

(Revised and Reformatted on 06/2016)

NOAA Records Schedules
Chapter 1800 – Ocean and Marine Technology Functional Files

This chapter deals with program related to ocean and marine technology promotion, evaluation, and information. The first subfunction 1802 Ocean and Marine Engineering Files; 1803 Marine Technology Evaluation and Calibration Files; 1804 National Data Buoy System Files; 1805 Manned Undersea Science and Technology Files; 1806 Reserved; and 1807 Fishery Gear and Techniques Promotion and Evaluation Files.

This Chapter does not include records created, maintained and used in OMAO that are covered in Chapter 100, Enterprise Wide Functions; Chapter 200, Administrative and Housekeeping; and Chapter 1200, Scientific Research Records.

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Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1802	Ocean and Marine Engineering Files.	These files pertain to the planning, development, and management of engineering activities for oceanographic and marine system.		
1802-01	System Development and Acquisition Files.	Documents pertaining to the development or acquisition of new systems. Includes related plans, design studies, specifications, standard, and tests. Any technical case files documenting actual research and development conducted on a system should be filed under 1200-01.	N1-370-00-005 (4/18/02)	TEMPORARY. Follow disposition for 1602-18.
1802-02	Inter-Laboratory Calibration Program Files.	Documents relating to the testing of all NOAA calibration settings on oceanographic instruments setting on oceanographic instruments to assure quality and intercomparability of calibrations; and to ascertain the quality and capability of non-NOAA calibration facilities.	N1-370-00-005 (4/18/02)	TEMPORARY. Follow disposition for 1602-19.
1802-03	International Cooperative Programs Files.	<p>Documents maintained to support and ensure data intercomparability in international cooperative programs.</p> <p>NOTE: A copy of copy of agreements, memorandums of understanding, or other similar agreement may be maintained in these files. However, this series of records relates to the administration and management of the project, and is usually maintained separately from the official record copy of International Agreement files listed in 600-04, International Agreement Files.</p>	Item 600-03, N1-370-90-002, International Project Files. (4/3/90)	TEMPORARY. Break files annually at the close of the project and transfer to the Federal Records Center when 5 years old. Destroy when 10 years old.
1802-04	Instrument Manufacturing	Documents relating to standards and procedures for contract research and development prior to manufacturing instruments.	N1-370-00-005 (4/18/02)	TEMPORARY. Follow disposition for 1602-18.

	Standards Files.			
1802-05	Quality Assurance Procedure Files.	Documents pertaining to the establishment of procedures, techniques, and standards for assuring the quality of products produced.		
		a. Standards:	N1-370-00-003 (4/25/02)	PERMANENT. Cut off as new standards are created, then retire to a records storage facility. Transfer to NARA 5 years after cut off.
		b. Working files for the creation of standards:	N1-370-00-003 (4/25/02)	TEMPORARY. Destroy three years after creation of related standard.
1802-06	System Review and Requirement Files.	Documents relating to the review of existing systems to determine whether improvements or replacements are needed; and other documents that relate to the identification of system requirements. Documents relating to the need for a specific system may be filed in 1802-01 with the system case file if one is created.	N1-370-04-004 (1-3-05)	TEMPORARY. Follow disposition for 1601-03.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1803	Marine Technology Evaluation and Calibration Files.	These files relate to the testing, evaluation, and calibration of sensing system for ocean use, and to making operational results and technical information available to the national oceanographic community.		
1803-01	Bottom Camera Current Meter System Files.	Photographs and measurements of current velocity, direction, and temperature used to analyze sediment transportation.	370-75-004, item 147 (12-2-75)	TEMPORARY. Cut off at end of calendar year when created. Files necessary for succeeding projects may be transferred to that project's files. Destroy 3 years later.
1803-02	Design Review Report Files.	Justifications for engineering design.	370-75-004, item 148 (12-2-75)	TEMPORARY. Cut off after completion, termination, or cancellation of project. Destroy 7 years later.
1803-03	Contract Files.	Contracts with various industry laboratories, other government agencies, etc., regarding continuation or completion of projects.	370-75-004, item 149 (12-2-75)	TEMPORARY. Cut off after close of contract. Destroy 7 years later.
1803-04	Field Electronics Support Program Files.	Specific data requirements that are translated into subsystem performance specification.	370-75-004, item 151 (12-2-75)	TEMPORARY. Cut off after completion of project. Destroy 3 years later.
1803-05	Error Analysis Files.	Documentation of major and minor failures in engineering	370-75-004, item 154	TEMPORARY. Cut off

		systems.	(12-2-75)	after completion of project. Destroy 3 years later.
1803-06	Calibration Data Analysis Files.	Files created to record standards and items of test and measurements.	370-75-004, item 157 (12-2-75)	TEMPORARY. Destroy when obsolete or superseded.
1803-07	Instrument Fact Sheet Files.	Publication issued periodically to acquaint users of oceanographic instruments with technical results of engineering evaluations conducted by the National Oceanographic Instrumentation Center.	370-75-004, item 158 (12-2-75)	TEMPORARY. Destroy when obsolete or superseded.
1803-08	Experimental Model Shop Requests Files.	Testing and evaluation of oceanographic sensing systems, summary of results and technical information.	370-75-004, item 159 (12-2-75)	TEMPORARY. Cut off at end of calendar year when created, hold one year inactive, then destroy in current files area one year later.
1803-09	Interocean Water Quality System Files.	Evaluation of instrumentation by other government organizations or private industry.	370-75-004, item 160 (12-2-75)	TEMPORARY. Destroy when superseded or obsolete.
1803-10	Station Oceanographic Measurement Subsystem Files.	Measurement from sensors and deck equipment for digital recording depth, temperature, salinity sound velocity and ambient light.	370-75-004, item 162 (12-2-75)	TEMPORARY. Cut off at end of calendar year when created. Files necessary for succeeding projects may be transferred to that project's file. Destroy 6 years later.
1803-11	Cooperative Marine Monitoring Programs Files.	Recommendations for approval of funding of various program for the monitoring and assessment of the environment, agreements for program objectives and advisory boards.	370-75-004, item 164 (12-2-75)	TEMPORARY. Destroy when superseded or obsolete.
1803-12	Engineering Facility Files.		370-75-004, item 150 (12-2-75)	

1803-13	Engineering Proposal Files.	Schedule, cost and alternatives for a particular program.	370-75-004, item 153 (12-2-75)	TEMPORARY. Destroy when 6 years old. (Files necessary for succeeding project may be transferred to that project file).
1803-14	System Engineering Analysis Files.		370-75-004, item 152 (12-2-75)	TEMPORARY.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1804	National Data Buoy System Files	These files relate to planned scientific and engineering developmental projects pertaining to data buoys.		
1804-01	Sensors and Sensor System Files.	<p><i>(Superseded by Item 1301-05 of N1-370-04-003, 4/22/05, Sensors and Equipment Project Case Files.)</i></p> <p>Mission- and program-specific projects conducted, sponsored or funded by NWS. They are created and maintained by program and staff offices along with any groups associated with specific scientific and technical projects. Information pertaining to the project's history from inception to completion is included, serving as a means to recreate or verify methodologies, practices, procedures, findings, results and reports.</p> <p>Projects generating studies or research regarding new technology development, enhancement of existing equipment and findings for new options to help reduce bias that can skew observations or data collection. This takes into account the exploration of environmental-based factors (upper air, radiosonde, lightening), and the value they bring to NWS programs. Examples include: Sensor/Climate Data Continuity Study.</p> <p>A typical file contains, but is not limited to: correspondence; memoranda; e-mail; copies of contracts and other requests for services, such as, grants or cooperative agreements; technical papers;</p>	N1-370-04-003 (4/22/05)	

		plans; drawings; specifications; draft and final standards; scientific and technical data not being held by NCDC or stored in other NWS-approved electronic information systems; statistical and data analyses; results; tables; charts; graphs; computer output and data; progress reports; photographs and negatives; indices or finding aides; notes and working papers; studies and journal articles; other records and reports documenting progress and completion.		
		a. Project management/administrative functional files:	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy five years after project is completed. Transfer inactive files to the Federal Records Center based on volume.
		b. Working and background files:	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy closed files when no longer needed for administrative, research or scientific use, or after three years, whichever is later.
		c. Raw data (information received but not yet processed)	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy when data are processed and changed into usable

				information.
		d. Electronic copies created on word processing and electronic mail systems:	N1-370-04-003 (4/22/05)	TEMPORARY. Delete after record keeping copy is produced.
1804-02	Buoy Data Processing Systems Files.	(Superseded by 1304-06, Systems Change and Configuration Management Project Case Files.) Documents relating to on-board buoy data processing and computer control systems, and on-shore control and display systems for retrieval, analysis, quality control testing, storage, and dissemination engineering and environmental data.	N1-370-04-003 (4/22/05)	
		a. Project management/Administrative Functional Files:	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy five years after project IS completed. Transfer inactive files to the Federal Records Center based on volume.
		b. Working and Background Files:	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy closed files when no longer needed for administrative, research or scientific use, or after three years, whichever is later.
		c. Raw data (information received but not yet processed):	N1-370-04-003 (4/22/05)	TEMPORARY. Destroy when data are processed and changed into usable

				information.
		d. Electronic copies created on word processing and electronic mail systems:		TEMPORARY. Delete after recordkeeping copy is produced.
1804-03	High Frequency Satellite Communication Systems Files.	<p><i>(This file was superseded by 1305-18, High Frequency Satellite Communication Systems Files, N1-370-03-005, 4/21/04.)</i></p> <p>Documents relating to high frequency and satellite communication systems intended for use at stations and with other data collection systems, such as buoy payloads on ocean platforms.</p> <p>Note: Case file relating to the research and development of possible communication systems should be filed in Function 1200.</p>	N1-370-03-005 (4/21/04)	TEMPORARY. Cut off when project is completed, station or system is retired, or replaced. Destroy 10 years after cutoff.
		a. Paper:	N1-370-03-005 (4/21/04)	TEMPORARY. Cut off when project is completed, station or system is retired or replaced. Destroy 10 years after cutoff.
		b. Electronic copies created on word processing and electronic mail systems:	N1-370-03-005 (4/21/04)	TEMPORARY. Delete after recordkeeping copy is produced.
1804-04	Buoy Development and Specification Files.	<p><i>(Superseded by 1301-21, Site and Equipment Development Files. Apply authorized disposition for the above file.)</i></p> <p>Site survey, drawings, engineering analyses and other related materials used in the construction, upgrade</p>	N1-370-04-003 (4/22/05)	

		<p>and maintenance of communication, telecommunication and hardware used throughout NWS. This information is provided to Procurement in assisting with the development of requests for proposals and contract negotiations that can be used as approved work plans.</p> <p>Records include information and specifications for , mooring, platforms, structures, and power systems, drawings produced manually or by computer assisted drafting equipment, and engineering drawing packages used for site acceptance, repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or readily segregable from a larger file.</p>		
		a. Recordkeeping copy:		<p>TEMPORARY. Destroy or delete five years after being replaced by new equipment or facilities.</p>
		b. Reference copies:		<p>TEMPORARY. Destroy when no longer needed for administrative or reference purposes, or after one year,</p>

				whichever is later.
1804-05	Buoy Prediction, Evaluation, and Modification Files.	<i>(Replaced by Item 1305-12, Equipment Testing Files, of N1-370-03-005.)</i> Documents relating to the system and operational testing of new or modified equipment (including hardware and software) leading to implementation throughout the National Weather Service or within a specific organization. Files include test plans, reports, evaluation of test results and meeting minutes.	N1-370-03-005 (4/21/04)	
		a. Recordkeeping Copy:	N1-370-03-005 (4/21/04)	TEMPORARY. Cut off when equipment is retired or replaced; Destroy 10 years after cut off.
		b. Electronic copies created on word processing and electronic mail systems:	N1-370-03-005 (4/21/04)	TEMPORARY. Delete after recordkeeping copy is produced.
1804-06	Buoy Operations Files.	Documents relating to the deployment, servicing, testing, and retrieval of buoy systems.	N1-370-03-005 (4/21/04)	TEMPORARY. Use disposition for 1804-05 above.
1804-07	Applied Research Projects Files.	<i>(1301-09 Research and Development Project Case Files and 1804-07 Applied Research Projects Files superseded. Apply authorized dispositions for Project Case Files - 1200-01)</i> Documents including measurement comparison experiments, error analyses, and natural variability of specific environments. Results used to define new sensor development and to determine the most	Item 1200-01 of N1-370-90-002 (6/9/95)	

		effective mix of buoys and sensors in buoys.		
		a. Accepted Project Case Files:	Item 1200-01a of N1-370-90-002 (6/9/95)	PERMANENT. Break closed files annually and transfer to the Federal Records Center. Transfer to the National Archives when 30 years old.
		b. Nonselected Project Case Files:	Item 1200-01b of N1-370-90-002 (6/9/95)	TEMPORARY. Break closed files annually and remove duplicate copies and unnecessary nonrecord.

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1805	Manned Undersea Science and Technology (MUST) Files.	These files related to the operation of the Manned Undersea Science and Technology Program.		
1805-01	Grant for Research and Operations Files.	Case files on awarded grants and proposals for grants. Also necessary supporting documents.		
		a. Case file for accepted proposals:	NC1-370-76-05, item 17a. (8/6/76)	TEMPORARY. Destroy 15 years after close of grant. Cut off at close of grant, hold one year inactive, then transfer to WNRC.
		b. Record copy of final report resulting from grant:	NC1-370-76-05, item 17b. (8/6/76)	PERMANENT. Transfer when no longer needed for business to the WNRC. Offer to National Archives when 20 years old.
		c. Rejected proposals for grants:	NC1-370-76-05, item 17c. (8/6/76)	TEMPORARY. Destroy when 5 years old.
1805-02	NOAA Diving Program Operational Files.	Documents relating to the development of operational plans and standards for divers. Cut off at end of calendar year when created.	NC-370-76-005, item 18b of NOAA Corps Records (8/6/76)	TEMPORARY. Destroy when 5 years old.
1805-03	Diving Manual and	The original file copy of all NOAA directives, bulletins,		

	Handbooks Files.	organization manuals and charts, functional statements, and similar administrative issuance and manuals.		
		(Supersedes NC1-30-76-05, item 18a) a. Official Record Set:	N1-370-90-002, item 100-03a (6/9/95)	PERMANENT. Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.
		b. Duplicate copies of NOAA directives, bulletins, organization charts, mission and functional statements, issuances, and administrative manuals maintained outside of the NOAA Office of Administration.	N1-370-90-002, item 100-03b (6/9/95)	TEMPORARY. Destroy when superseded or when no longer needed for current agency business.
		c. Working papers and background materials. Files containing a record of concurrence, comments, clearances, justifications, and other background notes or issuance history records for all agency directives, administrative issuances, internal and external reorganization proposals, and bulletins.	N1-370-90-002, item 100-03c (6/9/95)	PERMANENT. Break files every 5 years and transfer to the Federal Records Center. Transfer to the National Archives when 20 years old.
1805-04	Special Diving Studies Files.	Documents relating to diving and the effects of diving.	NC1-370-76-05, item 18c. (8/6/76)	PERMANENT. Transfer to WNRC when no longer needed. Hold 5 years then offer to National Archives.

1805-05	NOAA Diving Reports Files.	Containing summary of NOAA diving activities and reports from the NOAA Safety Board meetings. The latter contain policy recommendations.	NC1-370-76-05, item 18d. (8/6/76)	PERMANENT. Transfer to WNRC when no longer needed. Offer to National Archives when 15 years old.
1805-06	Submersible Program Files.	Documents relating to research submersibles, ocean floor habitats, and surface support equipment for implementing insitu investigation.	NC1-370-76-05, item 20. (8/6/76)	TEMPORARY. Cut off after related submersible is scrapped. Destroy 5 years later.
1805-07	Symposia and Conference (MUST sponsored) Files.	Documents relating to symposia and conferences conducted on manned undersea science and technology programs.		
		a. Agendas, by-laws, and other records pertaining to operations and plans.	NC1-370-76-05, item 19a. (8/6/76)	TEMPORARY. Destroy when 8 years old. Cut off at end of calendar year, transfer to WNRC when no longer needed.
		b. Published reports resulting from sessions and related to MUST activities.	NC1-370-76-05, item 19b. (8/6/76)	PERMANENT. Cut off at end of calendar year when created. When no longer needed for agency business, transfer to WNRC. Offer to National Archives when 20 years old.
1805-08	Photographs and Motion Pictures for	<i>(Supersedes Item 21a and 21b of NC1-370-76-005, 8/6/76.)</i>		Use disposition instructions for subfunction 100-6 and

	MUST Programs.	Photographs and motion pictures made to support specific projects related to ocean dumping, fishery research, sea floor surveys, etc.		100-8).
		a. Original or master negatives, slides, or photographic prints:	N1-370-90-002 (6/9/95)	PERMANENT. Use disposition instructions for subfunction 100-6a and 100-8a).
		b. Routine photographs, negative and slides:	N1-370-90-002 (6/9/95)	TEMPORARY. Use disposition instructions for subfunction 100-6b and 100-8b).
1805-09	Undersea Facility Operations Files.	Requests relating to the rental, lease, use, or participation in use of undersea facilities. Includes operations plans, reviews, clearances, and approval/disapprovals.	N1-370-90-002, Item 1200-03 (6/9/95)	TEMPORARY. Destroy when no longer needed for current agency business.
1805-10	NDC Diver Training and Certification System.	Training requirements for certification as a NOAA scientific diver within the NOAA Diving Program.	N1-370-08-001 (11-12-08)	
		1. Database: These records are collected on individual divers by the NOAA Diving Center to track and verify diver certification. Records include training attended; test performance; test results; logs on dives performed; diver equipment status reports; and medical data needed for diver certification (but not	N1-370-08-001 (11-12-08)	TEMPORARY. Records become inactive when a diver turns in his/her gear. Destroy after 75 years.

		<p>medical records -those are maintained by the diver's physician and/or office).</p> <p>NOTE: If diver is involved in serious accident or fatality, data files may become part of the Accident/Incident Investigation File.</p>		
		<p>2. Intermediary records.</p> <p>Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:</p> <ul style="list-style-type: none"> • non-substantive working files: collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials. • audio and video recordings of meetings that 	<p>DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)</p> <p><i>Supersedes NOAA Schedule Items:</i></p> <p>1805-10, item 2. Input, through 1805-10, item 3, Reports. Previously approved under:</p> <p>GRS 4.3, item 010; GRS 4.3, item 011; GRS 4.3, item 012; GRS 4.3, item 020; GRS 4.3, item 030; and GRS 4.3, item 031.</p>	<p>TEMPORARY. Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.</p>

		<p>have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created)</p> <ul style="list-style-type: none">• dictation recordings• input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction:<ul style="list-style-type: none">○ hardcopy input source documents where all information on the document is incorporated in an electronic system (See Exclusion 1 and Note 1)○ electronic input source records such as transaction files or intermediate input/output files• ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report• data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2) <p>Exclusion 1: This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the agency must submit a schedule for them.</p>		
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		<p>Exclusion 2: This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which the GRS covers in another schedule):</p> <ul style="list-style-type: none">• files created only for public access purposes• summarized information from unscheduled electronic records or inaccessible permanent records• data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original• data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under GRS 4.2, item 130 (DAA-GRS-2013-0007-0012) <p>Note 1: An agency must submit a notification to NARA per 36 CFR 1225.24(a)(1) prior to destroying hardcopy input records previously scheduled as permanent. An agency must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.</p> <p>Legal citations: 36 CFR 1225.22 (h)(2); 36 CFR 1225.24 (a)(1)</p>		
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1805-11	Diver Case File.	A paper case file record is established for each individual diver containing training records, certifications, Letters of Reciprocity, medical records and CPR, First Aid and Oxygen Administration, Individual's Dive Logs, and a variety of mandatory forms. Required long term for business function purposes and to comply with multiple legal mandates and agency requirements, i.e. Occupational Safety and Health Administration (OSHA) 29 CFR 1910 Subpart T, and NOAA Administrative Orders (NAO 209-123). This case file becomes inactive as divers leave the program, that point is when the diver turns in their equipment, and at times the case file may become active again as divers return to the program.	N1-370-09-001 (7-6-09)	
		a. Inactive File:	N1-370-09-001 (7-6-09)	TEMPORARY. Once the case file record becomes inactive (diver is inactive) it can be transferred for storage to the Federal Records Center and retained for a period of 75 years and then destroyed.
		b. Superseded Informational Forms, No Business Value:	N1-370-09-001 (7-6-09)	TEMPORARY. Retain as long as needed for business purposes, then destroy.
1806-	RESERVED			

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
1807	Fishery Gear and Techniques Promotion and Evaluation Files	These files relate to promoting new fishery gear or techniques which have been developed to increase efficiency or to reduce incidental kills, and to evaluate the effectiveness of gear and techniques when in use. The case files for research conducted in developing specific gear or techniques should be filed in Function 1200 , Research and Development files.		
1807-01	Gear Availability Files.	Documents relating to what fishery gear or techniques are available for use, what they are best used for, and their advantages or disadvantages.	N1-370-75-005, Item 63 (2/3/76)	PERMANENT. Offer to NARA when 15 years old.
1807-02	Promotional Activities Files.	Documents relating to efforts to disseminate information about available techniques and gear uses to potential users. Includes advertising or public relations projects.	N1-370-90-003 (12/9/92)	PERMANENT. Follow disposition for 1508-05.
1807-03	Demonstration Project Files.	Documents relating to arrangement for and conduct of demonstrations of new gear or techniques.	N1-370-90-003 (12/9/92)	PERMANENT. Follow disposition for 1508-05.
1807-04	Evaluation Files.	Evaluations of effects or effectiveness of gear and techniques, whether established or newly developed. Includes recommendations for additional research or engineering development into problem areas.	DAA-GRS2013-0050007 (GRS 3.2, item 011)	TEMPORARY. Follow disposition for 200-43
1807-05	General Correspondence Files.	Correspondence with potential users of development, or any other correspondence related to this subfunction and not otherwise described.	N1-370-90-002 (6/9/95)	Follow disposition for 100-11 and/or 100-12, as applicable.