



COMDTNOTE 16000

31 JULY 2003

COMMANDANT NOTICE 16000

CANCELLED: 30 JULY 2004

Subj: CH-13 TO MARINE SAFETY MANUAL, VOLUME I, ADMINISTRATION AND
MANAGEMENT, COMDTINST M16000.6

1. PURPOSE. This Notice provides changes to the subject Manual for the information, use and guidance of Coast Guard personnel assigned to marine safety duties.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, and commanders of Headquarters units shall ensure compliance with the provisions of this Notice.
3. SUMMARY OF CHANGES. The enclosed Chapter 12, Information and Data Systems, cancels the existing chapter and provides updated information on all information and data systems related to the marine safety program.
4. PROCEDURES. Remove and insert the following pages:

Remove

Insert

CONTENTS III-IV, CH-7

CONTENTS III-IV, CH-13

12-i through 12-60 CH-11

12-i through 12-34, CH-13

5. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this directive and have been determined to be not applicable.

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NON-STANDARD DISTRIBUTION: (See page 2.)

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6. FORMS/REPORTS. None.

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Assistant Commandant for Marine Safety,
Security and Environmental Protection

Encl: (1) CH-13 to COMDTINST M16000.6

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D:k New York (3); Jacksonville, New Orleans, Houston, San Francisco (1) (extra).
D:1 CG Liaison Officer MILSEALIFTCOMD (Code N-CG7), CG Liaison Officer RSPA (DHM-
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Bogotá; CG Liaison World Maritime University, CG Liaison Officer ABS (1).

ABS (8).

DOJ Torts Branch (Washington, DC; New York; San Francisco only) (1).

MARAD (MRG 4700) (1).

MSC (M-24) (1).

NOAA Fleet Inspection Officer (1).

NTSB (Marine Accident Division) (2).

World Maritime University (2).

U.S. Merchant Marine Academy, Kings Point, NY (1).

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CHAPTER 12. INFORMATION AND DATA SYSTEMS

- A. Purpose and Responsibilities. Information systems are vital to our ability to do our jobs. They make the right information available to our decision makers at the right time. Without them we could not properly measure our performance or assess risks as required by the Commandant (G-M) Business Plan. They are also very resource intensive and the technology for IRM is changing rapidly. Consequently, sound management is required to capture and make available the necessary information at the least cost. This chapter provides policies applicable to Commandant (G-M) information systems. The Commandant (G-M) information system management responsibilities are described below.
1. Commandant (G-MRI). The Office of Information Resources, under the supervision of the Director for Resource Management, Commandant (G-MR), is responsible for the overall management of Marine Safety, Security and Environmental Protection (Commandant (G-M)) information resources. These responsibilities include:
 - a. Plan, organize, direct, promote, control and manage activities and resources associated with the collection, creation, use, and dissemination of information.
 - b. Develop, operate, maintain and support information systems in order to satisfy the overall Commandant (G-M) needs.
 - c. Implement statutory and regulatory requirements for carrying out information management activities.
 - d. Coordinate all projects, studies and procurements requiring Information Resource Management (IRM) or IRM related services.
 - e. Promulgate Commandant (G-M) IRM policies, procedures and responsibilities to ensure that information resources are used effectively, efficiently and economically in support of Office missions.
 - f. Evaluate the data contained within the major Commandant (G-M) information systems in order to improve its accuracy, completeness, and reliability.
 - g. Assist customers in determining cost-effective uses of information technology to better perform their missions.
 - h. Represent Commandant (G-M) on Coast Guard IRM councils, committees, and task forces.
 - i. Actively involve all information users in the development and management of information systems.

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2. Other Commandant (G-M) Offices. Each Commandant (G-M) office is responsible for informing Commandant (G-MRI) of their information needs. There is one center for data analysis in each Commandant (G-M) directorate. These centers are responsible for coordinating the information and analysis needs for their respective directorate. The office information management responsibilities are as follows:
 - a. **G-MOA** G-MO analysis center; Marine casualty and pollution investigation data; pre-adjudication marine violation data.
 - b. **G-MOC** Vessel inspection, port safety, and facilities data.
 - c. **G-MOR** Marine pollution incident and response planning.
 - d. **G-MW** Waterway management data.
 - e. **G-MRP** G-MR analysis center; Commandant (G-M) Business Plan data.
 - f. **G-MSE** Vessel design and engineering standards and equipment approvals.
 - g. **G-MSO** Hazardous materials, maritime personnel, operating and environmental standards data.
 - h. **G-MSR** G-MS analysis center; regulatory evaluation data.
 - i. **G-MP** Port and vessel security data.
 - j. **NMC** Merchant mariner licensing and documentation data, and vessel documentation data.
 - k. **MSC** Plan review of vessels and system designs, and equipment approvals.
3. Commandant (CG-6). Commandant (CG-6) is responsible for overall management of Coast Guard information resources. They set Coast Guard wide policies and standards for information systems. They also provide for standard information management equipment such as the Coast Guard standard workstation and communications links such as the Coast Guard Data Network.
4. Commandant (G-LMI). Commandant (G-LMI) is responsible for the oversight of the Hearing Officer Program and Hearing Office use of any electronic case tracking system, including the Marine Violation portion of MISLE. They are responsible for the release of MISLE marine violation data when adjudication has occurred.
5. Operations Systems Center. The Operations Systems Center (OSC) is responsible for operating and maintaining the central processors for major

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- 12.A.5. (cont'd) existing electronic information systems such as MISLE and AMVER. Their responsibilities include protecting data from loss by conducting regular backups of the central database and ensuring maximum system availability.
6. District Offices. District offices are responsible for ensuring that their subordinate units use information systems in accordance with current policies. District (m) is responsible for overseeing the quality of data entries made by district units by conducting regular quality control checks and taking action to correct any deficiencies. District offices must make certain data entries into Commandant (G-M) information systems. They also use data from those systems for management and oversight. District offices should inform Commandant (G-MRI) of any information needs that are not being met by current Commandant (G-M) information systems.
 7. Hearing Office. The USCG Hearing Office is responsible for the adjudication of civil penalty cases and updating the civil penalty case tracking system.
 8. Field Units. Field units are the primary source of data entry for most Commandant (G-M) information systems. The unit commanding officer is responsible for ensuring the accuracy of all information entered into these systems by:
 - a. Providing training to all information system users.
 - b. Maintaining a password control system to limit access, entry and validation authority to the appropriate personnel.
 - c. Establishing a unit data quality control program to detect and correct data entry errors.
- B. Major Commandant (G-M) Information Systems.
1. Marine Information for Safety and Law Enforcement (MISLE).
 - a. Purpose. MISLE is a web based electronic information system using a centrally located database located at the OSC in Kearneysville, West Virginia. It provides a common pool of information linking all of Commandant (G-O) and Commandant (G-M)'s data and enterprise work including: Port State Control Vessel Boardings; Law Enforcement Boardings; Vessel, Facility, and Container Inspections; Lookout Sightings; Waterways Management; Investigations; Enforcement of Maritime Laws; and Incident Response Management. This last function is designed to be used in real time, assisting field command and control personnel in decisionmaking and other management functions. It is suitable for "all-hazards" responses, not just traditional Marine Safety cases. MISLE consists of three

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12.B.1.a.

(cont'd) integrated products, the Vessel Documentation System, Marine Safety Network, and a Data Warehouse with online analysis and reporting tools.

- (1) Vessel Documentation System (VDS). The National Vessel Documentation Center (NVDC) is the primary user community for the VDS. The NVDC processes all vessel documentation instruments such as Abstracts of Title, Certificates of Ownership and Certificates of Documentation. The VDS component of MISLE consists largely of an electronic workflow management system and is used to automate paper-based processes.
 - (2) Marine Safety Network (MSN). The MSN is a case management and consequence management system for Commandant (G-M) and Commandant (G-O) field activities. MSN is the core of MISLE and is tightly integrated with business processes. Subject matter experts from field units, District Offices, and HQ were brought together during numerous development sessions. MISLE Activities include: LE Boardings & Sightings; Marine Inspections; Casualty/Pollution Investigations; SAR; and Incident Response (Spills/Collisions/Groundings). MISLE provides the capability to combine several Activities resulting from one event, under one Case. A typical example is a vessel grounding that becomes a SAR case, Marine Safety inspection and investigation, and a pollution incident.
 - (3) Data Warehouse. The MISLE Analysis and Reporting System (MARS) data warehouse includes an analysis and reporting system that provides tools to enable turning data into information into knowledge for improved decision making and program management, as well as making mission performance measurements. MARS reduces the need for data calls to field units by placing analysis and reporting tools in Program Managers hands, easily accessible and configurable in a web browser. When added on-line, the Geographic Information System (GIS) will serve as a dynamic visualization tool to display the locations of MISLE activities, and other certain data pertaining to MISLE referential data.
- b. System Design. MISLE is a web-based system that is accessible from any CG workstation. Deploying a centralized system improves configuration management and troubleshooting capabilities while providing a more flexible upgrade path. MISLE is a modern system that was built using latest software development techniques such as Joint Applications Development/Rapid Applications Development (JAD/RAD)

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- 12.B.1.b. (cont'd) development model, and improved database design/delivery using mobile code and a web browser for the user interface. MISLE was designed to reduce redundant data entry by using common referential data for vessels/parties, allowing us to combine different legacy systems such as MSIS and LEIS, and SARMIS. MISLE was designed with an open architecture to accommodate changing or adding components to easily expand system functionality to meet changing mission needs. To ease the transition between different legacy systems, User Guides were developed by program offices and are posted on an information website called MISLENET. The program manager for MISLE, Commandant (G-MRI-3), coordinates the needs of each program office with OSC.
- c. Data Entry. MISLE data can be entered by a number of sources including Marine Safety units, Groups, Vessels, and the National Vessel Documentation Center. Security protocols restrict which sources may enter specific data.
- d. Data Access. MISLE contains multiple levels of data access depending on user authorization. Data is available on-line to: Coast Guard units; Federal law enforcement agencies; State agencies; financial institutions; and the maritime industry organizations. Some non-sensitive data may be made directly available to the public via the Internet. **MISLE and MARS data should not be provided to individuals and organizations outside the Coast Guard by field personnel.** External requests for MISLE data related to Marine Safety should be forwarded to Commandant (G-MRI-1) for action. External requests for MISLE data related to law enforcement should be forwarded to Commandant (G-OCC) for action.
2. Marine Safety Information System (MSIS).
- a. Purpose. Prior to the advent of the MISLE system, MSIS was the primary information system for support to USCG Marine Safety activities. MISLE replaced MSIS on 21 December 2001. Historical information contained in MSIS can still, however, be accessed through the MSIS Rehost Interface Project (MSISR-IP). MSISR-IP is a web-based application that allows users to view cases and other information that existed in MSIS. MSISR-IP displays the case data from MSIS in the same format that MSIS did. MSISR-IP has all the data that was in MSIS up to the day that MSIS ended, on 13 December 2001.
- b. System Design. MSIS merged information from field reports into a common information base, which was shared by all users of the system. System characteristics include: product and forms printing

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- 12.B.2.b. (cont'd) for hard copy records; summary activity reports for activity management; automated monitoring, prompting and notification functions; and maintenance of vessel, facility and party summaries (such as the port safety vessel history). The MSISR-IP database is composed of master files, which contain histories and summaries of vessels, facilities, involved parties, and hazardous cargoes.
- c. Data Entry. Data entry into MSIS ended with the deployment of MISLE.
- d. Data Access. The files in MSIS still contain sensitive personal data that is protected from release under the Privacy Act and Freedom of Information Act. Access to MSIS through MSIS-IP is limited. **MSIS data should not be provided to individuals and organizations outside the Coast Guard.** External requests for MSIS data should be forwarded to Commandant (G-MRI-1) for action.
3. Ship Arrival Notification System (SANS).
- a. Purpose. SANS was developed to provide a central database for all vessel arrival information for national security purposes. The SANS database facilitates the flow of Notice of Arrival information from the National Vessel Movement Center (NVMC) to Coast Guard Field Units. SANS contains all of the required information provided by 33 CFR 164 Notice of Arrival Regulation. This information includes general vessel data, port destinations, arrival and departure dates, crew and passenger information, and cargo information.
- b. System Design. SANS is a web-based system that is accessed via the USCG intranet at [HTTP://SANS.OSC.USCG.MIL](http://SANS.OSC.USCG.MIL). The NVMC, where SANS is hosted, is located at the OSC in Kearneysville, WV.
- c. Data Entry. The NVMC watchstander enters all Notice of Arrival (NOA) and Notice of Departure (NOD) information into SANS.
- d. Data Access. Information that is entered into SANS is immediately available for viewing by the USCG Intelligence Coordination Center (ICC) and USCG Captains of the Port (COTPs) via the USCG Intranet web page. SANS is “read only” for all field users. **SANS data should not be provided to individuals and organizations outside the Coast Guard.** External requests for SANS data should be forwarded to Commandant (G-C2) for action.

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4. Port State Information Exchange (PSIX).
 - a. Purpose. PSIX provides the public access to selected vessel data from MISLE. It also serves as a demonstration project to show the potential for an International Maritime Organization information system to share data on vessels worldwide for use in port state control actions.
 - b. System Design. PSIX is a Microsoft SQL Server database located on a computer at OSC Martinsburg that is accessible 24 hours a day via the World Wide Web. It enables users to conduct standard searches and retrieve standard reports. The database is periodically updated from MISLE.
 - c. Data Entry. PSIX is a retrieval only data system. Data is loaded no less than weekly by OSC Martinsburg from MISLE. Requests for data corrections should be sent to Commandant (G-MRI-2).
 - d. Data Access. PSIX does not contain any sensitive personal data and is available to the public. Units should encourage members of the public and other agencies to obtain vessel data directly from PSIX. Coast Guard personnel should obtain their data from MISLE rather than PSIX because the data in MISLE is more complete and up-to-date.

5. Abandoned Vessel Inventory System (AVIS).
 - a. Purpose. AVIS is designed to consolidate information regarding abandoned vessels in U.S. navigable waters. Because there are potential and real threats associated with abandoned vessels, each Coast Guard Captain of the Port (COTP) is required to investigate reports of abandoned vessels and annually survey their area of responsibility to assess the abandoned vessels within. An inventory of available data is maintained on those vessels that pose or are likely to pose a substantial pollution threat, hazard to navigation, or other significant safety or health threat.
 - b. System Design. The AVIS database is currently hosted by FYI-For Your Information, Inc. and is accessed via the World Wide Web.
 - c. Data Entry. The entry of new data is accomplished over the web. Coast Guard Units can enter new records, update existing records, and conduct a limited number of queries.
 - d. Data Access. To access AVIS, enter the site at: **<http://cgweb.uscg.mil/smalldb/g-m/CG-AVIS>**. Access is limited, and users will be prompted to enter the unit's user name and password, which are provided by Commandant (G-MWP).

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6. Merchant Marine Licensing and Documentation System (MMLD).
 - a. Purpose. MMLD automates the processing of merchant mariner licenses and documents. In doing so it provides a continuously updated database of merchant mariner records, eliminates duplication of effort, promotes consistency and meets the requirements of the International Convention on Standards of Training, Certification, and Watchkeeping for Seafarers, 1978 (STCW).
 - b. System Design. MMLD is an intranet accessible ORACLE database application hosted at the OSC for use by 17 Regional Exam Centers (RECs) across the country and National Maritime Center (NMC) personnel. This centralized web-based approach allows all users of the system to share a common database containing information on merchant mariners and the status of their licenses and documents. MMLD is updated, on a real-time basis as data entries are made by MMLD users.
 - c. Data Entry. Coast Guard personnel at 17 RECs and NMC personnel are responsible for data entry.
 - d. Data Access. Coast Guard personnel at the NMC and REC have data access to MMLD data via an intranet web address. Mariner data is also accessible via MISLE to users at the Marine Safety Offices. This data is real time read only. MMLD contains sensitive personal data that is protected from release under the Privacy Act, Freedom of Information Act and other laws. Requests for MMLD data from persons or organizations outside the Coast Guard should be forwarded to the National Maritime Center.
7. Vessel Documentation System (VDS).
 - a. Purpose. Vessel documentation is a national form of registration that provides conclusive evidence of nationality for international purposes, provides for unhindered commerce between the states, and admits vessels to certain restricted trades, such as coastwise trade and fisheries. A Certificate of Documentation is required for the operation of a vessel in certain trades, serves as evidence of vessel nationality, and permits a vessel to be subject to preferred mortgages. The Vessel Documentation System (VDS) is the electronic information system for entry, update, and storage of data associated with Coast Guard documented vessels, such as the Official Number, managing owner, vessel build information, and trade endorsements.

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- b. System Design. VDS is an Oracle database that is located and maintained at the Operations System Center in Kearneysville, WV. Imaging and workflow software is provided by 170 Systems. The MarkView Imaging System is the software that provides the capture, storage, retrieval, and other imaging functions. The SQL*Flow Workflow Management System is the software used to set up, execute, and manage the workflows necessary to implement the Vessel Documentation System's business rules.
 - c. Data Entry. Personnel at the National Vessel Documentation Center in Falling Waters, WV enter data and update records through VDS.
 - d. Data Access. Access directly to VDS for entry and update is restricted to NVDC personnel. Read-only access to vessel documentation data is available to all MISLE users via the MISLE vessel and party details.
8. Internet and Intranet Pages. Internet and Intranet pages are a convenient means for providing access to information. Internet pages are used to provide information both to the public and to Coast Guard personnel while Intranet pages provide information for use only within the Coast Guard. Many Internet pages already exist, providing access to laws, regulations, policies and other information to virtually all Coast Guard employees. The Commandant (G-M) Internet Home Page address is: <http://www.uscg.mil/hq/g-m/gmhome.htm>.
- C. Pollution and Chemical Hazards Response Information Systems.
- 1. National Response Resource Inventory (RRI).
 - a. Purpose. RRI is a database of spill containment and removal equipment. This data is used to provide information to on-scene coordinators concerning resources available within their zones to respond to pollution incidents and to update contingency plans.
 - b. System Design. The database includes listings of spill response equipment owned or maintained by contractors, private companies, cooperatives, or government agencies. The RRI database is maintained on a computer at the National Strike Force Coordination Center (NSFCC).
 - c. Data Entry. The NSFCC staff enters data provided by contractors, private companies, cooperatives, or government agencies.
 - d. Data Access. RRI data is available from the NSFCC.

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2. Vessel Response Plan Databases.
 - a. Purpose. Two databases exist for tracking vessel response plan data. The Vessel Response Plan (VRP) database contains information on vessel response plans required under OPA 90. The Shipboard Oil Pollution Emergency Plan (SOPEP) database contains information on vessel response plans required under MARPOL.
 - b. System Design. Both databases are Microsoft SQL Server databases hosted on a web server that is maintained by a contractor. The VRP database contains specific information on the vessel response plan including: owner/operator; oil spill response organizations; COTP zones authorized; and correspondence. The SOPEP database contains similar information except for oil spill response organizations.
 - c. Data Entry. Data is entered into these databases by the contractor based on plan submissions and related correspondence.
 - d. Data Access. VRP and SOPEP data is available from Commandant (G-MOR-2).
3. Spill Planning, Exercises and Response System (SPEARS).
 - a. Purpose. SPEARS is a graphically oriented computer tool to facilitate the planning, exercising and response to oil and hazardous substance spills. It provides the On Scene Coordinator with a decision support tool consisting of integrated databases, models, templates and response activity tracking components. It is intended to provide both historical and real-time information to facilitate comprehensive incident planning and promote efficient action when responding to a spill incident. Current functions of SPEARS will be integrated into MSN for access over the intranet. SPEARS will also be maintained as a stand-alone desktop tool for Planning Officers only.
 - b. System Design. SPEARS is an integrated management tool which operates on Windows or Macintosh operating systems. The components include key portions of Computer-Aided Management of Emergency Operations (CAMEO) and its air dispersion model (ALOHA), a chemical information database, and a geographical information mapping system. MISLE facility information and pollution investigation data are provided and updated quarterly for trend and risk analysis. Local and regional information regarding commodities transported, environmentally sensitive areas, and response resources can be geo-referenced for ready availability to response and planning personnel. SPEARS incorporates other spill

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- 12.C.3.b. (cont'd) tools developed by the Coast Guard and NOAA, including: an oil weathering model, a dispersant and in-situ burning planner, and several databases. A powerful search and query tool is included to retrieve data from the databases. Information retrieved can be geographically displayed on MARPLOT or exported to a spreadsheet for further analysis.
- c. Data Entry. Data is not directly entered into SPEARS any longer. Any data that is updated is extracted from MISLE data on facilities and pollution investigations.
- d. Data Access. SPEARS access is limited to Coast Guard personnel at Marine Safety units. Access may be further restricted by the unit based on information needs and training. **The MISLE data on SPEARS may contain personal data that is protected from release under the Privacy Act and Freedom of Information Act.** Requests for MISLE data should be forwarded to Commandant (G-MRI-1) for action. Requests for other SPEARS data should be forwarded to Commandant (G-MOR) for action.
4. Computer-Aided Management of Emergency Operations (CAMEO).
- a. Purpose. CAMEO assists emergency planners, facility operators, and first responders in planning for and responding to chemical accidents. It includes emergency response information and recommendations for more than 4,000 hazardous chemicals. CAMEO is the USCG's emergency preparedness and response modeling simulation tool of choice, pending action by the Department of Homeland Security.
- b. System Design. CAMEO includes both databases and applications. The chemical database contains names, synonyms, formulas, and regulatory and response information for more than 4,000 chemicals. CAMEO also includes ALOHA (an air dispersion model), MARPLOT (a mapping application), and additional room to maintain records and information useful for emergency response and planning. It is no longer a Macintosh-only application. It is also available on the CG workstation.
- c. Data Entry. All initial data entry for the system (chemical information, dispersion model, mapping program) was made during development. Records and information entries can be made and stored at the discretion of the user.
- d. Data Access. CAMEO is available at each MSO and Activity. CAMEO is available for sale to the public from the National Safety Council. MARPLOT and ALOHA are also available for purchase separately.

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5. Chemical Hazards Response Information System (CHRIS), COMDTINST M16465.12 (series).
 - a. Purpose. CHRIS provides information on over 1,300 chemicals that are shipped by water. This data has many uses including spill response, emergency planning and facility and vessel design.
 - b. System Design. CHRIS is a 3,000-page data manual. CHRIS contains qualitative and quantitative data covering the physical, toxicological and chemical properties of each chemical. CHRIS has two 8 1/2 by 11 pages for each chemical, one for the properties and another containing eight tables showing each property as a function of temperature.
 - c. Data Entry. CHRIS is a retrieval only data system. Commandant (G-MSO-3) is responsible for management of this data. Suggestions, corrections and errors should be forwarded to Commandant (G-MSO-3).
 - d. Data Access. CHRIS manuals are available for purchase by the public from the U.S. Government Printing Office. CHRIS is also available on the internet at www.chrismanual.com and on CD-ROM. Coast Guard units may contact Commandant (G-MSO-3) for a free copy.

6. Chemical Data Guide for Bulk Shipment by Water, COMDTINST M16616.6 (series).
 - a. Purpose. The Chemical Data Guide for Bulk Shipment by Water provides information on over 312 chemicals that are shipped in bulk on vessels. The data can be used for spill response, emergency planning, and facility and vessel design. Although designed for Coast Guard personnel and the marine industry, it is also a useful data source for non-marine users.
 - b. System Design. The guide consists of one page of quantitative information for each chemical that includes data on physical properties, fire and explosion hazards, health issues, reactivity and spill countermeasures. Appendices include cargo compatibility information, medical kit information for cyanide-like cargoes, the International Maritime Organization list of oils, measurement conversion factors, and a temperature conversion chart.
 - c. Data Entry. This is a retrieval only data system. Commandant (G-MSO-3) and its contractor are responsible for all data entries. Suggestions and corrections of error reports should be forwarded to Commandant (G-MSO-3).

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- d. Data Access. The Chemical Data Guide for Bulk Shipment by Water is available to Coast Guard units from the Coast Guard Supply Center. It is available for purchase by the public from the U.S. Government Printing Office.
7. Chemical Information System (CIS).
- a. Purpose. CIS provides rapid access to chemical data through an on-line searchable database.
 - b. System Design. CIS is a collection of databases and search systems jointly developed by the National Institutes Of Health (NIH) and the Environmental Protection Agency (EPA). Several of these databases contain information that can assist units involved in environmental response activities. The Structure and Nomenclature Search System (SANSS), Oil and Hazardous Materials Technical Assistance Data System (OHMTADS), and Registry of Toxic Effects of Chemical Substances (RTECS) databases contain a wide variety of information on hazardous substances, including their associated physical and toxicological properties, synonyms, and commercial data. Navigation and Vessel Inspection Circular (NVIC) No. 5-81, Literature Concerning Hazardous Cargoes, lists current sources of information and is available on the internet at <http://www.uscg.mil/hq/g-m/nvic>. Units needing additional information on any other database in CIS should contact CIS, Inc., directly or contact their respective district (m) office.
 - c. Data Entry. CIS is a retrieval only data system.
 - d. Access. CIS is available on a 24-hour basis to assist units with emergency response and contingency planning for hazardous substance incidents. Commandant (G-MOR) maintains contracts that provide all COTPs with direct access to CIS databases.
 - e. CIS User Support Group. CIS has formed a user support group to assist personnel having problems with the system. Questions or problems with the system should be referred to the user support group at (800) 247-8737. The Coast Guard has access to CIS through the following units:
 - (1) National Response Center (NRC);
 - (2) Commandant (G-MOR-3);
 - (3) National Strike Force (NSF) units;
 - (4) Training Center (TRACEN) Yorktown, VA (t-mss); and

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(5) MSO/Activity offices.

- D. Other Coast Guard Information Systems. Information systems developed by other Coast Guard programs can frequently provide information that is useful for marine safety, security and environmental protection activities. This section describes some of the information systems used by Marine Safety units in the past.
1. Automated Mutual Assistance Vessel Rescue (AMVER) System.
 - a. Purpose. AMVER maintains a plot on the locations of commercial vessels throughout the world for use in SAR activities. Data on predicted vessel locations and their SAR capabilities are made available to rescue coordination facilities of any nation during maritime emergencies.
 - b. System Design. AMVER is based on a central computer at the OSC in Kearneysville, WV. Its goal is to obtain the most complete vessel plot possible, identifying at least 75 percent of commercial vessels engaged in offshore voyages or activities for 24 hours or more. A worldwide voluntary communications network receives and relays vessel location data from participating vessels to OSC. An AMVER education program is coordinated by each district to encourage mariner participation. Marine Safety units help promote and publicize AMVER through industry liaison, designating AMVER boarding officers and conducting AMVER boardings. Management and Operation of the Automated Mutual Assistance Vessel Rescue (AMVER) System, COMDTINST 16122.2 (series) provides a list of codes used to identify the home administration (nation of registry) of a merchant vessel. Further information on the AMVER System may be obtained from Commandant (G-OPR-1) at (202) 267-1552.
 - c. Data Entry. The OSC staff makes all entries.
 - d. Data Access. AMVER information is considered proprietary in nature and must not be disclosed. **AMVER data should not be provided to individuals and organizations outside the Coast Guard.** All requests for AMVER data should be forwarded to Commandant (G-OPR-2).
 2. Boating Accident Report Database (BARD) System.
 - a. Purpose. The BARD System contains information on recreational boating accidents nationwide from 1969 to the present. This includes the date, location, weather/water conditions, boat characteristics, cause of the accident, and non-sensitive information on the individuals involved. The boat owner/operator provides the input through an accident report, which may be

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- 12.D.2.a. (cont'd) supplemented by a Coast Guard or state investigation. The information is analyzed to determine problems and trends, and is used by the federal, state, and private sectors in evaluating program effectiveness. Accident statistics are compiled and published annually in Boating Statistics, COMDTPUB P16754 (series) by Commandant (G-OPB).
- b. System Design. The BARD system is based on Microsoft Access 2000 database management system software and resides at Coast Guard Headquarters.
 - c. Data Entry. Each State government electronically transfers recreational vessel casualty data to Coast Guard Headquarters where it is imported into the BARD system.
 - d. Data Access. All requests for BARD data should be forwarded to Commandant (G-OPB).
3. Auxiliary Management Data System (AUXDATA). AUXDATA is a system for identifying, quantifying, and reporting Auxiliarist qualifications and accomplishments on a local, regional and/or national basis. The system includes: Auxiliarist qualification codes, public education courses given, Vessel Safety Checks (VSCs) conducted, operational support summaries, and administrative information (e.g., names, addresses, and telephone numbers ordinarily protected by the Privacy Act). System input originates at the individual Auxiliarist and local flotilla level. Reports are available from Commandant (G-OCX) or the boating safety branch at each District. The information is also available from the Auxiliary Information System (AUXINFO), which may be accessed through the Coast Guard intranet at <http://cgweb.uscg.mil/> then click on the "CGInfo" tab, then the "All Cubes" tab, then the "Auxiliary" tab. No password is necessary for access to the basic information in the AUXINFO system. However the more detailed reports available in the AUXDATA system require a password that is assigned by Commandant (G-OCX).
4. Manufacturer Identification Code (MIC) System. The MIC System identifies U.S. and Canadian recreational boat manufacturers, including importers, through a unique 3-digit/alpha character code, as prescribed by 33 CFR 181. The system includes the builders' names, addresses, ID codes, types of boats built, and current status (i.e., importer, out of business, or foreign builder). Input is provided by the builder through a formal application to Headquarters, or by having contract personnel visit boat factories and provide feedback to Headquarters. The information is used to identify and track potentially defective boat/equipment models. Commandant (G-OPB-3) maintains the system. MIC information is also available on the internet (<http://www.uscgboating.org>).

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5. Defect Cases and Recall Campaigns. This database is used to track and evaluate boating technical efforts, including manufacturer defect cases, notification campaigns, compliance testing, certification of manufacturers, and boating industry associations. Raw data is generated by boat manufacturers, contract factory visit personnel, contract testing facilities, consumer complaints, OCMLs, and Headquarters personnel. Data is refined and entered into the system by Commandant (G-OPB-3).
 6. Boating Mailing Label System (MLS). This is a file of names, addresses, and general information on companies, organizations, and other parties with boating interest, and for the Coast Guard Auxiliary Marine Dealer Visitation Program. There are over 38,000 records in the MLS database. Any segment(s) can be readily isolated, and mailing labels printed on demand for dissemination of selected materials. Commandant (G-OPB-3) maintains the system.
- E. Headquarters and Unit Files. While we make every effort to store data in electronic format and centralize data storage to maximize efficiency and availability, some information is not amenable to such storage. Documents, certificates, plans, diagrams and similar records are maintained in files at their point of origin or destination. Other records are stored at the Commandant (G-M) Records Management Center at Coast Guard Headquarters. This section describes some of the files available.
1. Commercial Vessel Casualty File. Commandant (G-MOA) manages the automated Commercial Vessel Casualty File (CASMAIN). This contains information extracted from casualty investigations completed in accordance with the provisions of 46 CFR 4.07 and Volume V of this manual from 1977 to 1991. A summary of this data was compiled and published by fiscal year. The file is also used to respond to government and public requests for information concerning vessel casualties, personnel injuries, and deaths prior to 1992.
 2. Commercial Vessel Safety (CVS) Plan Review Case Files. This section outlines the administrative procedures for processing CVS plan review case files. These consist of vessel plans, review action letters, and related correspondence that are handled by Headquarters, the Marine Safety Center (MSC), and Marine Safety units. Distribution, storage, and retrieval procedures have been refined to keep the Commandant (G-MOC and G-MSE) and MSC advised of the start and completion of commercial vessel inspections. This is accomplished by receipt of an Application for Inspection of U.S. Vessel, Form CG-3752, and a COI, Form CG-841. These actions are considered evidence of inspection activities. The plan review case file should be retained for 1 year after the vessel is issued a COI. Use subject heading format described in chapter 13 of this volume for all correspondence pertaining to the construction or conversion of vessels and special projects.

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- a. Marine Safety Center (MSC) Procedures. The MSC is the repository for all commercial vessel plan review records for all certificated vessels, except for some T-Boats, which are retained by the OCMI. The following procedures should be used at the MSC to ensure proper maintenance of the files:
- (1) Identification/Segregation. Completed plan review files should be segregated by those conducting the review, and each plan marked accordingly (i.e., those to be retained should be so stamped). Files that are eventually to be discarded should be packaged so that a file clerk can easily identify them when the time comes to discard them.
 - (2) Latest Revisions. Only the latest revisions of plans should be retained. Previous editions should be discarded promptly after comparison to and acceptance of revisions.
 - (3) Indexing. An index of all plans in each vessel record should be prepared to include identification, latest revision date, and disposition.
 - (4) Completion Date. Each vessel record should clearly indicate the completion date on the outside where it is visible for easy identification when the time comes to cull the file.
 - (5) Culling. The complete file of a vessel's (latest revisions) reviewed plans should be retained, segregated within as discussed in subparagraph 12.E.2.a.(1) above, for 1 year after the vessel is completed (COI is issued). Thereafter, only those plans listed in paragraph 12.E.2.d. below should be retained. All other plans should be discarded at this time.
 - (6) Correspondence. All pertinent correspondence should be retained in the record. Correspondence should clearly show the relationship to the appropriate plans, and vice versa.
 - (7) Review In Cooperation With The OCMI. Copies of all plans acted on and to be retained by the OCMI should not be retained by the MSC after project completion. In those cases where isolated assistance is provided by the MSC, all plans should be returned to the OCMI for inclusion in the file.
 - (8) Review Activities Subsequent To Vessel Completion. In those cases where a vessel has been completed, record plans submitted for alteration or repair should replace, if appropriate, previous editions, which should be discarded. Non-record plans should be held in the record for 1 year after project completion, and then discarded.

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- (9) Disposition After Life Of Vessel. A vessel's plan review record should be discarded 1 year after the vessel is listed lost, abandoned, destroyed, scrapped, or when the vessel is transferred to foreign flag. This action should be recorded.
- b. OCMI Procedures. The OCMI may review and approve certain plans either independently or in cooperation with the MSC. Certain of these plans will be retained by the cognizant OCMI. The following procedures apply, or otherwise should be followed by the OCMI in retention of vessel plans for the record:
- (1) Subchapter T Vessels. All appropriate plans for T-Boats shall be retained by the cognizant OCMI. In cases when the MSC cooperates in the review of a T-Boat, whether by request or for mandatory requirements of stability, subdivision, or structural fire protection, the OCMI shall compile and maintain the complete plan review record. The MSC will return to the OCMI any copies of T-Boat plans and related correspondence, not already held by the OCMI, for inclusion in the record. The MSC should not retain T-Boat plans beyond the project completion date. If a subchapter T-Boat permanently moves to another OCMI zone for operation, the complete plan review record should be transferred to that zone.
- (2) Vessels Other Than T-Boats. In those cases where an OCMI has qualified personnel available to conduct plan review for vessels other than T-Boats, the following procedures apply:
- (a) Complete Review By OCMI. When the OCMI performs complete review, the entire plan review record should be compiled by the OCMI and held for 1 year after the completion date, then the record should be culled and archived locally.
- (b) Limited Assistance From MSC. When the MSC provides isolated assistance to the OCMI, the plans record should be handled as if the OCMI did complete review (subparagraph 12.E.2.b.(2)(a) above). The MSC should return all plans to the OCMI for the record.
- (c) Limited Review By OCMI. In those cases where the OCMI performs limited plan review for projects otherwise being reviewed by the MSC, all plans should be forwarded to the MSC for the record. The OCMI need not keep copies after the project completion date.
- (d) Review Activities Subsequent To Vessel Completion. In those cases where a vessel has been completed and

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12.E.2.b.2.(d)

(cont'd) the plan review record has already been forwarded to the MSC, any additional record plans reviewed and approved by the OCMI should be forwarded to the MSC upon project completion. Non-record plans should be held and discarded locally 1 year after project completion.

- (e) Indexing. For plan review records compiled by the OCMI, an index of all plans in each record should be prepared to include identification, latest revision date, and disposition. This should be included in the record when it is forwarded to the MSC.
- (f) Culling, Forwarding To MSC. In those cases where the OCMI compiles the plan review record, the OCMI should hold the record for 1 year after the vessel is issued a COI. The plan review record is then to be culled per paragraph 12.E.2.d. below, and all record plans and related correspondence are to be forwarded to the MSC for retention. This includes all record plans whether approved by the OCMI or the MSC, or by the American Bureau of Shipping (ABS). (See NVIC 10-82.) All non-record plans may be discarded at this time.

- c. Headquarters Procedures. Any vessel plans acted on by the Headquarters staff generally will be forwarded to the MSC for retention when the action is completed.
 - (1) Plan Review Correspondence. Generally a copy of all Headquarters-generated correspondence relative to plan review activities will be sent to the MSC. For specific vessels, such correspondence should clearly indicate the vessel's name and O.N.
 - (2) Forwarding Plans To The MSC. All related plans will be enclosed with the MSC copy of correspondence. The Headquarters file copy of the correspondence will indicate the plans were forwarded to the MSC.
 - (3) Headquarters Vessel Records. Headquarters will continue to maintain a 16710/VESSEL NAME file. This file will include individual vessel records for correspondence (incoming and outgoing) on specific U.S. vessels acted on by Headquarters.
 - (4) Concept Review. A single copy of the latest version of plans reviewed by Headquarters for concept approval may be retained as needed in the Headquarters files.

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- d. Plans To Be Retained. The following plans are to be retained. All other plans may be discarded 1 year after vessel completion.
- (1) General arrangement drawings;
 - (2) Loading manuals;
 - (3) Operating manuals;
 - (4) Automation test procedures;
 - (5) Fire control plans;
 - (6) Stability information;
 - (7) Midship section;
 - (8) Hazardous area drawings;
 - (9) Steering arrangement, electric and hydraulic control drawings;
 - (10) Electrical one-line diagrams; and
 - (11) Related correspondence.

NOTE: Stability information should include: lines plans, cross curves, hydrostatic curves, trim and stability booklet, calculations of stability in the intact or floodable conditions, and the stability letter.

3. Tonnage Measurement Vessel Files. Tonnage measurement vessel files contain copies of tonnage certificates issued for associated vessels, as well as calculations and other information to support how those tonnages were determined. The files do not, in general, contain vessel plans. Files are maintained at one of the following locations:
- a. Marine Safety Center (MSC);
 - b. Federal Records Center; or
 - c. Authorized Measurement Organizations listed in 46 CFR 69.15.

The MSC can assist in determining the location of these files, and can provide procedures for obtaining copies of file information. Their phone number is (202) 366-6440.

4. "Type Approval" And "Type Certification" Case Files. This section of the manual establishes the administrative procedures involved in the review, distribution, and filing of plans and correspondence pertaining to "Type Approval" and "Type Certification" case files. This includes materials and equipment formerly listed in the Equipment Lists,

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12.E.4. (cont'd) COMDTINST M16714.3 (series), such as lifesaving, fire protection, electrical, engineering, and pollution abatement equipment, and hydraulic components and items accepted under the affidavit system.

- a. Equipment Lists, COMDTINST M16714.3 (series). This publication is no longer produced. For an up-to-date equipment list, which are approved or accepted under the various navigation and vessel inspection laws and regulations, refer to the Approved Equipment module in MISLE.
 - (1) Lifesaving, Fire Protection, Engineering, Navigation and Electrical Equipment. Equipment approved in accordance with 46 CFR, Subchapter Q is reviewed by Commandant (G-MSE). Approved plans, correspondence, and attendant certificates are retained at Headquarters under SSICs in the 16714/160-165 series. The original approval certificate is sent to the manufacturer and a copy is sent to the cognizant OCMI and testing laboratory. If the item is produced under Coast Guard inspection, the OCMI is also sent a copy of the approved plans.
 - (2) Marine Sanitation Device (MSD) and Engineering Equipment. The MSC reviews MSDs under 33 CFR 159. The plans, test reports, and copies of attendant certification letters and correspondence are retained at the MSC under SSICs in the 16714/159 series. MSDs certified for inspected vessels are reviewed by the MSC for compliance with 46 CFR Subchapters F and J. For specific or non-specific vessel installations, MSDs certified for uninspected vessels may be used on inspected vessels, if the OCMI or the MSC reviews the MSD for compliance with 46 CFR Subchapters F and J. One copy of each plan and related correspondence shall be sent to the MSC for use in the issuance of a certificate for inspected vessels. As for the Engineering Equipment (pertaining to boilers, valves, and pollution prevention equipment), it is reviewed by the MSC under SSICs in the 16714/162 series. The plans, test reports, and copies of attendant certification letters and correspondence are also retained at the MSC under SSICs in the 16714/162 series.
 - (3) Approval Letters. Approval letters are maintained in the vessel case files. These include: nonstandard pipe-joining fittings, welded valves, etc. These items are reviewed by the MSC in the course of vessel plan review. Approved plans are also kept with the vessel case file.

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- (4) Approval Certificates. Original Certificates of Approval (COA) are sent to the manufacturer. Copies of the COAs are retained with the approved equipment/material files and can be accessed via MISLE (CG intranet) or CG Equipment List Online Search Engine (Internet).
 5. Obtaining Headquarters Records Outside Normal Working Hours. A casualty or incident may be so serious as to require immediate collection and forwarding of Headquarters files or records for use in a casualty or spill response, investigation, or marine board. If a need arises for Headquarters files or records after normal working hours, Headquarters Command Center should be contacted at (202) 267-2100. Command Center personnel will contact members of the appropriate office within Commandant (G-M), who will forward the necessary information, if available, by the most expeditious means available.
 6. Unit Investigation Files. Units should maintain a copy of the CG 2692 and any enclosures listed in a MISLE case for each marine casualty investigation. Files should be destroyed in accordance with the Coast Guard Paperwork Management Manual, COMDTINST M5212.12 (series). Originals of these documents must be sent to Commandant (G-MOA). Investigator notes and other working papers not cited as enclosures to the MISLE case should be destroyed when the MISLE case is closed.
 7. Unit Vessel Files. Units should maintain files documenting inspections on U.S. vessels. The files should include information such as the inspection report, and copies of the Certificate of Inspection and other letters issued. These files should be purged of old material in accordance with the Coast Guard Paperwork Management Manual, COMDTINST M5212.12 (series).
 8. Unit Facility Files. Units should maintain files documenting inspections on waterfront facilities, mobile facilities and fixed platforms. The file should include information that is not recorded in MISLE such as the inspection checklist, diagrams, letters, permits, and response plans. The standard waterfront facility folder (CG-5562) should be used. These files should be purged of outdated material in accordance with the Coast Guard Paperwork Management Manual, COMDTINST M5212.12 (series).
 9. Unit Violation Files. The original violation case file, which is forwarded to the Hearing Office and returned after final agency action, must be kept at the unit in accordance with the Coast Guard Paperwork Management Manual, COMDTINST M5212.12 (series).
- F. MISLE Data Entry Procedures. MISLE data is entered and retrieved online via the Coast Guard intranet. The MISLE homepage is located at: <http://mislenet.osc.uscg.mil/>. To access the MISLE application from the homepage, users should click on the upper left corner of the page under the

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12.F (cont'd) heading "MISLE and Related Apps." A pop-up menu will give the user the choice of which application to enter (i.e., MSN, MSIS-R, PSIX, or SANS). To enter MISLE data, the user should select MISLE and he or she will then be prompted for a password. First time users will need to submit their password information, while users who have already received a password may enter that password and then click the "Login MISLE" button. Once the password is accepted, the user profile screen will be displayed. To proceed to data entry, the user should click on the main menu button.

1. Main Menu. The main menu, as displayed below (see Figure 12-1), allows the user to select which section to enter or retrieve data from by clicking on the appropriate button. From the main menu the user can enter data on: Cases; Activities; Facilities/Bridges; Parties; Vessels; Safety Records; and other sections, which are discussed in more detail below. Access is controlled by password, and users will not be able to enter or retrieve data that they are not authorized to access.

FIGURE 12-1



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2. Screen Help. Details on how to complete each screen, and the type of data that should be entered in data fields, are further explained in the help text screens accessed by clicking the question mark icon on the applicable web page.
 3. Drop Down Menus. Drop down menus are available for all data fields that require categorized responses. Users should select from among the drop down choices when filling in these fields.
 4. User Documentation. For additional instructions, users can also access the User Documentation for the MISLE system. This User Documentation includes available process guides, transaction guides and users manuals for applicable sections, and can be accessed via the USCG intranet at http://mislenet.osc.uscg.mil/user_guides.aspx, or via the MISLE Homepage (<http://mislenet.osc.uscg.mil/>) by clicking on the “MISLE User Guides” button at the top of the page.
 5. Assistance. If additional information is required for data entry in any section, the user can contact the MISLE Hotline at (304) 264-2500. The user can also contact Commandant (G-MRI-1).
- G. MISLE Sections. The functions in MISLE are accessed from the main menu by clicking on the button for the appropriate section. Each section is discussed in detail below.
1. MISLE Cases Section. This section allows users to create a case grouping of Activities involving a single incident, which may consist of vessel inspection activity report, investigation activity report, and S& R activity.
 2. MISLE Activities Section. This section allows users to create a new activity of different types or search for existing Activity Detail reports by wide range of criteria, including: subject name; activity type; range of dates; and activity status. This section can be used to enter or retrieve information on a wide variety of Activity Types, as described below.
 - a. Vessel Inspection. This Activity Type is used to enter or retrieve information on vessel inspections. The related Subactivity Type contains a drop down menu that includes: Annual Inspection; Certificate of Compliance; COI; Hull Examination; MARPOL Annex I Examination; SIV; Tank Vessel Examination; and others.
 - b. Facility Inspection. This Activity Type provides a means to add facility inspection information. The related Subactivity Type contains a drop down menu that includes activities such as: Initial Inspection; Annual Inspection; Random Inspection; and others.

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- c. Vessel Boarding. This Activity Type is used to report law enforcement boarding activities, such as: Assimilated Stateless Boardings; Consensual Boardings; Flag State Authorized Boardings; and others.
- d. Investigation. This Activity Type provides a means to add information on the investigation of incidents that are not otherwise reported in other sections.
- e. Impose Vessel Operational Control. This Activity is used to enter or access information on operational controls imposed on a vessel. This section also allows the user to view the history of controls imposed on a subject and enter new or update existing operational controls. Operational controls include, but are not limited to: COTP orders, Port State Control Detention, Safety & Security Zones, VTS Measures/Directions, and Administrative Orders.
- f. Fishing Vessel Exam. This Activity Type is used to enter information on Fishing Vessel Examinations. The related Subactivity Type contains a drop down menu that includes activities such as Initial Examination; Dockside Examination; Followup Examination; and others.
- g. Platform Inspection. This Activity Type provides a means to add platform inspection information. The related Subactivity Type contains a drop down menu that includes: Annual Inspection and Safety Inspection.
- h. Vessel Sighting. This Activity Type is used to enter and retrieve information on vessel sightings.
- i. Enforcement Activity. This Activity Type is the primary screen for entering marine violation information and other activities related to the enforcement of Marine Safety laws and regulations. The related Subactivity Type contains a drop down list of enforcement options that include actions such as: Notice of Violation; Administrative Civil Penalty; Arrest and Seizure; Referral for Criminal Prosecution; and others.
- j. Impose Facility Operational Control. This Activity is used to enter or access information on operational controls imposed on a facility. This section also allows the user to view the history of controls imposed on a subject and enter new or update existing operational controls. Operational controls include, but are not limited to: COTP orders, Port State Control Detention, Safety & Security Zones, VTS Measures/Directions, and Administrative Orders.

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- k. Towing Vessel Exam. This Activity Type is used to enter information on Towing Vessel Examinations. The related Subactivity Type contains a drop down menu that includes: Annual Inspection and Hauser Check.
 - l. Cargo Transfer Monitor. This Activity Type provides a means to add information on transfer monitor activities.
 - m. Resource Sortie. This Activity Type is used to enter information related to the use of a resource during a Coast Guard response. Sorties are normally associated with an Incident Management Activity within a MISLE case.
 - n. Incident Management. This activity is used to document a field unit's effort to mitigate and respond to an incident.
 - o. Impose Waterway Operational Control. This Activity is used to enter or access information on operational controls imposed on a waterway. This section also allows the user to view the history of controls imposed on a subject and enter new or update existing operational controls. Operational controls include, but are not limited to: COTP orders, Port State Control Detention, Safety & Security Zones, VTS Measures/Directions, and Administrative Orders.
 - p. Cargo/Container Inspection. This Activity Type provides a means to add container inspection information.
 - q. Import Activities. This Activity Type provides a means to import boarding information into MISLE from a Personal Digital Assistant (PDA).
- 3. MISLE Facilities/Bridges Section. This section allows users to search for and/or create subjects other than vessels and parties. Facilities include, but are not limited to: waterfront facilities; lifesaving manufacturing/servicing facilities; bridges; offshore platforms; and oil spill response organizations.
 - 4. MISLE Parties Section. This section allows users to search for or add an individual or an organization without being involved in an activity or a case. Clicking on this button from the home page brings users to the Parties menu screen where the user can choose the Parties or MSN home button. Clicking on the Parties button brings users to the Party Selector screen. Users are advised not to create a new party unless an extensive search is completed to ensure that the party is not already in the system.
 - 5. MISLE Vessels Section. This section allows users to search for a vessel or vessel Groups, Fleets, or Classes in the MSN database or Lloyd's Register with Vessel Name, VIN, or Call Sign. The user may search and select vessels in MSN and Lloyd's Register or create new vessels not in

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- 12.G.5. (cont'd) MISLE. Users are advised not to create a new vessel unless an extensive search is completed to ensure that the vessel is not already in the system.
6. MISLE Safety Records Section. This section opens the Manage Safety Recommendations screen. The Manage Safety Recommendations screen is the initial interface for the MISLE user to manage safety recommendations that are initiated by or issued to the Coast Guard as a result of an investigation into a marine casualty. This includes the ability to add, update, search, and transfer safety recommendations. This screen can also be opened from the Incident Investigation Activity screen. Access From Main Menu should be used if the MISLE user wants to conduct a search of all safety recommendations in MISLE or wants to add/edit a safety recommendation that is not associated with an MISLE Activity (e.g. National Transportation Safety Board (NTSB) safety recommendation). Access From Incident Investigation Activity Screen should be used if the MISLE user wants to add/edit or search safety recommendations related to a specific incident investigation activity in MISLE. Access to safety recommendations through an incident investigation activity is limited to only those associated with that specific activity.
 7. MISLE Standard Reports Section. This section gives you quick access to running queries and printing specialized reports. Reports available include the following: Status of COI Inspection; Overdue Deficiency Report; Operational Controls; Wanted List; Port State Control Admin; COFR Revocation Report; and Vessel Lookouts. Additional reports will be added as they are developed.
 8. MISLE Vessel Arrivals Section. This section gives users the ability to access information on vessel arrivals. The information can be sorted by Port Group, and arrival/departure date and time. MISLE Vessel Arrivals can import vessel arrival data from AMVER and SANS data bases.
 9. MISLE Reference Material Section. This section allows users to search International Laws and Treaties and United States Codes and Federal Regulations using search keyword.
 10. MISLE Approved Equipment Section. This section provides a means to review Class Details, Add a QClass and/or Modify a QClass. Additionally, this screen displays the approved equipment list as identified by Qclass and Qclass description. It also allows you to search and sort the approved equipment by using the pick list (Qclass, Qclass Description or specific equipment Approval Number) and adjacent free type space.
 11. MISLE FINCEN Section. This section is for the use of the Financial Crimes Enforcement Network (FINCEN) only.

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12. MISLE Waterways Section. This section provides users the capability to search and select waterway segments for information or use. In an effort to align casualty data with commerce data MISLE has adopted the US Army Corps of Engineers Waterway Network. Use of these established waterway segments is encouraged whenever possible. Creation of new waterways, although possible where "gaps" exist, should be done only if considerable need exists.
 13. MISLE Notification Section. This section provides users the capability to search MISLE notifications, enter new notifications, and search NRC notifications.
 14. MISLE Utilities Section. This section gives users access to several system utilities, including: Clear Picklist Cache; Unit Information; and System Information.
 15. MISLE Links Section. This section provides web links to additional information including: System Update Information; User Guides; Program Manager/Project Officer; Web Forum; Opinion Survey; MISLE History; and NLETS/NCIC.
- H. MISLE Data Entry and Activities Action Standards. Because of the increasing use of data to meet operational and business plan requirements, the timely entry of data into information systems is increasingly important. Failure to promptly enter vessel boarding cases can result in duplicate boardings and wasted time. The late entry of casualty investigation data can result in casualties, deaths and injuries not being included in the business plan and reports to Congress. To ensure the timely availability of data, MISLE data entry standards are as follows:
1. Marine Inspections.
 - a. Enter the basic information on a vessel inspection activity (date, time, location, activity) by the end of the next work day following the day the activity is initiated.
 - b. Inspections with no discrepancies must be completely entered within 7 days after completion of the activity.
 - c. Inspections with discrepancies must be entered within 14 days after completion of the activity.
 2. Marine Investigations.
 - a. Enter the basic information for any vessel casualty, personnel casualty, or pollution incident within 24 hours after receiving the initial report.

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- b. Investigations will be completely entered and forwarded to district for action within six months after receiving the initial report. Extensions up to two months may be granted by the district (m) officer. Extensions beyond two months must be granted by Commandant (G-MOA-1).
 - c. Units must forward each returned report of investigation back to the district within 30 days after receipt.
 - d. District (m) officers must close each investigation, forward it to Headquarters for action if applicable, or return it to the unit, within 30 days after receipt from the unit.
3. Marine Enforcement/Violations.
- a. Enter the basic information on a violation (date, time, subject, charge) within 14 days after the violation is detected.
 - b. Units must completely enter, review and forward cases recommended for civil penalty action to district (m) within 30 days after the violation is detected.
 - c. Units must completely enter and close cases for which a unit letter of warning was issued within 30 days after the violation is detected.
 - d. Units must completely enter and close any case not recommended for civil penalty action within 30 days after the violation is detected.
 - e. District (m) officers must review and forward cases recommended for civil penalty action to the hearing officer within 15 days after the violation case and its supporting documentation is received.
 - f. District (m) officers must close cases issued a district letter of warning or cases not recommended for civil penalty action within 30 days after the violation case and its supporting documentation is received.
4. Other Marine Safety Activities.
- a. Enter basic vessel arrival information within 24 hours after receiving arrival report.
 - b. Enter the basic information on a vessel boarding (date, time, location, activity) within 24 hours after the boarding is initiated.
 - c. Enter the basic information on a facility activity (date, time, activity) within 72 hours after the activity is initiated.

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- d. Document all other Marine Safety activities for the unit each month.
 - e. Complete entry and close to file a vessel or facility activity with no discrepancies within 7 days after completion of the activity.
 - f. Complete entry and close to file a vessel or facility activity with discrepancies within 14 days after completion of the activity.
- I. Relevant Laws, Regulations and Policies. The collection, maintenance and disposal of information by the Coast Guard is subject to a number of laws, regulations and policies. This section summarizes these laws and regulations and indicates applicable Coast Guard directives.
- 1. Freedom of Information Act. The Freedom of Information Act (FOIA) requires each Federal agency to make information available to the public unless exempted by this law or other statute. It sets a strict deadline for response to requests for information and provides guidelines for fees and appeals. The policy on public availability of information for the Department of Homeland Security is established in 6 CFR 5.
 - a. The Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series) sets Coast Guard policy for responding to FOIA requests. It explains the various exemptions, control procedures, fees and appeals.
 - b. The Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series) requires each area, district, MLC and Headquarters unit to designate a FOIA Coordinator to ensure compliance with FOIA requirements. Field units are encouraged, but not required, to designate a FOIA Coordinator to provide a central point for receipt of requests and ensure proper handling.
 - c. Computer records may only be released by the official who requires that the computer record be created and/or maintained (Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series), paragraph 4.A.2.f.). For major information systems this is generally Coast Guard Headquarters. See section 12.B. of this chapter under "data access" to determine the appropriate authority to release data from major computer information systems. All requests for such data must be forwarded to the appropriate release authority.
 - d. Investigations and violation cases frequently include both an electronic case report and hard copy enclosures (papers, photographs, video/audio tapes, etc.). The unit should release the hard copy enclosures in their custody in accordance with FOIA

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- 12.I.1.d. (cont'd) guidelines. The request for the electronic case report should be forwarded to the appropriate release authority.
- e. Many investigation reports and their enclosures contain information that is protected from release under FOIA. A Checklist For Information to Be Withheld (see Figure 12-2) should be completed prior to releasing this information. The sample checklist in Figure 12-2 addresses common personal information contained in unit records. It should also be amended to include any other information exempted under FOIA (records exempted by statute, privileged or confidential commercial information, intragovernmental exchanges, etc.) if applicable.
 - f. Authority to deny disclosure of records or requests for fee waivers under FOIA cannot be delegated except as authorized in the Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series). For most field units this authority rests with the district commander (see the Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series), paragraph 4.B.). Units should follow district procedures for denial (either complete or partial) of a FOIA request.
2. Privacy Act. The Privacy Act requires each Federal agency to grant individuals access to information pertaining to them and protect personal information from release to the public. The policy on public availability of information for the Department of Homeland Security is established in 6 CFR 5.
- a. The Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series) sets Coast Guard policy for responding to Privacy Act requests. It explains information safeguards, disclosure requirements, exemptions, and procedures for denial and appeal.
 - b. The Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series) requires each area, district, MLC and Headquarters unit to designate a Privacy Act Coordinator to ensure compliance with Privacy Act requirements. Although not required, designating a Privacy Act Coordinator at field units is recommended to ensure the proper handling of Privacy Act inquiries and train unit personnel.
 - c. Many investigation reports and their enclosures contain information that is protected from release under the Privacy Act. Before releasing these reports in response to a FOIA request, a Checklist for Information to Be Withheld (see Figure 12-2) should be completed.

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3. OMB Circular A-130. This document establishes the Federal policy for the management of information resources. It requires integrated life cycle planning for information systems, minimizing the burden on the public, maximizing the availability of information to the public, using electronic information dissemination where practical, and providing appropriate safeguards for sensitive information. The circular requires the submission of several reports that are completed by the systems managers at Headquarters. It also mandates Privacy Act training for all personnel with access to information subject to Privacy Act restrictions.
4. Federal Records Act. The Federal Records Act (44 U.S.C. 3100) requires the head of each Federal agency to "[e]stablish and maintain an active, continuing program for the economical and efficient management of records." It defines records as including "...all books, papers, maps, photographs, machine-readable materials, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization functions, policies, decisions, procedures, operations, or other activities of Government or because of the informational value of data in them." It also includes procedures for transfer and disposal of agency records.
 - a. The Coast Guard records management policy is described in the Coast Guard Paperwork Management Manual, COMDTINST M5212.12 (series). It includes a detailed description of when and how to dispose of specific records.
 - b. The procedures for transferring records to the Federal Records Centers are described in Transferring Records to Federal Records Centers (FRC), COMDTINST M5212.16 (series). This instruction includes the addresses of national and regional Federal Records Centers.
 - c. All records regardless of the media (paper, disks, diskettes, or tapes) must be managed and maintained in accordance with these Coast Guard Directives.

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FIGURE 12-2

CHECKLIST FOR INFORMATION TO BE WITHHELD

Before releasing information to the public, ensure that none of the information falls into one or more of the following exempted categories:

1. Personal Information: 5 U.S.C. 552(b)(6) and (b)(7)(c)
 - _____ Social Security Numbers (SSN)
 - _____ Home Addresses
 - _____ Home Telephone Numbers
 - _____ Date of Birth/Age
 - _____ Merchant Mariners Document Number
 - _____ License Number
 - _____ Medical Records, including Drug or Alcohol Test Results
 - _____ Names of Persons who are Third Parties or Witnesses
 - _____ Names of Junior Coast Guard Personnel
 - _____ Identifying roles descriptions for persons whose names are withheld
 - _____ Fingerprints
 - _____ Other: _____

2. Information relating to an internal matter: 5 U.S.C. 552(b)(2)
 - _____ Critical infrastructure information
 - _____ Vulnerability assessment
 - _____ Emergency response plan

3. Records whose disclosure is prohibited by law : 5 U.S.C. 552(b)(3)
 - _____ Name of licensed individual reporting defect [46 U.S.C. 3315(b)]
 - _____ Merchant Mariner document file [46 U.S.C. 7319]
 - _____ Records of discharge of merchant seamen [46 U.S.C. 10311(d)]
 - _____ Boating safety accident reports [46 U.S.C. 6102]
 - _____ Passenger vessel and terminal security plans [33 U.S.C. 1226(c)]
 - _____ Sensitive security information described in 49 CFR 1520.7 [49 U.S.C. 40119]

4. Confidential commercial records: 5 U.S.C. 552(b)(4)
 - _____ Company manuals, plans or procedures
 - _____ Financial records
 - _____ Contract bids or estimates
 - _____ Copyrighted material

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5. Inter-agency/intra-agency memorandums or letters: 5 U.S.C. 552(b)(5)
 - _____ Deliberative process materials (decision memos, draft documents, etc.)
 - _____ Attorney work product
 - _____ Attorney-client communications

6. Open investigation cases: 5 U.S.C. 552(b)(5) and (b)(7)(A)
 - _____ Open Marine Casualty cases (no case action indicating case closed in MISLE)
 - _____ Open Personnel Action cases (no case action indicating case closed in MISLE)
 - _____ Open Marine Violation cases (45 days after Final Assessment Letter without appeal)

7. Records provided in confidence for use in a Marine Safety investigation: 5 U.S.C. 552(b)(7)(D)
 - _____ Document from other agencies marked CONFIDENTIAL, NOT FOR PUBLIC RELEASE, or a similar marking indicating it was provided in confidence.
 - _____ Identifying information for witnesses, crime victims and informants