper copy: Destroy when 3 years old, or when superseded, whichever is applicable.
200-12	Electronic Mail Records held in an Email System	Electronic mail messages (senders and recipients' version) that meet the definition of Federal records and any attachments to the record messages AFTER they have been printed and filed in paper form, copied to an electronic recordkeeping system, or scanned for recordkeeping purposes.	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a recordkeeping system or otherwise preserving, but longer retention is authorized if required for business use.
200-13	Federal Financial System Data Input Records	Records relating to office expenditures such as acquisitions, training, travel or other expenses which have been processed into the Federal	GRS 23, item 1	<b>TEMPORARY.</b> Recordkeeping paper copy: Destroy when 2

		Financial System.		years old, or when no longer needed, whichever is sooner.
200-14	Finding Aids (or Indexes)	Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF-115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	GRS 23, item 9 and GRS 20, item 9	<b>TEMPORARY.</b> Destroy or delete with the related records, or sooner if no longer needed.
200-15	Freedom of Information Act (FOIA) Requests Records	Records created in response to requests for information under FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting records including a copy of the official record copy of the requested record or copy thereof, and FOIA appeal records. This includes a copy of the records which are the subject of the request. Request not appealed.	N1-370-08-05 (This is an exception to the General Records Schedule)	<b>TEMPORARY.</b> Destroy 6 years after date of final reply to the requester. This includes released and withheld documents.
200-16	Freedom of Information Act (FOIA) Control Records	Records maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester		
		a. Registers or listing	GRS 14, item 13	<b>TEMPORARY.</b> Destroy 6 years after date of last entry.
		b. Other records	GRS 14, item 13	<b>TEMPORARY.</b> Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

200-17	Freedom of Information Act (FOIA) Appeals Records	Records created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official record copy of records under appeal or copy thereof. Authorized Disposition: TEMPORARY (GRS 14, item 12) N1-370-08-05		
		a. Correspondence and supporting documents	N1-370-08-05	<b>TEMPORARY.</b> Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later
		b. Official record copy of records under appeal.	N1-370-08-05	<b>TEMPORARY.</b> Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later.
200-18	Fund Use and Availability Records	Reports and other documents pertaining to the accounting of funds spent and the status of apportioned accounts; also related briefings and meetings.		

		a. Recordkeeping paper copy of End of fiscal year report.	GRS 5, item 3a	<b>TEMPORARY.</b> Cut off at end of fiscal year. Destroy after 5 years.
		b. Other records	GRS 5, item 3b	<b>TEMPORARY.</b> Cut off at end of fiscal year and destroy after 3 years.
200-19	Input Source Records	<p>Provides disposal authorization for the following records related to electronic systems or collections of electronic records: input or source records, system output records, and non-recordkeeping copies of electronic records. In other words it covers records that contain information duplicated in the recordkeeping copies of electronic records (also known as the master records or master files). This schedule does not cover the recordkeeping copies themselves, which must be scheduled based on their content. Electronic records not included in GRS 4.3 may not be destroyed unless authorized by a NARA approved schedule.</p> <p>Also not covered by this schedule are original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings that are scheduled as permanent or unscheduled that have been converted to an electronic format. Electronic versions of special media records such as these often do not</p>		

		adequately replace the original and therefore the original records may not be destroyed as "input records."		
		<p><b>a. Hardcopy or analog input/source records previously scheduled as temporary.</b>  Hardcopy or analog records previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system.</p> <p><i>Not media neutral. Applies to hardcopy or analog records only.</i></p>	DAA-GRS- 2013-0001-0001 (GRS 4.3, item 010)	<b>TEMPORARY.</b> Destroy immediately after verification of successful conversion, but longer retention is authorized if required for business use.
		<p><b>b. Hardcopy or analog input/source records previously scheduled as permanent.</b>  Hardcopy or analog records previously scheduled as permanent that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system in accordance with NARA's electronic records standards.</p> <p><b>Exclusion 1:</b> The following input records previously scheduled as permanent may not be destroyed when converted to an electronic format. The hardcopy must be transferred to NARA according to the agency's approved schedule.</p> <p><b>Exclusion 2:</b> Hardcopy records that NARA has specifically designated as permanent records that must be</p>	DAA-GRS- 2013-0001-0002 (GRS 4.3, item 011)	<b>TEMPORARY.</b> Destroy 60 days after submitting notification to NARA per 36 CFR1225.24(a) (1) <u>and</u> verification of successful conversion, but longer retention.

		<p>transferred to NARA in hardcopy format. (36 CFR 1225.22(h)(2))</p> <p><b>Exclusion 3:</b> Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</p> <p><b>Exclusion 4:</b> Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p><b>Exclusion 5:</b> Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings.</p> <p><b>Legal citations:</b> 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>		
		<p><b>c. Hardcopy or analog input/source records not previously scheduled.</b></p> <p>Hardcopy or analog records, not previously scheduled, that are used to create, update, or modify electronic records and whose content is incorporated in its entirety into an electronic system.</p> <p><b>Exclusion 1:</b> Hardcopy records when the electronic versions do not meet NARA's electronic records standards.</p>	<p>DAA-GRS- 2013-0001-0003 (GRS 4.3, item 012)</p>	<p><b>TEMPORARY.</b> Destroy immediately after approval of a schedule for the electronic records <u>and</u> after verification of successful conversion, but longer retention is authorized if required for business use.</p>

		<p><b>Exclusion 2:</b> Hardcopy records that are not incorporated in their entirety into an electronic system.</p> <p><b>Exclusion 3:</b> Original hardcopy still pictures, graphic materials/posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings: Both original hardcopy records and any electronic versions must be</p>		
		<p><b>d. Electronic input/source records.</b> Electronic records used to create, update, or modify records in an electronic recordkeeping system. Including:</p> <ul style="list-style-type: none"> <li>• electronic files that duplicate information from a source electronic system for input into another electronic system</li> <li>• electronic records received from another agency and used as input/source records by the receiving agency (see exclusions)</li> <li>• computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database</li> <li>• metadata or reference data, such as format, range, or domain specifications which is transferred</li> </ul>	<p>DAA-GRS- 2013-0001-0004 (GRS 4.3, item 020)</p>	<p><b>TEMPORARY.</b> Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>

		<p>from a host computer or server to another computer for input, updating, or transaction processing operations</p> <p><b>Exclusion 1:</b> Original electronic records maintained in the source system.</p> <p><b>Exclusion 2:</b> Electronic input records required for audit and legal purposes.</p> <p><b>Exclusion 3:</b> Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.</p> <p>Not media neutral. Applies to electronic records only.</p>		
		<p>e. 1-<b>Output records.</b> Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above. By contrast, reports created using system information but not created directly from the system itself are not system output records, for example an annual report that agency staff prepares based on reviewing information in the system.</p>	<p>DAA-GRS- 2013-0001-0005 (GRS 4.3, item 030)</p>	<p><b>TEMPORARY.</b> Destroy when business use ceases.</p>

		<p><b>Exclusion 1:</b> Query results or electronic reports created for a specific business need such as an established reporting requirement or a response to a formal request from a higher- level office of the agency or an entity external to the agency. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p> <p><b>Exclusion 2:</b> Any hard copy records printed directly from the electronic systems that are not described below. Such records should be filed with an appropriate related series when applicable. If not applicable, these records must be scheduled.</p>		
		<p><b>Ad hoc reports.</b> Reports derived from electronic records or system queries created on an ad hoc, or one-time, basis for reference purposes or that have no business use beyond immediate need. This item includes ad hoc reports created from or queries conducted across multiple linked databases or systems.</p> <p><b>Exclusion 1:</b> Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other</p>	<p>DAA-GRS- 2013-0001-0005 (GRS 4.3, item 030)</p>	<p><b>TEMPORARY.</b> Destroy when business use ceases.</p>

		regular reports to management		
		<p><b>f. Data file outputs.</b> Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including:</p> <ul style="list-style-type: none"> <li>• data files consisting of summarized or aggregated information (See exclusions)</li> <li>• electronic files consisting of extracted information (See exclusions)</li> <li>• print file (electronic files extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports)</li> <li>• technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange) (See exclusions)</li> </ul> <p><b>Exclusion 1:</b> Data files that are created as disclosure-free files to allow public access to the data.</p> <p><b>Exclusion 2:</b> Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer</p>	DAA-GRS- 2013-0001-0006 (GRS 4.3, item 031)	<b>TEMPORARY.</b> Destroy when business use ceases.

		<p>be accessed.</p> <p><b>Exclusion 3:</b> Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p>		
		<p><b>g. Non-recordkeeping copies of electronic records.</b></p> <p>Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved. This includes:</p> <ul style="list-style-type: none"> <li>• documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent</li> <li>• senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any related attachments after they have been copied to an recordkeeping system or otherwise preserved</li> <li>• electronic spreadsheets</li> <li>• digital video or audio files</li> <li>• digital maps or architectural drawings</li> </ul>	<p>DAA-GRS- 2013-0001-0007 (GRS 4.3, item 040)</p>	<p><b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or otherwise preserving, but longer retention is authorized if required for business use.</p>

		<ul style="list-style-type: none"> <li>copies of the above electronic records maintained on websites or web servers, but EXCLUDING web pages themselves</li> </ul> <p><b>Note 1:</b> Not all copies are non-record. Copies are non-record if they are kept only for convenience of reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The records described here are records, but not recordkeeping copies of those records.</p> <p><b>Note 2:</b> For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p>		
200-20	Key Accountability Records	Records relating to accountability for keys issued.	GRS 18, item 16	<p><b>TEMPORARY</b></p> <p>For areas under maximum security: Destroy 3 years after turn-in of key. For other areas: Destroy 6 months after turn-in of key.</p>

200-21	Library and Nonrecord Documents	Documents made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications.	Nonrecord, authorized disposition not required.	Discard when superseded or no longer needed, upon approval of supervisor.
200-22	Mail Management Records	Documents relating to negotiations with the Postal System, analyses of mail practices, and recommended changes	GRS 12, item 7	<b>TEMPORARY.</b> Recordkeeping paper copy records: Cut off at end of calendar year when created. Destroy after 6 years or when no longer needed for reference, whichever is sooner.
200-23	Deemed Export Program Records.	Records derived from any release of source code subject to the Export Administration Regulations (EAR) to a foreign national within the United States. Such a release is deemed to be an export to the home country or countries of the foreign national. All records are media neutral.		
		1. Records Maintained by the Chief Administrator		
		a. Controlled Technology Inventory – This record captures data including, but not limited to, the name of the equipment/technology/item, the Export Control Number (ECCN), the description and location of the equipment, and the responsible NOAA manager, and whether or not access to the controlled technology is required by a foreign national and, if so, whether or not a license would be required	DAA-0370-2013-0001-0001	<b>TEMPORARY.</b> Cut off list at the end of FY and destroy 5 year(s) after cutoff.

		for access.		
		<p>b. Deemed Export Licenses</p> <p>Record that identifies the foreign national and the controlled technology which licenses have been obtained. A record of any licenses issued by BIS is also maintained.</p>	DAA-0370-2013-0001-0002	<b>TEMPORARY.</b> Cut off list at the end of FY and destroy year(s) after cutoff.
		<p>c. Foreign National List</p> <p>This record captures data including, but not limited to, the name of the foreign national as well as their county or citizenship, home country, duty station, description of work, and Federal employee sponsor. This record also identifies whether or not the foreign national requires access to controlled technology and whether or not a license would be required for such access.</p>	DAA-0370-2013-0001-0003	<b>TEMPORARY.</b> Cut off list at the end of FY and destroy 5 years after cutoff.
		2. Records Maintained in the Line Offices (LOs) and Staff Offices (SOs)		
		<p>a. Access Control Plans</p> <p>Records containing sufficient measures, safeguards, and procedures to ensure full EAR/ITA compliance to protect against unauthorized release of controlled technology to foreign nationals, at each facility/lab/program office. Each piece of controlled equipment/technology must have an accompany Access Control Information Sheet that identifies all measures and procedures to control foreign nation access to the controlled technology regulated under EAR/ITAR.</p>	DAA-0370-2013-0001-0004	<b>TEMPORARY.</b> Destroy 5 years after plan is superseded.

		<p>b. Certification Statements</p> <p>Annual certification signed by the LO/DAA or SO Director including DAA/SO Director Certification Statement, controlled technology inventory, list of foreign national Guests, Access Control Plans, list of deemed exports censes, and a list of facilities/labs/programs that completed the controlled technology assessment.</p> <p>Authorized Disposition:</p>	DAA-0370-2013-0001-0005	<b>TEMPORARY.</b> Cut off at the end of the FY, and destroy 5 years after cut off.
		<p>3. NOAA Endorsement Supplement (ESF) for the Line Office (LO)/Staff Office Department Sponsor/NOAA (DSN) and NAO 200-12, Appendix B. The ESF documents that DOC Sponsor/NOAA (DSN) has balanced the need to collaborate with a foreign national with the need to protect sensitive agency assets. The Lo/So and DSN certifies the ESF that the facility/lab/program has been assessed for export controlled technology, the DSN certifies on the ESF that he/she has taken reasonable steps to ensure that foreign nationals will not have unauthorized physical access to classified, sensitive, or not for public release data, information, or technology, etc. The form is also signed by the LO/SO Controlled Technology Coordinator (CTC) or the DAA as the designated official.</p>		
		<p>a. Records Maintained by the Chief Administrator</p> <p>Authorized Disposition.</p>	DAA-0370-2013-0001-0006	<b>TEMPORARY.</b> Destroy 5 year(s) after cut off.
		<p>b. Records Maintained in the Line Offices</p>	DAA-0370-2013-0001-0007	<b>TEMPORARY.</b>

		(LOs) and Staff Offices (SOs) Authorized Disposition		Destroy 5 year(s) after cut off.
		<p>4. Summary Reports of Department Administrative Order (DAO)/NOAA Administrative Order 207-12 Violations.</p> <p>The report focuses on the circumstances surrounding the violation and actions to prevent future occurrences. The report also addresses the potential of unauthorized release of controlled technology or otherwise sensitive data or information to the subject foreign national.</p>		
		a. Records Maintained by Office of the Chief Administrative Officer (OCAO)	DAA-0370-2013-0001-0008	<b>TEMPORARY.</b> Destroy 5 year(s) after cut off.
		b. Records Maintained in the Line Offices (LOs) and Staff Offices (SOs)	DAA-0370-2013-0001-0009	<b>TEMPORARY.</b> Destroy 5 year(s) after cut off.
200-24	Records Disposition Records	a. Basic documentation of records description and disposition programs, including SF-115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer records to National Archives of the United States; and related documentation		
		(1) SF 115s that have been approved by NARA and routine correspondence	GRS 16, item 2a1	<b>TEMPORARY.</b> Destroy 2 years after supersession
		(2) Other records	GRS 16, item 2a2	<b>TEMPORARY.</b> Destroy 6 years after

				the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.
		b. Routine correspondence and memoranda	GRS 16, item 2b	<b>TEMPORARY.</b> Destroy when 2 years old.
200-25	Reorganization Proposal Case Files.	Moved to the 100 Series. [See NOAA Series <b>100-03, Administrative Issuances</b> which includes reorganization proposals, manuals and charts.]		
200-26	Routine Procurement/Contract Administrative (COTR/TOM/TM) Records	Non-contract related requisitions, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment and Tax Exemption Record. Includes copies of records described above used by component elements of a procurement office for administrative purposes. Original records are maintained in Procurement.  <i>Note: If you have questions or concerns please ask your procurement or contract contact for policies on records retention.</i>	DAA-2013-0003-0002 (GRS 1.1, item 011)	<b>TEMPORARY.</b> Destroy when business use ceases.
200-27	Schedules of Daily Activities.	Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments,		

		<p>telephone calls, trips, visits and other activities by federal employees while serving in an official capacity, created and maintained in hard copy or electronic form.</p> <p>b. Records documenting routine activities containing no substantive information and records containing substantive information which has been incorporated into organized files. Authorized Disposition: TEMPORARY ( ) Destroy or delete when no longer needed. 200</p>		
		<p>a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official records, <b><u>at the division level and below.</u></b></p> <p><b>See the 100 records series for Schedules of Daily Activities for Upper Level Management Files.</b></p>	GRS 23, item 5	<b>TEMPORARY.</b> Destroy when 2 years old.
		<p>b. Records documenting routine activities containing no substantive information and records containing substantive information which has been incorporated into organized files</p>	GRS 23, item 5	<b>TEMPORARY.</b> Destroy or delete when no longer needed.
200-28	Electronic Spreadsheets	Electronic spreadsheets generated to support administrative functions or generated as background materials or background materials or feeder reports.		
		<p>a. When used to produce hard copy that is maintained in organized files.</p>	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or

				otherwise preserving, but longer retention is authorized if required for business use.
		<p>b. When maintained only in electronic form. Delete after expiration of the retention period authorized for the hard copy by the GRS or a NARA approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.</p>	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or otherwise preserving, but longer retention is authorized if required for business use.
200-29	Suspense Logs	<p>Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.</p> <p>Note: <u>A note or other reminder</u> to take action: Destroy after action is taken. <u>The record copy or an extra copy</u> of an out-going communication, filed by the date on which a reply is expected. Withdraw documents when reply is received. <u>If suspense copy is an extra copy</u>, destroy immediately. <u>If suspense copy is the record copy</u>, incorporate it into the official files.</p>	GRS 23, item 6a	<b>TEMPORARY.</b> Various, see note under description for this series.
200-30	Technical Reference Materials	Publications, phone books, extra copies of administrative or procedure manuals, and directives acquired and preserved solely for reference, or stocked for general distribution or handout.	Nonrecord materials	<b>TEMPORARY.</b> Discard when superseded or no longer needed.

200-31	Time and Attendance Input Records	Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	GRS 2, item 8	<b>TEMPORARY.</b> Destroy after GAO audit or when 6 years old, whichever is sooner.
200-32	Time and Attendance Source Records	All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards, flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.	GRS 2, item 7	<b>TEMPORARY.</b> Destroy after GAO audit, or when 6 years old, whichever is sooner.
200-33	Records Tracking and Control Records	Logs, registers and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA approved SF-115.	GRS 23, item 8	<b>TEMPORARY.</b> Destroy or delete when 2 years old, or years after the date of the latest entry, whichever is applicable.
200-34	Electronic Copies	Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or CDs after they have been copied to an electronic recordkeeping system, printed on paper, or scanned for recordkeeping purposes.	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or otherwise preserving, but longer retention is authorized if required for business use.
200-35	Electronic Mail and Word Processing System Copies	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also		

		includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.		
		a. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or otherwise preserving, but longer retention is authorized if required for business use.
		b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	DAA-GRS-2013-0001-0007 (GRS 4.3, item 040)	<b>TEMPORARY.</b> Destroy immediately after copying to a record-keeping system or otherwise preserving, but longer retention is authorized if required for business use.
200-36	Personnel Records: Supervisor's and Duplicate Official Personnel Folder Documentation. (Formerly filed as 200-23)	Actions, evaluations, samples of work, counseling activity, and records related to supervising staff. Supervisor's Personnel Records. Correspondence, forms, and other records relating to positions, authorizations, pending actions, position description, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.		
		a. Supervisor's Personnel Records	GRS 1, item 18	<b>TEMPORARY.</b> Review annually and destroy

				superseded or obsolete documents, or destroy record relating to an employee within 1 year after separation or transfer.
		b. Duplicate Documentation - Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule.	GRS 1, item 18	<b>TEMPORARY.</b> Destroy when 6 months old
200-37	Training and Workshop Records	Information accumulated by offices preparing materials for training or workshops. Included are schedules, agendas, programs, lesson plans, and completed manuals. Records may be in any medium or format, including, but not limited to, electronic presentations, CDs, electronic whiteboard data, and all digital media records.  <i>Note: Copies of training manuals collected by employees attending training should be filed under 100-04, Technical and General Reference Materials.</i>	GRS 1, item 29	<b>TEMPORARY.</b> Cut off at end of the calendar year in which training was conducted. Destroy 5 years later.
200-38	Budget Correspondence Files	Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.	GRS 5, item 1	<b>TEMPORARY.</b> Destroy when 2 years old.
200-39	Management Control	Records created in accordance with		

	Records	procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.		
		a. Policy, procedure, and guidance files.  Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.	GRS 16, item 14a	<b>TEMPORARY.</b> Destroy when superseded.
		b. Management control plans.  Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.	GRS 16, item 14b	<b>TEMPORARY.</b> Destroy when superseded.
		c. Risk analyses.  Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.	GRS 16, item 14c	<b>TEMPORARY.</b> Destroy after next review cycle.
		d. Annual reports and assurance statements created by organizational	GRS 16, item 14d	<b>TEMPORARY.</b> Cut off closed files annually.

		<p>components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress.</p> <p><i>[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA.]</i></p>		Destroy after next reporting cycle.
		<p>e. Tracking files.</p> <p>Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.</p>	GRS 16, item 14e	<b>TEMPORARY.</b> Destroy 1 year after report is completed.
		<p>f. Review files. [See note after item 14f(2).]</p> <p>Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.</p>		

		(1) Office with responsibility for coordinating internal control functions.	GRS 16, item 14f(1)	<b>TEMPORARY.</b> Cutoff when no further corrective action is necessary. Destroy 5 years after cutoff.
		(2) Copies maintained by other offices as internal reviews.  [NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.]	GRS 16, item 14f(2)	<b>TEMPORARY.</b> Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.
200-40	Documents Published in the Federal Register. [See note after 13b.]	a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.	GRS 16, item 13a	<b>TEMPORARY.</b> Destroy when 1 year old.
		b. Files documenting the processing of semiannual regulatory agenda.  <i>[NOTE: Departmental files documenting the development, clearance, and processing of proposed and final rules for publication in</i>	GRS 16, item 13b	<b>TEMPORARY.</b> Destroy when 2 years old.

		<i>the Federal Register are not covered by this schedule. These records may be, but are not necessarily, permanent. They must be individually scheduled so that NARA can conduct an analysis and appraise the records to determine their appropriate disposition.]</i>		
200-41	Project Control Files	Memoranda, reports, and other records documenting assignments, progress, and completion of projects. Authorized Disposition:	GRS 16, item 5	<b>TEMPORARY.</b> Destroy 1 year after the year in which the project is closed.
200-42	Reports Control Files	Case files maintained for each Department report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	GRS 16, item 6	<b>TEMPORARY.</b> Destroy 2 years after the report is discontinued
200-43	Feasibility Studies	Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to	DAA-GRS2013-0050007 (GRS 3.2, item 011)	<b>TEMPORARY.</b> Destroy 5 years after system is superseded 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.

		be expected from the proposed system.		
200-44	Microform Inspection Records	<p>a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1238.22. [See notes after item 10a.]</p> <p>[NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives of the United States. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]</p>	GRS 16, item 10a	<b>TEMPORARY.</b> Destroy 1 year after the records are transferred to the National Archives of the United States.
		b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1238.24.	GRS 16, item 10b	<b>TEMPORARY.</b> Destroy when 2 years old or when superseded, whichever is later.
200-45	Forms Files	a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	GRS 16, item 3a	<b>TEMPORARY.</b> Destroy 5 years after related form is discontinued, superseded, or canceled.
		b. Background materials, requisitions, specifications, processing data, and control records.	GRS 16, item 3b	<b>TEMPORARY.</b> Destroy when related form is discontinued, superseded, or canceled.
200-46	Records Management	Correspondence, reports, authorizations,	GRS 16, item 7	<b>TEMPORARY.</b>

	Files	and other records that relate to the management of Department records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, automated information systems, and word processing; records management ` surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.		Destroy when 6 years old.
200-47	Files Planning, Organization, and Maintenance: Designating Files Stations	An office file plan must be created for each file location. The file plan lists each record series maintained by the office, the disposition instruction for the series, and its location. A copy of the plan should be filed in the front of the first drawer of the first cabinet at each file location. Copies of the plans, or consolidated plans, may be kept at other files locations, higher level offices, or individual desks, if such reference needs exist. Each office must have its file plan approved by the proper Records Liaison Officer/and Records Officer.	N1-74-228, item 1	<b>TEMPORARY.</b> Destroy when superseded by a revised plan.
200-48	Records Holdings Files	Statistical reports of Department holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.		
		a. Records held by offices that prepare reports on Department-wide records holdings.		<b>RESCINCED BY TRANSMITTAL 23</b>
		b. Records held by other offices		<b>RESCINCED BY TRANSMITTAL 23</b>

200-49	Privacy Act Amendment Case Files	Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).		
		a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.	GRS 14, item 22a	<b>TEMPORARY.</b> Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.
		b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.	GRS 14, item 22b	<b>TEMPORARY.</b> Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is

				later.
		c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.	GRS 14, item 22c	<b>TEMPORARY.</b> Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.
200-50	Privacy Act Accounting of Disclosure Files	Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	GRS 14, item 23	<b>TEMPORARY.</b> Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.
200-51	Privacy Act Control Files	Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.		
		a. Registers or listings.	GRS 14, item 24a	<b>TEMPORARY.</b> Destroy 5 years after date of last entry.

		b. Other files.	GRS 14, item 24b	<b>TEMPORARY.</b> Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.
200-52	Privacy Act Reports Files	<p>Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.</p> <p><i>[NOTE: The GRS does not cover the biennial report to Congress from OMB. (N1-GRS-89-4 item 1 Note)]</i></p>	GRS 14, item 25	<b>TEMPORARY.</b> Destroy when 2 years old.
200-53	Privacy Act General Administrative Files	Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.	GRS 14, item 26	<b>TEMPORARY.</b> Destroy when 2 years old.
200-54	Privacy Act Erroneous Release Files	Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.		

		a. Files that include the official file copy of the released records.	GRS 14, item 36a	<b>TEMPORARY.</b> Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.
		b. Files that do not include the official file copy of the released records.	GRS 14, item 36b	<b>TEMPORARY.</b> Destroy 6 years after the erroneous release.