

**Revised 07/2020 to** incorporate a requirement made to the introduction of Public Affairs Records, under NARA transmittal 31 and a note to GRS 6.4, item 030 (NOAA Series 507-03, Public Affairs Product Protection Files), relating to cartographic and aerial photographic records,

**Revised on 07/2019 to** include NOAA National Environmental Protection Act (NEPA) Coordinator Files, and

**Revised on 04/2017 to** include GRS Schedule 6.4, Public Affairs Records.

## NOAA Records Schedules

### Chapter 500

Legal, Legislative, Congressional Affairs, Ethics, and Public Affairs Records

Chapter 500  
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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
502	Legal, Legislative, and Congressional Affairs	These files relate to the provision of legal advice and services to NOAA elements, and to representation of NOAA in claims or litigation that may result from NOAA actions or activities. Matters pertaining to the drafting and review of legislation are not included. Although not strictly functional in organization, this subfunction identifies certain high-level legal assistance files that pertain to programs or laws which generate a high-level of legal activity. Programs that are not identified are filed under the code for general legal assistance files.		
502-01	Precedent Model copies of Contracts and Other Material Serving as Guides for Legal Records and Actions.	Does not include NOAA Formal Opinions (see 502-02) even though they serve as precedents for future opinions.	Nonrecord material	Destroy when superseded or obsolete.
502-02	Formal Opinions.	Formal opinions given on statutes or regulations, and their effect on planned or current actions or activities. When appropriate, cross reference other files affected by the individual opinion.	NC-370-75-001, item 1, of Legal Affairs Records	
		Agency official copy:		<b>PERMANENT.</b> Offer to the National Archives when no longer needed.
		Informational copies:		<b>TEMPORARY.</b> Destroy when

				superseded or obsolete.
502-03	Litigation Records.	Records pertaining to litigation involving NOAA, except for those involving patents (see 502- 06). Includes final decision on case.	NC-370-75-001, item 4 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy 10 years after the case is closed. Cut off at end of calendar year, hold one year inactive, then transfer to the nearest Federal Records Center.
502-04	Conflict of Interest Records.	Records pertaining to possible conflicts of interest by NOAA personnel. Includes statements of financial interest.		<b>TEMPORARY.</b> <b>Follow disposition for 506-02 below.</b>
502-05	Contract Dispute Records.	Contract appeals case files arising under the Contract Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.		
		a. Records created prior to October 1, 1979.		<b>RESCINDED</b> per GRS Transmittal 23
		b. Records created after September 30, 1979.	GRS 3, item 15b.	<b>TEMPORARY.</b> Destroy 1 year after final action on decision.

502-06	Patent Records.	Records pertaining to all patent matters, including disclosure, infringement question, donations and any litigation. May subdivide by type of patent action.	NC-370-75-001, item 5 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy 23 years after action is completed. Cut off at end of calendar, hold one year inactive, then transfer to the nearest Federal Records Center.
502-07	Personnel Action Records.	Records pertaining to advice or clearance given in relation to personnel actions by NOAA. Does not include litigation, claims, or files relating to personnel administration within the office conducting legal affairs.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-08	Privacy Act Records.	Records pertaining to advice and assistance given on the implementation of Privacy Act requirements. Does not include litigation files or formal opinions rendered.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-09	FOIA Assistance Records.	Records pertaining to legal advice and assistance given in the implementation of the Freedom of Information Act (FOIA). Does not include litigation or formal opinions.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-10	Fishery Conservation Act Assistance Records.	Records pertaining to legal assistance and advice given in implementing the Fishery Conservation Act(s). Does not include litigation or formal opinions.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.

502-11	Fishery Financial Assistance Act Records.	Records pertaining to the legal assistance and advice given in the implementation of financial assistance programs for fisheries.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-12	Marine Mammal Act Assistance Records.	Records pertaining to the legal assistance and advice given in implementing the Marine Mammal Protection Act. Does not include litigation or formal opinions.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-13	Endangered Species Act Assistance Records.	Records pertaining to legal advice and assistance given in the implementation of Endangered Species Protection Act. Does not include litigation or formal opinion.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-14	Coastal Zone Management (CZM) Assistance Records.	Records pertaining to legal assistance and advice given in implementing the Coastal Zone Management Program. See 502-15 for review of state programs. Does not include formal opinion files or litigation.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-15	Coastal Zone Management (CZM) State Program Assistance Records.	Records pertaining to advice regarding, and reviews of state coastal zone management programs.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-16	Marine Sanctuary Assistance Records.	Records pertaining to legal assistance and advice given to the marine sanctuary program. Does not include formal opinions or litigation.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.

502-17	Marine Mineral Assistance Records.	Records pertaining to legal assistance given regarding marine mineral programs. Does not include formal opinions or litigation.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-18	Environmental Assessment Assistance Records.	Records pertaining to legal assistance and advice given regarding environmental impact assessments made under the Fish & Wildlife Coordination Act.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-19	International Assistance Records.	Records pertaining to legal advice and assistance given regarding international negotiations and agreements. Cross reference specific agreements dealing with program areas detailed in other items in this subfunction (such as Marine Mammals).	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-20	General Legal Assistance Records.	Records pertaining to legal advice and assistance given in regard to programs not otherwise described in this subfunction. These files may be subdivided by program. Does not include formal opinions or litigation.	NC-370-75-001, item 6 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar year when created. Destroy 6 years later.
502-21	NOAA National Environmental Protection Act (NEPA) Coordinator Files.	Documents generated by the NOAA NEPA Coordinator, including those inter-agency reviews and external reviews, agency-wide NEPA policies and procedures, and guidance. Examples include guidance, policy statements and comments on another agency's action submitted by the NOAA NEPA Coordinator.	DAA-0370-2018-0006-0001 <b>(6/14/19)</b>	<b>PERMANENT.</b> Cut off when superseded, obsolete, or no longer needed for agency business. Transfer off-site immediately after cut off. Transfer to the National Archives in 5 year blocks 20 year(s) after the latest record in the block is 20 years old.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
<b>503</b>	Claims	These files relate to claims by, for, or against NOAA.		
503-01	Potential Claims	Reports, evidence, correspondence, and other records pertaining to incidents which may result in a claim. These files often become the nucleus of claims case files described in other series in the subfunction.		
		1. If claim is made:	NC-370-75-001, item 3a of Legal Affairs Records <b>(2/27/75)</b>	Transfer to relevant claim case file.
		2. If no claims is made:	NC-370-75-001, item 3b of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy 6 years after file was created.
503-02	Tort Claims	Case files, including reports, investigations, legal transcripts and testimony, and other related documents, where claims have been made pursuant to the Federal Tort Claims Act, the Suits in Admiralty Act, the Public Vessels Act, 33 U.S.C. 853, or related acts.		
		1. Claims allowed:	NC-370-75-001, item 3a of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at payment. Destroy 6 years later.
		2. Claims disallowed without litigation resulting:	NC-370-75-001, item 3b of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off when disallowed. Destroy 10 years later.



		3. Litigated cases:	NC-370-75-001, item 3b of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at payment. Destroy 10 years later.
503-03	Personal Property Claims.	Personal Property Claims Case files, including reports, investigations, etc, pertaining to a claim filed pursuant to the Military and Civilian Employee's Claims Act, or similar succeeding acts.		
		1. Claims allowed:	NC-370-75-001, item 3a of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at payment. Destroy 6 years later.
		2. Claims disallowed and not appealed:	NC-370-75-001, item 3b of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off when disallowed. Destroy 10 years later.
		3. Claims disallowed and appealed:	NC-370-75-001, item 3 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy 10 years after claim is disallowed. Cut off at end of calendar year, hold one year inactive, then transfer to the Federal Records Center.
503-04	Collection Claims.	Case files, including reports, correspondence, etc., and related records pertaining to claims made by NOAA against outside individuals or bodies.		

		1. Successful claims:	NC-370-75-001, item 3 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off when case is closed. Destroy 6 years later.
		2. Unsuccessful claims where no further action will be taken:	NC-370-75-001, item 3 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off when case is closed. Destroy 10 years later.
		3. Unsuccessful claims referred to GAO for collection action:	NC-370-75-001, item 3 of Legal Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off when case is closed. Destroy 10 years later.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
<b>504</b>	Legislation	These files relate to the initiation of, processing of, and commenting on legislation or incidental to the performance of another function, and filled by that office.		
504-01	Legislative Program.	Proposals made by NOAA to DOC for legislative initiatives to be included in the Commerce legislative program submitted to Congress. Includes copies of material from 504-04 below, as well as non-record reference material.	NC-370-75-001, item 2, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at end of calendar, hold four years inactive, then transfer to the Federal Records Center. Destroy after 15 years.
504-02	Legislative Proposal.	Case files on legislative proposals being submitted to Congress, but which are not yet bills. Includes proposals made by NOAA and those submitted to NOAA for comment.	NC-370-75-001, item 1, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	
		1. Proposals becoming Congressional bills:		<b>Transfer to 504-03.</b>
		2. Proposals not becoming bills:		<b>Follow disposition listed for 504-04.</b>
504-03	Legislative Bill Case File.	Case files on bills before Congress, and which affect NOAA or its interests. Includes proposals, comments, reports, testimony at hearings and related papers.	NC-370-75-001, item 1, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	
		1. Bills which are enacted:		<b>Transfer to 504-04.</b>
		2. Bills which are not enacted:		<b>Follow disposition listed for 504-04.</b>

504-04	Legislative History	<p>Case Files related to NOAA initiated legislation includes proposals, comments, and all related action.</p> <p><i><b>Note:</b> Before this authority was authorized, enacted and failed bills had separate dispositions. This authority combined enacted and failed bills together.</i></p>	<p>NC-370-75-001, item 1, of Congressional and Legislative Affairs Records <b>(2/27/75)</b></p>	<p><b>PERMANENT.</b> Transfer to the Federal Records Center when no longer needed for reference. Offer to the National Archives after 15 years.</p>
504-05	General Congressional Correspondence	<p>Congressional correspondence including matters dealing with constituent requests. Correspondence dealing with legislation is covered by item 1.</p> <p>General correspondence answering questions about possible proposals for legislation, the status of legislation, and other general matters. Does not include opinions or interpretations on enacted legislations.</p>	<p>NC-370-75-001, item 4, of Congressional and Legislative Affairs Records <b>(2/27/75)</b></p>	<p><b>TEMPORARY.</b> Destroy after three years. Cut off at end of calendar year, hold two years inactive in place, or transfer to the Federal Records Center.</p>

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
505	Congressional Affairs.	These files relate to relations with the Congress and its members. Not included are files pertaining to legislation (see 504) or files created in an operating office incidental to the performance of its primary function (see the related functional area common mission files).		
505-01	Congressional Correspondence	Correspondence with members of Congress, including matters pertaining to constituent problems or requests. See 504 for correspondence pertaining to specific legislation under consideration. May be arranged alphabetically by states.	NC-370-75-001, item 4, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Cut off at the end of calendar year when created. Destroy 3 years later.
505-02	Congressional Committee Correspondence.	Correspondence with committees of the Congress, or members acting for the committee. See 504 for matters pertaining to legislation.	N1-370-90-2 <b>(4/3/90)</b>	<b>PERMANENT. Use disposition for 100-11 of this handbook.</b>
505-03	Hearings and Investigations.	Testimony and related backup material at Congressional hearings or investigations.	NC-370-75-001, item 3, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy or transfer to library as nonrecord material when 2 years old. Material may be held up to 5 years if contents warrant.
505-04	Congressional Reports.	Copies of reports submitted to Congress.		
		Creating office:	NC-370-75-001, item 5a, of Congressional	<b>PERMANENT.</b> Cut off at end of

			and Legislative Affairs Records <b>(2/27/75)</b>	calendar year, hold two years inactive, then transfer to Federal Records Center. Offer to the National Archives after 15 years.
		Forwarding office:	NC-370-75-001, item 5b, of Congressional and Legislative Affairs Records <b>(2/27/75)</b>	<b>TEMPORARY.</b> Destroy 6 months after forwarding.
505-05	Briefing and Presentation.	Material prepared for briefings and visits of members of Congress or for Congressional committees. Also related correspondence.	N1-370-90-2 <b>(4/3/90)</b>	<b>PERMANENT. Use disposition for 100-11 of this handbook.</b>
505-06	Congressional Information	Information concerning the Congress's organization and membership.	Nonrecord material	Destroy when superseded, obsolete, or no longer needed.
505-07	Program Information.	Information concerning NOAA programs and personnel that are maintained as a quick reference source. These should be marked as reference material.	Nonrecord material	Destroy when superseded, obsolete or no longer needed.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
506	Ethics Program Records.	<p>This schedule covers records documenting the activities of executive branch agency ethics program offices.</p> <p>Records not covered by this schedule: Records pertaining to legislative branch and judicial branch ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity, and other areas often associated with, but not expressly under, the authority of executive branch ethics programs.</p> <p>Lists not included in this schedule: Master Lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists.</p> <p><b>Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 4.1, Tracking and Control Records.</b></p> <p><b>Master Lists that are used for purposes other than tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.</b></p> <p>For <b>ethics training records</b>, see <b>GRS 2.6</b>, Employee Training Records.</p>		

506-01	General Ethics Program Records.	<p>Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records;</li> <li>• Determinations, including advice and counseling to individual employees, and supporting records; and</li> <li>• Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.</li> </ul>	DAA-GRS-2014-0005-0001 <b>(GRS 2.8, item 010)</b>	<p><b>TEMPORARY.</b> Destroy 6 years following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later, but longer retention is authorized if required for business use.</p>
506-02	Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violation Files.	<p>Referrals to Inspectors General or the Department of Justice concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict of Interest Referral.</p>	DAA-GRS-2014-0005-0002 <b>(GRS 2.8, item 020)</b>	<p><b>TEMPORARY.</b> Destroy 6 years after final disposition of the referral to either the IG or DOJ, but longer retention is authorized if required for business use.</p>



506-03	Reports of Payments Accepted from Non-Federal Sources.			
		<p><b>Agency reports.</b> Reports, including the “Semiannual Report of Payments Accepted from a Non-Federal Source,” submitted by agencies to the Office of Government Ethics and reported on the OGE Form 1353 (SF 326). Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.</p>	DAA-GRS-2014-0005-0003 <b>(GRS 2.8, item 030)</b>	<b>TEMPORARY.</b> Destroy 3 years following submission of the report to OGE, but longer retention is authorized if required for business use.
		<p><b>Supporting documentation.</b> Documentation, such as statements and forms, used to complete the submitted reports.</p>	DAA-GRS-2014-0005-0004 <b>(GRS 2.8, item 031)</b>	<b>TEMPORARY.</b> Destroy 1 year following submission of the report to OGE, but longer retention is authorized if required for business use.
506-04	Office of Government Ethics program Questionnaire Records.	Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys.	DAA-GRS-2014-0005-0005 <b>(GRS 2.8, item 040)</b>	<b>TEMPORARY.</b> Destroy 3 years after submission, but longer retention is authorized if required for business use.

506-05	Ethics Program Review Records.	Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling. This includes OGE program review reports, notes and background materials produced during OGE program reviews, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.	DAA-GRS-2014-0005-0006 <b>(GRS 2.8, item 050)</b>	<b>TEMPORARY.</b> Destroy 6 years after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Longer retention is authorized if needed for business use.
506-06	Public Financial Disclosure Reports.	Executive Branch Personnel Public Financial Disclosure Reports (OGE Form 278) (formerly SF 278), OGE Form 278e, and related records.  <b>Reports for individuals filing in accordance with the Ethics in Government Act, as amended (5 U.S.C. app.), including the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) (Pub. L. 112-105).</b>		
		Reports on individuals <b>not subsequently confirmed by the U.S. Senate.</b>  <b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR 2634.603	DAA-GRS-2014-0005-0007 <b>(GRS 2.8, item 060)</b>	<b>TEMPORARY.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer

				needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.
		<p>Reports on individuals <b>not subsequently confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105, 5 CFR part 2634.603</p>	DAA-GRS-2014-0005-0008 <b>(GRS 2.8, item 061)</b>	<p><b>TEMPORARY.</b> Destroy 6 years after receipt of the OGE Form 278 or 278e by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>
		<p><b>Periodic Transaction Reports.</b> OGE 278-T forms filed by reporting individuals in accordance with the STOCK Act of 2012, and related records.</p> <p><b>Legal Citation:</b> STOCK Act, Pub. L. 112-105</p>	DAA-GRS-2014-0005-0009 <b>(GRS 2.8, item 062)</b>	<p><b>TEMPORARY.</b> Destroy 7 years after receipt by the agency or when the related subsequent OGE Form 278 (SF 278) is ready for</p>

				destruction 6 years later. The reports may be retained longer if needed for active investigation. This disposition instruction is mandatory; deviations are not allowed.
		<p><b>Requests to inspect or receive copies of executive branch personnel public financial disclosure reports or other covered records (OGE Form 201 or agency equivalent form).</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105(b)(2)</p>	DAA-GRS-2014-0005-0010 <b>(GRS 2.8, item 063)</b>	<b>TEMPORARY.</b> Destroy when the requested report is destroyed. This disposition instruction is mandatory; deviations are not allowed.
506-07	Confidential Financial Disclosure Reports.	<p><b>Reports for individuals not subsequently confirmed by the U.S. Senate.</b> These reports consist of Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE).</p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	DAA-GRS-2014-0005-0011 <b>(GRS 2.8, item 070)</b>	<b>TEMPORARY.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition

				instruction is mandatory; deviations are not allowed.
506-08	Optional Form 450-A), and Related Records.	<p><b>All Other Reports.</b></p> <p><b>Legal Citation:</b> 5 CFR 2634.604</p>	DAA-GRS-2014-0005-0012 <b>(GRS 2.8, item 071)</b>	<p><b>TEMPORARY.</b></p> <p>Destroy 6 years after receipt of the OGE Form 450 by the agency, except when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-As then destroy 6 years after receipt of the last related OGE Form 450-A by the agency, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>
		<b>OGE Optional Form 450-A Reports.</b>	DAA-GRS-2014-0005-0013 <b>(GRS 2.8, item 072)</b>	<p><b>TEMPORARY.</b></p> <p>Destroy 6 years</p>

		<p><b>Legal Citation:</b> 5 CFR 2634.604, 5 CFR 2634.905</p> <p><b>Note:</b> The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer. The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.</p>		<p>after receipt of the OGE Form 450-A report by the agency, along with the associated OGE Form 450, or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>
506-09	Alternative or Additional Financial Disclosure Reports and Related Records.	<p>Reports for individuals <b>not</b> subsequently <b>confirmed by the U.S. Senate.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	DAA-GRS-2014-0005-0014 <b>(GRS 2.8, item 080)</b>	<p><b>TEMPORARY.</b> Destroy 1 year after nominee ceases to be under consideration for the position or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>

		<p><b>All Other reports.</b></p> <p><b>Legal Citation:</b> 5 U.S.C. app. section 105</p>	<p>DAA-GRS-2014-0005-0015 <b>(GRS 2.8, item 081)</b></p>	<p><b>TEMPOARY.</b> Destroy 6 years after receipt of the financial disclosure report by the agency or when no longer needed for active investigation, whichever is later. This disposition instruction is mandatory; deviations are not allowed.</p>
506-10	Financial Disclosure Supporting Documentation.	<p>Supporting documentation used to review and verify the filer's report submission. Includes records such as:</p> <ul style="list-style-type: none"> <li>• reviewer's notes;</li> <li>• background research reports; and</li> <li>• memorialized verbal comments of filer in response to reviewer questions.</li> </ul>	<p>DAA-GRS-2014-0005-0016 <b>(GRS 2.8, item 090)</b></p>	<p><b>TEMPORARY.</b> Destroy at the same time an individual's related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.</p>

506-11	Ethics Agreements Records.	<p>Records documenting the review and issue of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest. Includes:</p> <ul style="list-style-type: none"> <li>• review of recusals, resignations, reassignments, and divestitures;</li> <li>• determinations;</li> <li>• authorizations;</li> <li>• waivers; and</li> <li>• waivers of disqualifications</li> </ul> <p><i><b>Note:</b> Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): Prescribing Standards of Ethical Conduct for Government Officers and Employees.</i></p>		
		<b>Agreements for employees who do not file financial disclosure reports.</b>	DAA-GRS-2014-0005-0017 <b>(GRS 2.8, item 100)</b>	<b>Temporary.</b> Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken, or 6 years after it is no longer in effect, or when no longer needed for active investigation,



				whichever is later. Longer retention is authorized if needed for business use.
		<b>Agreements for employees who file financial disclosure reports.</b>	DAA-GRS-2014-0005-0018 <b>(GRS 2.8, item 101)</b>	<b>Temporary.</b> Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Longer retention is authorized if needed for business use.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
507	Public Affairs Records	<p>This schedule covers records about public affairs functions within Federal agencies. Public affairs involve communications and information exchanges between the Federal Government, citizens, and stakeholders in direct support of citizen services, public policy, and national interest.</p> <p><b>Note 1:</b> For public affairs records scheduled by NOAA, please see Record Series 100 of this handbook.</p> <p><b>Note 2:</b> Agencies must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule. <b>NEW</b></p>		
507-01	Public Affairs-Related Routine Operational Records.	<p>Records related to the routine, day-to-day administration of public affairs activities, including but not limited to:</p> <ul style="list-style-type: none"> <li>• logistics, planning, and correspondence records for routine conferences and events;</li> <li>• correspondence and records on speakers and speaking engagements, including biographies; and</li> <li>• case files and databases of public comments (related to public affairs activities only).</li> </ul>	DAA-GRS- 2016-0005- 0001 <b>(GRS 6.4, item 010)</b>	<b>TEMPORARY.</b> Destroy when 3 years old, or no longer needed, whichever is later.
507-02	Public Correspondence and Communications	Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:	DAA-GRS- 2016-0005-0002 <b>(GRS 6.4, item 020)</b>	<b>TEMPORARY.</b> Destroy when 90 days old, but longer retention is authorized if

	<p>not Requiring Formal Action.</p>	<ul style="list-style-type: none"> <li>• comments the agency receives but does not act upon or that do not require a response, such as: <ul style="list-style-type: none"> <li>o write-in campaigns;</li> <li>o personal opinions on current events or personal experiences;</li> <li>o routine complaints or commendations o anonymous communications;</li> <li>o suggestion box comments;</li> <li>o public correspondence addressed to another entity and copied to the agency or that the agency receives in error; and</li> <li>o comments posted by the public on an agency website that do not require response or that the agency does not collect for further use.</li> </ul> </li> <li>• communications from the public that the agency responds to but takes no formal action on</li> <li>• agency postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the agency also captures the posting.</li> </ul> <p><b>Note 1:</b> For requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research, use GRS 4.2, item 010.</p> <p><b>Note 2:</b> The agency must schedule any correspondence or communications with the public not described in this GRS, which includes that of high-level officials.</p>		<p>required for business use.</p>
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		<p><b>Exclusion 1:</b> Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.</p> <p><b>Exclusion 2:</b> Public comments that the agency takes action on or uses to take action are not covered by this GRS.</p>		
507-03	Public Affairs Product Production Files.	<p>Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences and other public outreach materials, including but not limited to:</p> <ul style="list-style-type: none"> <li>• news clippings;</li> <li>• marketing research;</li> <li>• copies of records used for reference in preparing products;</li> <li>• research notes;</li> <li>• printers galleys;</li> <li>• drafts and working copies (see Exclusion 3);</li> <li>• preparatory or preliminary artwork or graphics;</li> <li>• bibliographies, checklists, and indexes of agency; publications and releases (see Exclusion 4); and</li> <li>• clearances related to release of products (see Exclusion 5 and 6).</li> </ul> <p><b>Note 1:</b> <i>Now-obsolete forms of printing production materials (e.g., line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during Intermediate stages of publication that</i></p>	DAA-GRS- 2016-0005- 0003 <b>(GRS 6.4, item 030)</b>	<b>TEMPORARY.</b> Destroy when no longer needed for business use.

		<p><i>may be found in older project files are temporary under this item.</i></p> <p><b>Note 2:</b> <i>Agencies must offer any cartographic and aerial photographic records created before January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority. <b>NEW</b></i></p> <p><b>Exclusion 1:</b> Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference and public outreach materials. The agency must schedule these records on an agency-specific schedule.</p> <p><b>Exclusion 2:</b> This item does not include unique collections of records or original materials (such as interviews or oral histories) the agency assembles for research or final product development purposes. These records may have permanent value and the agency should schedule them on an agency-specific schedule.</p> <p><b>Exclusion 3:</b> This item does not include working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations.</p> <p><b>Exclusion 4:</b> This item does not include bibliographies, checklists or indexes relating to records scheduled as permanent, such as permanent publications.</p>		
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507-04	Routine Media Relations Records.	<p>Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:</p> <ul style="list-style-type: none"> <li>• requests and responses for interviews</li> <li>• requests and responses for information or assistance for media stories</li> <li>• daily or spot news recordings or videos available to local radio and TV stations</li> <li>• notices or announcements of media events</li> <li>• public service announcements</li> <li>• copies or articles created by the agency for publication in news media</li> </ul> <p><b>Exclusion:</b> Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item and must be scheduled by the agency on an agency-specific schedule.</p>	DAA-GRS- 2016-0005- 0004 <b>(GRS 6.4, item 040)</b>	<b>TEMPORARY.</b> Destroy when no longer needed for business use.
507-05	Routine Audiovisual Records.	Photographs or audiovisual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the agency. Also included are production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.	DAA-GRS- 2016-0005- 0006 <b>(GRS 6.4, item 050)</b>	<b>TEMPORARY.</b> Destroy when 2 years old but longer retention is authorized if required for business use.

		<b>Note:</b> Any instances of the now-obsolete form, viewgraphs, found in older audiovisual files are also temporary under this item.		
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