



COMDTINST 5212.13A  
MAY 4 1993

COMMANDANT INSTRUCTION 5212.13A

Subj: VITAL RECORDS PROGRAM

- Ref: (a) Readiness Planning Manual, COMDTINST M3010.11, (series), VOL I Planning Systems  
(b) Continuity of Operations Plan, COMDTINST M3010.15 (series)  
(c) Security Manual, COMDTINST M5500.11 (series)

1. PURPOSE. This Instruction sets forth policies and procedures for management of the Coast Guard Vital Records (VR) Program, as required by Executive Order 12656 and 36 CFR Part 1236, "Vital Records." The Vital Records Program provides for the selection and protection of vital information required in developing an agency's emergency preparedness program. Each agency is responsible for selecting and safeguarding information useful to such plan(s).
2. ACTION. Area and district commanders; Commander, Coast Guard Activities Europe; commanding officers of Headquarters units; and chiefs of offices and special staff divisions at Headquarters shall ensure compliance with this directive.
3. DIRECTIVES AFFECTED. COMDTINST 5212.13 is cancelled.
4. DEFINITIONS. VITAL RECORDS are those documents essential for maintaining continuity of operations and activities during and following a national emergency, and those that protect the rights and interests of the Government and its citizens. The two categories include:
  - a. EMERGENCY OPERATING RECORDS (EORs). EORs are records **essential** to the functions of an agency during and immediately following a national emergency, including

natural disasters (e.g. spills of national significance); conduct of Civil and national defense; mobilization; and nuclear attack. These types of records may include directives, manuals and copies of information basic to the implementation of emergency operations. The key word is "**ESSENTIAL**." While all activities are important, only a relative few can be considered essential during an emergency. Therefore, the volume of EORs should be small in comparison with overall unit information. The immediate need for these records requires that they be in paper form to eliminate reliance on mechanical or electronic equipment. In the event that this is not feasible, microfiche may be acceptable, as its reliance on electrical sources is minimal.

- b. **RIGHTS AND INTERESTS RECORDS (RIRs)**. RIRs are records required for the preservation of the rights and interests of individual citizens and the Government. Precautions must be taken which will enable the Coast Guard (CG), in cases of emergencies, to reconstruct these records. Within the CG, original records of this nature are limited. Categories of RIRs include: records relating to retirement, payroll, leave, etc. Civilian pay records are an example of RIRs; the servicing payroll center is responsible for protecting these records. Merchant mariners licensing records are RIRs; the regional examining centers are responsible for their protection. Merchant seaman's personnel jackets are another example of RIRs; the Merchant Vessel Personnel Division is responsible for their protection. Because RIRs would not be needed immediately, it is not necessary to keep them at emergency operating sites, or solely in paper form. Instead, where practicable, copies of RIRs shall be kept at the Federal Records Center (FRC) servicing your geographic area. However, because some CG RIRs are voluminous and active (used daily), it may not be feasible to copy and/or remove the actual records from the work sites for storage at the FRC. Where this is the case, maximum precautions must be taken to protect these records at the work site.
5. **POLICY**. The Coast Guard Vital Records (VR) Program emphasizes efficiency and economy. Essential operations must be accomplished without interruption under emergency conditions and the rights and interests of citizens and the Government must be protected. Policies for administering the program are as follow:
    - a. EORs shall be identified, inventoried, collected, copied (if necessary), stored at emergency relocation/alternate sites, and made available for immediate use, to ensure continuity of operation during emergency conditions.

- b. RIRs shall be identified, inventoried, and where feasible, copied and stored at a FRC. In areas where it is not practical to copy and store RIRs at a FRC, maximum protection of the records must be provided.

6. RESPONSIBILITIES.

- a. Commandant (G-TPS) shall:

- (1) Establish policy and set forth plans and standards governing the CG VR Program.
- (2) Review and approve, in coordination with Commandant (G-REP), inventories of VRs.
- (3) Maintain copies of approved VR inventories.

- b. Area and district commanders; Commander, CG Activities Europe; commanding officers of Headquarters units; and chiefs of offices and special staff divisions at Headquarters shall:

- (1) Identify EORs and RIRs for those records under their purview, using the criteria set forth in paragraph 4.
- (2) Ensure that vital records are inventoried. Separate inventories for EORs and RIRs are required.
- (3) Ensure that all EORs noted on inventories are sent to alternate/emergency relocation sites. Sites are listed in area, district and Headquarters continuity of operations plans. (For general information on these plans, see references (a) and (b)).
- (4) Ensure that all RIRs noted on inventories are afforded maximum protection and, where practical, copied and sent to a FRC. Maximum protection at the work site includes, but is not limited to: smoke detectors; sprinkler systems; burglar alarms (if records are in a non-secure area); temperature control; and a clean work environment.
- (5) Ensure that emergency relocation sites are included on the distribution for all publications and directives recognized as EORs.
- (6) Submit inventories to G-TPS-2 NLT 120 days from date of this Instruction and send changes annually thereafter on the anniversary of the 93 submission. Cite the Reports Control Number, RCN 5212-1

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7. ASSEMBLING AND PACKING VRs. To ensure uniformity throughout the CG, VRs shall be packed and shipped using the following procedures:
  - a. Upon completion of the inventory, organize records in the order noted on the inventory. Records from different series or organizational elements shall not be placed in the same folder/envelope. Clearly mark the folder/ envelope for easy identification (ID); each ID should include the label "VITAL RECORDS".
  - b. Pack documents in appropriate containers (see paragraph 8) just tight enough so that withdrawal can be made with ease. Face all documents in the same direction. A copy of the inventory must accompany all records sent to the sites.
    - (1) Number each container consecutively. (A replacement container must be assigned the number as the container it is replacing.)
    - (2) Mark each container "VITAL RECORDS", along with identifying information, including the container number, organizational element, series, title, and date of transfer. Replacement records must include clear replacement instructions, as well as any necessary disposition information.
    - (3) Ship or deliver records to appropriate alternate sites. Classified documents shall be shipped in accordance with reference (c).
    - (4) When judged practical to copy and store RIRs at a FRC, use the local FRC and include the SF 135, "Records Transmittal and Receipt", for the initial transfer of RIRs to FRCs.
    - (5) In the event that paper copies are not available, pack and store computer or magnetic tapes on edge (reels to be inserted parallel to box ends) in the standard magnetic tape box, with cushioning or padded paper to prevent shifting of contents. Plastic containers that support the reel at the hub are required.
    - (6) The transfer of over-sized maps, charts, and other off-size items requires prior approval from the records center's director.
8. SHIPPING RIRs to FRCs. Use Standard Form 135, "Records Transmittal and Receipt" and SF 135A, "Continuation", (the original and two copies and a copy of the inventory) to transmit initial shipments of these VRs at least four weeks prior to transfer of the containers. The records center

will assign an accession number to the shipment on the SF 135 and return it to the office authorizing transfer of the records. Upon receipt of the returned SF 135, the agency must send the records to the FRC within 60 days. Once the shipment is received at the records center, the SF 135 will be signed, dated, annotated with the location number of the accession and returned to the sender for future reference. Any further correspondence with a records center concerning specific records, i.e. replacement instructions, shall be accomplished on CG letterhead stationery and must reference both the accession and location numbers noted on the original SF 135.

9. SHIPPING BOXES. The following standard size shipping boxes must be used for shipping records. Classified VRs shall be transported in accordance with reference (c).

Federal Stock No.	Description
8115-00-117-8344	14-3/4 x 12 x 9 -1/2 Box, Record (standard)
8115-00-117-8249	14-3/4 x 12 x 9 1/2 Box, Record (easy to use)
8115-00-117-8347	14-3/4 x 11 3/4 x 11 3/4 Box, Computer or Magnetic Tape
8115-01-132-1932	6 1/2 x 4 1/2 x 14 3/4 Box, Microfiche

10. REPORTS/FORMS. RCN 5212-1 applies. Forms required for use by this Instruction may be ordered from Supply Center Brooklyn as follows: SF 135, Records Transmittal & Receipt/Stock No. 754-00-634-4093; SF 135A, Continuation Sheet/Stock No. 7540-00-823-7952; CG Form 4187, Vital Records Listing, (authorized for local reproduction).

R. E. HAMMOND  
Acting Chief, Office of Command,  
Control and Communications

- Encl: (1) Example, CG-4187, Emergency Operating Records  
(2) Example, CG-4187, Rights and Interests Records  
(3) Blank CG-4187, for use in reproduction  
(4) SF 135

DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-4187 (Rev. 6-86)		VITAL RECORDS LISTING EMERGENCY OPERATING RECORDS		<input type="checkbox"/> INVENTORY <input type="checkbox"/> SHIPMENT					
OFFICE G-T		DIVISION G-TTM		OFFICE/DIVISION SYMBOL G-TTM					
OFFICE CODE	CLASSIFI- CATION	ITEM IDENTIFICATION (Name, subject, form no., reports control symbol, recording medium, etc.)	MAINT.	SITE CODE					
G-T	C	Secure Telecommunications Plan (SCTP) (U) CIM 2000.5A 08/12/86	*	FEMA, DOD, or State site					
G-T	U	Telecommunications Plan CIM 2000.4A 04/20/88	**						
<p>(NOTE: These are examples of types of EORs. The list is by no means complete, or necessarily representative of any one office's records.)</p> <p>** maintain until superseded</p>									
<p>*MAINTENANCE (Insert opposite title of record, the applicable number(s) of the instruction(s) and/or information below.)</p> <table border="0"> <tr> <td> <p>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol> </td> <td> <p>THIS MATERIAL SHOULD BE:</p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol> </td> </tr> <tr> <td> <p>ORIGINAL SHIPMENT</p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol> </td> <td></td> </tr> </table>						<p>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol>	<p>THIS MATERIAL SHOULD BE:</p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol>	<p>ORIGINAL SHIPMENT</p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol>	
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<p>ORIGINAL SHIPMENT</p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol>									
DATE 19 APR 93		SIGNATURE OF V.R. REPRESENTATIVE FOR OFFICE sign							

Encl: (2) to COMDTINST 5212.13A

DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-4187 (Rev. 6-86)		VITAL RECORDS LISTING RIGHTS AND INTERESTS RECORDS		<input type="checkbox"/> INVENTORY		
OFFICE G-P		DIVISION G-PIM		OFFICE/DIVISION SYMBOL G-PIM		
OFFICE CODE	CLASSIFI- CATION	ITEM IDENTIFICATION (Name, subject, form no., reports control symbol, recording medium, etc.)	MAINT.	SITE CODE		
G-P	U	Service-wide appropriations and allotment status reports (computer printout for first quarter FY XX)	XX	closest FRC		
G-P	U	Military Personnel Accounting System (JUMPS)	XX	closest FRC		
<p>(NOTE: These are examples of records that may be considered RIRs. This list is by no means complete, or necessarily representative of any one office.)</p> <p>XXmaintain until superseded</p>						
<p>*MAINTENANCE (Insert opposite title of record, the applicable number(s) of the instruction(s) and/or information below.)</p> <table border="0"> <tr> <td> <p>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol> <p>ORIGINAL SHIPMENT</p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol> </td> <td> <p>THIS MATERIAL SHOULD BE:</p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol> </td> </tr> </table>					<p>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol> <p>ORIGINAL SHIPMENT</p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol>	<p>THIS MATERIAL SHOULD BE:</p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol>
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DATE 19 APR 93		SIGNATURE OF V.R. REPRESENTATIVE FOR OFFICE sign				

Encl: (3) to COMDTINST 5212.13A

DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-4187 (Rev. 6-86)		<b>VITAL RECORDS LISTING</b>		<input type="checkbox"/> INVENTORY <input type="checkbox"/> SHIPMENT			
OFFICE			DIVISION		OFFICE/DIVISION SYMBOL		
OFFICE CODE	CLASSIFI- CATION	ITEM IDENTIFICATION ( <i>Name, subject, form no., reports control symbol, recording medium, etc.</i> )		MAINT.	SITE CODE		
<p>*MAINTENANCE (Insert opposite title of record, the applicable number(s) of the instruction(s) and/or information below.)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><b>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</b></p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol> <p><b>ORIGINAL SHIPMENT</b></p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol> </td> <td style="width: 50%; vertical-align: top;"> <p><b>THIS MATERIAL SHOULD BE:</b></p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol> </td> </tr> </table>						<p><b>PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:</b></p> <ol style="list-style-type: none"> <li>1. Updated by adding this material.</li> <li>2. Disposed of and this substituted.</li> <li>3. Returned to sender for updating.</li> </ol> <p><b>ORIGINAL SHIPMENT</b></p> <ol style="list-style-type: none"> <li>4. No previous material of this type. Add to inventory.</li> </ol>	<p><b>THIS MATERIAL SHOULD BE:</b></p> <ol style="list-style-type: none"> <li>5. Retained indefinitely.</li> <li>6. Amended, added to, and corrected by following shipment.</li> <li>7. Stored without amendment.</li> <li>8. Disposed of when superseding item is received.</li> <li>9. Disposed of after _____</li> </ol>
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DATE		SIGNATURE OF V.R. REPRESENTATIVE FOR OFFICE					

**TRANSMITTAL AND RECEIPT** Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. **PAGE 1 OF PAGES**

Update the address for the appropriate records center serving your area.  
 Federal Archives and Records Center  
 General Services Administration

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

REFERRING AGENCY OFFICIAL (Signature and title) DATE

REFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

ORDERS RECEIVED BY (Signature and title) DATE

Field lines

**RECORDS DATA**

SERIES DESCRIPTION (With inclusive dates of records)	AGENCY BOX NUMBERS (e)	VOLUME (sq. ft.) (d)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER		
						LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l) (m)

Encl: (4) to COMDTINST 5212.13A

## INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

### FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

*Col.*

*Accession Number.* A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.

(e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use—witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

(h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

### FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

*Col.*

(j) *Location.* The records center annotates the shelf location of the first carton for each series of records.

(k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(m) *Automatic Disposal.* The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.