



Commandant  
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COMDTNOTE 5212  
15 JUN 2011

CANCELLED:  
14 JUN 2012

COMMANDANT NOTICE 5212

Subj: CH-1 TO INFORMATION AND LIFE CYCLE MANAGEMENT  
MANUAL, COMDTINST M5212.12A

1. PURPOSE. This Notice publishes change one to the Information and Life Cycle Management Manual, COMDTINST M5212.12A
2. ACTION. All Coast guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall ensure compliance with the provisions of this Notice. Internet release is authorized.
3. DIRECTIVES AFFECTED. INFORMATION AND LIFE CYCLE MANAGEMENT MANUAL, COMDTINST M5212.12A
4. SUMMARY. This Notice includes the insertion of new item number 25 to Standard Subject Identification Codes (SSIC) 16450, General Marine Environmental Protection Records, approved by the National Archives and Records Administration in 2006. The new item number 25 will be used to properly manage all records created or received by all Coast Guard units involved in the response to an Incident of National Significance, such as the Deepwater Horizon Response. Changed pages also updated office symbols throughout from “COMDT (G-M)” to “(COMDT(CG-5))” and corrects a misprint by publishing correct disposition instructions from the NARA approved SF115, by removing SSIC 16480, items 10 b. and c. and renumbering item 10 a. to item 10.
5. PROCEDURES. No paper distribution of this Notice will be made. Electronic copies are available on The Coast Guard Directives System (CGDS) sites located at: Internet: <http://www.uscg.mil/directives>; Intranet: <http://cgweb.comdt.uscg.mil/CGDirectives/Welcome.htm> and CG Portal: <http://cgportal.uscg.mil/delivery/Satellite/CG612>.

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6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in developing this Notice and were determined to be not applicable.
7. FORMS/REPORT. None.

R.E. Day /s/  
Assistant Commandant for Command, Control,  
Communications, Computers, and Information  
Technology

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|----|---|--|
| 18 | Enforcement Agency files, consisting of correspondence and reports between U.S. Coast Guard, U.S. Customs Service, Panama Canal, and other enforcement agencies regarding the Water Pollution Program. (HQINST M5212.6A, para. 538f).                             | Transfer to FRC 5 years after return of certificate. Destroy when 10 years old. (NC1-26-84-8, item 538f)                         |
| 19 | Underwriter Files consisting of insurance or surety company forms with approval memorandum, financial data and other related information for which approval or disapproval is based. (supersedes HQINST M5212.6A, para. 538b).                                    | Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8, item 538b) |
| 20 | Master Insurance File consisting of blanket insurance forms covering all vessels under repair or construction, etc. under the care of a ship builder. (supersedes HQINST M5212.6A, para. 538c).   | Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8, item 538c) |
| 21 | Self Insurers Files, consisting of data pertaining to the financial status, solvency and financial responsibility of applicants. (supersedes HQINST M5212.6A, para. 538d).  | Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8, item 538d) |
| 22 | Concurrence of Agent For Service of Applicants File, consisting of written agreements of United States firms to act as U. S. Agent for service of process for certain vessel owners, vessel operators, or underwriters. (supersedes HQINST M5212.6A, para. 538e). | Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8, item 538e) |
| 23 | Application Log Books. This log contains the date of applicant's request for certificate, applicant's name, control number, and approval or disapproval of request. (supersedes HQINST M5212.6A, para. 538g).   | Destroy when no longer needed for reference or when 5 years old, whichever is sooner. (NC1-26-84-8, item 538g)                   |
| 24 | Deepwater Port Environmental Impact Statements. (supersedes HQINST M5212.6A, para. 531).  | Destroy 3 years after termination of license. (NC1-26-76-2, item 531)  |

25 Disaster Operations. Emergency response actions including but not limited to SAR missions, security, logistics, communications, public information dissemination, intelligence gathering, onsite command and control, operation of incident command system/center, waterway traffic circulation, assistance to/from state, local, federal, private and non-profit entities, reconstitution of ports, shorelines and waterways, maintenance to ATONS, oil and pollution procedures, firefighting, salvage, protection of health, human safety and wildlife, deployment of special monitoring devices, processing of claims, and investigations and other humanitarian assistance activities.

a. Emergency and Disaster Documentation - Incidents of National Significance, Collected/received copies of original records.

As determined by the Secretary of Homeland Security in coordination with the National Response Plan an incident of national significance is declared whenever a disaster (either natural or manmade) occurs and harms or threatens a community or the natural environment requiring a concentrated multi-faceted coordination of federal, state, local, and private emergency resources. Federal response during such an emergency or disaster (For example, Hurricane Katrina or 9/11) requires exceptional documentation. USCG's involvement in the response should be a concerted effort carried out by units affected or providing support, special documentation teams, liability investigators, contractors, JAG representatives, historians and public affairs. The purpose of such documentation is to collect, preserve and make accessible copies of documents, video, photography, email, presentations, and other related records of events surrounding the disaster in order to preserve the vital historical and legal data that details events and activities from onset, through continuity to future operations. This documentation provides a complete and accurate compilation of the Coast Guard's response.

Permanent. Transfer to National Archives upon completion of documentation project. At the time of transfer the National Archives and USCG will determine an acceptable medium and format in which records will be transferred.

(AUTH: N1-26-06-5, Item 1)

b. Minor Incidents and Disasters Records created

Apply appropriate SSIC/disposition

throughout the normal business operations of the Coast Guard, such as SAR case files (SSIC 16100) or pollution fund case files (SSIC 16480), should be maintained in accordance with appropriate record types and as promulgated in COMDTINST M5212.12 (series).

authority for records.

c. **Electronic Records That Replace Permanent Hard Copy Records**, approved as permanent in a previously approved schedule.

Permanent. CG Records Officer will submit notification to NARA in accordance with 36 CFR 1225.24(a)(1). (N1-GRS-07-4 item 3.1)

**NOTES:** (1) Electronic versions of permanent records that are retained as recordkeeping copies must meet the standards contained in NARA guidance concerning the creation, maintenance, and transfer of permanent electronic records. (2) This item does not cover copies of permanent records maintained on agency web sites, which must be scheduled separately.

**d. Word Processing Files.**

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision. (N1-GRS-95-2 item 13; GRS 20, item 13)

**e. Electronic Mail Records.**

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system. (N1-GRS-95-2 item 14; GRS 20, item 14)

[**NOTE:** Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required. (N1-GRS-95-2 item 14 Note)]

<u>ITEM NO.</u>	<u>SSIC 16480 HAZARDOUS CHEMICAL AND OIL RESPONSE</u>	<u>AUTHORIZED DISPOSITION</u>
1	Rules, regulations and directives case files containing material used in preparation of rules and regulations published in the Federal Register pertaining to Hazardous Materials. (supersedes HQINST M5212.6A, para. 444).	Destroy 30 years after publication. Transfer to FRC 10 years after publication. (NC1-26-76-2, item 444)
2	Chemical Engineering files containing correspondence, reports and related materials on general policies for transporting chemicals and other hazardous materials. (supersedes HQINST M5212.6A, para. 445).	Destroy when administrative needs have been met. (NC1-26-76-2, item 445)
3	Special exemptions (letter of exception) for explosives and other dangerous articles, including correspondence. (supersedes HQINST M5212.6A, para. 447).	Destroy 10 years after permit is expired or revoked. Transfer to FRC when permits expire or are revoked. (NC1-26-76-2, item 447)
4	Copy of Department of Homeland Security Exemption with concurrence by Coast Guard and related correspondence. (supersedes HQINST M5212.6A, para. 448).	Destroy when expired or revoked. (NC1-26-76-2, item 448)
5	Certificates for dangerous articles such as ships stores and supplies, including pertinent correspondence "type" approval case files (CG-190). (supersedes HQINST M5212.6A, para. 446).	Destroy 10 years after expiration of approval. (NC1-26-76-2, item 446)
6	Copies of permits issued to barges and ships for loading of explosives, and related papers. (supersedes COMDTINST M5212.12, para. 235).	Destroy when 1 year old. (NC-26-80-4, item 235)
7	Oil Record Book (G-4601). (supersedes COMDTINST M5212.12, para. 236).	Destroy after edit. (NC-80-4, item 236)
8	Oil and Hazardous Substance Discharge Records. Records generated in response to an oil and hazardous substance pollution incident as defined by the National Oil and Hazardous Substance Pollution Contingency Plan (NCP) as cited in 40 CFR Part 300.	

Major Discharges and Releases. A **major** discharge is defined as a discharge of more than 10,000 gallons of oil to the inland waters or more than 100,000 gallons of oil to the coastal waters. Major release means a release of any quantity of hazardous substance(s), pollutant(s), or contaminant(s) that pose a substantial threat to public health or welfare of the environment, or results in significant public concern. (40 CFR, Part 300.6)

a. Correspondence files. Discharge correspondence of the Federal On-Scene Coordinator (FOSC), which consists of communications between members of the National Response Team (NRT), other Federal participants, media, and vested parties including the party responsible for the discharge. This item includes all subject correspondence files, including FAX files. FAX files must be copied on acceptable paper as cited in NARA Bulletin 91-6.

Permanent. Transfer to FRC at completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

b. Correspondence Database. Database which tracks and identifies by subject all correspondence received and generated from the Office of the FOSC.

Permanent. Transfer to NARA along with technical documentation that provides a comprehensive definition of the format and content of the records in the database when related correspondence is transferred to FRC. (N1-26-92-1)

c. Any required reports requested or submitted by the NCP, NRT, or FOSC, or U.S. Coast Guard.

Permanent. Transfer 2 copies of each report to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

d. Daily files. These files are the principal source of material for the weekly chronology files. The files include: pollution reports files (PolReps); plan of the day; Incident Command Post (ICP) daily reports, State information; principle party work plans and daily reports; the Admiral's itinerary; and the U.S. Coast Guard's press information.

Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

e. Segment files. These files document the clean-up effort of each segment of area (shoreline/beach) affected by the discharge. The files contain shoreline evaluation and the principle party's recommendations for action, documentation relating to internal U.S. Coast Guard review and comments from other interested Federal and State agencies; photographs of the segment; daily reports on the clean-up effort; and final assessment which is signed off by the U.S. Coast Guard.

Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case closed. (N1-26-92-1)

f. Financial Records. Financial records maintained by the FOSC used in the clean-up and recovery efforts to carry out functions under the Oil Pollution Act of 1990. These files include copies of certification, letters authorizing payment, copies of other Federal agencies proposals, acknowledgment of receipts, bills/invoices, time sheets of U.S. Coast Guard man-hours expended, contract information and U.S. Coast Guard operation reports.

Permanent. Transfer to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

9 On-Scene Coordinator's Public Affairs Office

a. Public Affairs Office maintains case file of original documents including newspaper clippings, news and press releases and correspondence relating to media inquiries.

Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

b. Slides, still photographic prints and related video tapes of the discharge and related activities

Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

c. Protocol records consisting of visiting VIP schedules, agenda and meeting arrangements.

Temporary. Transfer to FRC at completion of clean-up. Destroy 10 years after case is closed. (N1-26-92-1)

10 Minor and Medium Discharges and Releases

A minor discharge means a discharge to the inland waters of less than 1,000 gallons of oil or a discharge to the coastal waters of less than 10,000 gallons of oil.

A minor release means a release of a quantity of hazardous substance(s), pollutant(s), or contaminant(s) that poses minimal threat to public health or welfare to the environment.

A medium discharge means a discharge of 1,000 to 10,000 gallons of oil to the inland waters, or a discharge of 10,000 to 100,000 gallons to the coastal waters. A medium release means all releases not meeting the criteria for classification as a minor or major release.

- 10 Case files containing documentation as required by the NCP and U.S. Coast Guard mandates. Files include correspondence, FOSC reports and activities, plans of clean-up activities, and documentation supporting the cost of the clean-up activities. Transfer to FRC upon clean-up. Destroy files 20 years after clean-up. (N1-26-92-1)

\*\*\*Any press releases and audio visual records and other routine permanent records above (slides, still prints, videos) should be transferred to the Public Affairs Office and treated as permanently valuable files as authorized by SSIC 5750, items 1 and 2; SSIC 16000 items 3, 6, 9 and 10. (Supersedes COMDTINST M5212.12, items 49, 51a and b, and 52. Also HQINST M5212.6A items 84 through 88.)

Note: Some Minor and Medium Discharge case files may be worthy of permanent retention if they significantly document NRT or U.S. Coast Guard policy in discharge recovery or if they document spills in ecologically sensitive areas, such as fishing or animal nesting areas.

- 11 Report of deepwater port oil throughput. (supersedes HQINST M5212.6A, para. 533 and COMDTINST M5212.12, para. 265). Destroy when 3 years old. (NC1-26-76-2 and NC-26-80-4, items 533 and 265)
- 12 **All other** CG Environmental Records. All records construed to be “environmental.” Includes, but are not limited to: hazardous waste management; pollution incidents/clean-up; environmental planning; spill response; and asbestos and/or any other chemicals/materials. (supersedes COMDTINST M5212.12, CH-5 para. 442) Retain indefinitely. Item 442

**SSIC 16500-16549 SHORT RANGE AIDS TO NAVIGATION**

<u>ITEM NO.</u>	<u>SSIC 16500 SHORT RANGE AIDS TO NAVIGATION</u>	<u>AUTHORIZED DISPOSITION</u>
1	<p>Records created by the Office of Navigation documenting the organizational development and administration consisting of the following: (supersedes HQINST M5212.6A, para. 40).</p> <p>a. Official record copy of each directive/publication issued with significant background material. (supersedes HQINST M5212.6A, para. 40a).</p> <p>b. Studies/Surveys conducted by the Office of Navigation.</p> <p style="padding-left: 40px;">(1) Studies/Surveys which resulted in Coast Guard-wide adoption of policy or management programs:</p> <p style="padding-left: 80px;">(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.</p> <p style="padding-left: 80px;">(b) Which are not forwarded to or published by a higher authority.</p> <p style="padding-left: 40px;">(2) Studies/Surveys which did not result in Coast Guard-wide adoption of policy or management programs.</p>	<p>Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-83-3, item 40a )</p> <p>Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-83-3, item 40b(1)(a))</p> <p>Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-83-3, item 40b(1)(b))</p> <p>Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-83-3, item 40b(2))</p>
2	<p>General administrative correspondence files (excluding primary records above) from various activities for administration and general management of CG affairs. (supersedes HQINST M5212.6A, para. 41).</p>	<p>Destroy when 5 years old. (NC1-26-83-3, item 41)</p>
3	<p>Record material of a routine or housekeeping nature. (supersedes HQINST M5212.6A, para. 42).</p>	<p>Destroy when 3 years old. (NC1-26-83-3, item 42)</p>

- 4 Aids to Navigation. Aids to Navigation case files pertaining to the development of, and case files pertaining to the operation, damage and repair of light vessels, light stations and buoys. Contains copies of authorizations to establish aids, charts indicating locations of aids, records relating to discontinuance of aids, message traffic, and Standardized Aids to Navigation (SANDS) reports and letters pertaining to the aid. (supersedes COMDTINST M5212.12, para. 311 and HQINST M5212.6A, para. 43).
- a. Minor Aids
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| (1) Case files which have been microfilmed in accordance with procedures contained in the Federal Property Management Regulations, Subchapter B, applying quality control and storage standards for nonpermanent records to be held for 10 years or more. (FPMR 101-11.507 (c)(1)). | Destroy paper document after case file is microfilmed and quality content edit of microfilm is completed.<br>(NC1-26-76-2 and NC-26-80-4, item 311a(1)) |
| (2) Case files which have not been microfilmed.   | Destroy 3 years after aid is disestablished.<br>(NC1-26-76-2 and NC-26-80-4, item 311a(2))  |
- b. Major Aids
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| (1) Case files which have been microfilmed in accordance with procedures contained in the Federal Property Management Regulations Sub-Chapter B applying quality control and storage standards for non-permanent records to be held for 10 years or more (FPMR 101.11.507 c(1)). | Permanent. Destroy paper copy after microfilm quality control edit is completed. Offer silver and diazo copy to NARA 3 years after aid is disestablished.<br>(NC1-26-76-2 and NC-26-80-4, item 311b(1)) |
| (2) Case files which have not been microfilmed.  | Permanent. Transfer to FRC 3 years after aid is disestablished.<br>(NC1-26-76-2 and NC-26-80-4, item 311b(2))   |
- c. Major aids to navigation master files consisting of applications and authorities granted to them by the Commandant with supporting papers, charts and graphs for establishment, change or discontinuance of aids to navigation.
- Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 20 years old. (NC1-26-76-2 and NC-26-80-4, item 43)

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| 5  | Photographs of minor aid structures, equipment and systems. (supersedes HQINST M5212.6A, para. 153).  | Destroy after completion of project and disposition of the equipment or system. (NC1-26-76-2, item 153) |
| 6  | Aids to navigation photographs. Copies of photographs of aids to navigation within the district. (supersedes COMDTINST M5212.12, para. 321).  | Destroy 3 years after disestablishment of aid. (NC-76-80-4, item 321)                                   |
| 7  | Light lists of aids to navigation, loose-leaf master light lists with sources of information for correction. (supersedes COMDTINST M5212.12, para. 320 and HQINST M5212.6A, para. 49).  | Permanent. Transfer to FRC when 15 years old. (NC-76-80-4, items 320 and 49)                            |
| 8  | Light lists of aids to navigation; <u>bound copy</u> . (supersedes HQINST M5212.6A, para. 48).  | Destroy when 25 years old. (NC1-26-76-2, item 48)   |
| 9  | Standardized Aids to Navigation Data System (SANDS) Assignment List. (supersedes COMDTINST M5212.12, para. 315).  | Destroy when superseded or obsolete. (NC-26-80-4, item 315)   |
| 10 | SANDS Aids to Navigation Quarterly Work Schedule. (supersedes COMDTINST M5212.12, para. 316).   | Destroy 1 year from date of issue. (NC-26-80-4, item 316)   |
| 11 | Logs. Transcripts of logs of lightships, light stations and cutters. Loran Transmitting Station and/or Monitor Log, Form CG-3912 (supersedes COMDTINST M5212.12, para. 317a and b).   | Destroy when 1 year old. (NC-26-80-4, items 317a and b)   |
| 12 | Case files pertaining to the establishment of aids to navigation marking wrecks containing copies of authorizations to establish aids, charts indicating positions of aids and wrecks, and records of authority for discontinuing the aids. (supersedes COMDTINST M5212.12, para. 313). | Destroy 3 years after discontinuing aid or removal of the wreck. (NC-26-80-4, item 313)                 |
| 13 | Short range aids to navigation, MEP and marine science equipment investigations and evaluation case files. (supersedes HQINST M5212.6A, para. 151).   | Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2, item 151)                                  |
| 14 | Instruction books for marine science and short range aids to navigation equipment. (supersedes HQINST M5212.6A, para. 159).   | Destroy at Headquarters after disposition of equipment. (NC1-26-76-2, item 159)                         |

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| 15 | Structural, electronic, large navigational buoys and marine environmental protection equipment alterations and cover sheets to forms (CG-3213). (supersedes HQINST M5212.6A, para. 157).  | Destroy at Headquarters 5 years after completion. (NC1-26-76-2, item 157)   |
| 16 | Copies of plans and marine science, MEP and short range aids to navigation equipment and structures (supersedes HQINST M5212.6A, para. 150).  | Permanent. Transfer to NARA when superseded or canceled. (NC1-26-76-2, item 150)                                  |
| 17 | Major aids to navigation master files consisting of applications and authorities granted to them by the Commandant with supporting papers, charts and graphs for establishment, change or discontinuance of aids to navigation. (supersedes HQINST M5212.6A, para. 43 and 43a). | Permanent. Transfer to NARA when 3 years old. Transfer to FRC when 20 years old. (NC1-26-82-11, items 43 and 43a) |
| 18 | Strip charts of original OMEGA transmitter station phase difference data of various monitoring sites for frequencies 10.2, 11.3 and 13.6 Khz.   | Permanent. Transfer to NARA in 5-year blocks. Transfer to FRC when 2 years old. (NC1-26-82-11, item 43a)          |

ITEM      SSIC 16502 MARINE INFORMATION  
NO.

AUTHORIZED DISPOSITION

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| 1 | Notices to Mariners, weekly. (supersedes COMDTINST M5212.12, para. 319a).   | Destroy when 2 years old. (NC-26-80-4, item 319a)  |
| 2 | Notices to Mariners, local. (supersedes COMDTINST M5212.12, para. 319b).  | Destroy when 20 years old. Transfer to FRC when 3 years old. (NC-26-80-4, item 319b)         |
| 3 | Local Notices to Mariners. Records of changes in aids to navigation forwarded from Coast Guard Districts. (supersedes HQINST M5212.6A, para. 45 and 518). | Destroy when 5 years old. Transfer to FRC when 2 years old. (NC1-26-82-1, items 45 and 518)  |
| 4 | Notices to Mariners concerning changes to aids to navigation. (supersedes HQINST M5212.6A, para. 44 and 517).   | Destroy when 10 years old. Transfer to FRC when 5 years old. (NC1-26-82-1, items 44 and 517) |

<u>ITEM NO.</u>	<u>SSIC 16518 PRIVATE AIDS TO NAVIGATION</u>	<u>AUTHORIZED DISPOSITION</u>
1	Private aids to navigation case files containing applications for proposed establishment of private aids, which include navigation lights and fog sounding devices on bridges, rigs or other stationary objects; also periodic inspection reports, correspondence, plans, specifications and pending proposals, operative and discontinued. (supersedes COMDTINST M5212.12, para. 312).	Destroy 3 years after discontinuance of aid or rejection of application for aid. (NC-26-80-4, item 312)

<u>ITEM NO.</u>	<u>SSIC 16560 LORAN/OMEGA RECORDS.</u>	<u>AUTHORIZED DISPOSITION</u>
1	Loran recording charts. (supersedes COMDTINST M5212.12, para. 296a(6) and 322).	Destroy when 3 years old. (NC-26-80-4, items 296a(6) and 322)
2	Loran transmitting station and/or monitor log, form CG-3912. (supersedes COMDTINST M5212.12, para. 317b).	Destroy when 1 year old. (NC1-26-84-1, item 317b)
3	Reports of aids to navigation. Report of Loran Station Operation and Electronics Engineering (CG-2899). (supersedes COMDTINST M5212.12, para. 318a).	Destroy when 3 years old. (NC-26-80-4, item 318a)
4	Monthly reports furnishing technical data, etc. on Loran stations and compilations. (supersedes HQINST M5212.6A, para. 46).	Destroy when 1 year old. (NC1-26-76-2, item 46)
5	Monthly compilations of reports on Loran stations. Including phase out reports. (supersedes HQINST M5212.6A, para. 47).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-76-2, item 47)
6	Strip charts of original OMEGA transmitter station phase difference data of various monitoring sites for frequencies 10.2, 11.3 and 13.6Khz (supersedes HQINST M5212.6A, para. 43a).	Permanent. Transfer to NARA in 5 year blocks. Transfer to FRC when 2 years old. (NC1-26-76-2, item 43a)

## SSIC 16590-16599 BRIDGE ADMINISTRATION

<u>ITEM NO</u>	<u>SSIC 16590 GENERAL BRIDGE OPERATIONS RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1	Permits for bridges across navigable waters. (supersedes HQINST M5212.6A, para. 51 and COMDTINST M5212.12, para.310a).	Permanent. Transfer to FRC 1 year after completion of the project. Transfer to NARA 10 years after completion of project. (NC1-26-82-11, items 51 and 310a)
2	Drawbridge operation regulations (case files). (supersedes HQINST M5212.6A, para. 52 and COMDTINST M5212.12, para 310b).	Destroy 2 years after bridge is made a "fixed bridge" or bridge is removed from the waterway. Transfer to FRC when 5 years old. (NC1-26-76-2 and NC-26-80-4, items 52 and 310b)
3	Obstructive bridge (case files) (supersedes HQINST M5212.6A, para 53).	Destroy 2 years after bridge is removed from the waterway. Transfer to FRC 10 years after alteration. (NC1-26-76-2, item 53)
4	Files on obstructive bridge projects, including reports of public hearings, orders to alter, orders of apportionment of costs, contracts and plans showing clearance and design criteria. (supersedes HQINST M5212.6A, para. 114).	Destroy 20 years after completion of the project. Transfer to FRC 3 years after completion of project. (NC1-26-76-2, item 114)

**SSIC 16600-16699 PORT SAFETY AND SECURITY**

<u>ITEM NO.</u>	<u>SSIC 16600 PORT SAFETY AND SECURITY</u>	<u>AUTHORIZED DISPOSITION</u>
1	Records created by the Office of Operations documenting the organizational development and administration of the Office of Operations consisting of the following: (supersedes HQINST M5212.6A, para. 451).	
	a. Official record copy of each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2, item 451)
	b. Studies/surveys conducted by the Office of Operations	
	(1) Studies/surveys which resulted in Coast Guard-wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2, item 451b(1)(a))
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2, item 451b(1)(b))
	(2) Studies/surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2, item 451(2))
2	General administrative correspondence (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities. (supersedes HQINST M5212.6A, para. 452 and COMDTINST M5212.12, para. 221).	Destroy when 10 years old. (NC1-26-76-2, item 452 and NC-26-80-4, item 221)

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| 3  | Correspondence files of a routine administrative or housekeeping nature. (supercedes HQINST M5212.6A, para. 453 and COMDTINST M5212.12, para. 221).  | Destroy when 3 years old.<br>(NC1-26-76-2, item 453 and NC-26-80-4, item 221)                               |
| 4  | Reports, summaries and routine correspondence from other agencies (supersedes COMDTINST M5212.12, para. 223).  | Destroy when 2 years old.<br>(NC1-26-76-2 and NC-26-80-4, item 223)   |
| 5  | Special program project files consisting of correspondence, reports, etc. on administrative matters such as budget, coordinating operation/ activities. (supersedes HQINST M5212.6A, para. 454).   | Destroy record material from case files when 3 years old. (NC1-26-76-2, item 454)                           |
| 6  | Abstracts of service-wide operations (supersedes HQINST M5212.6A, para. 455).  | Destroy when 4 years old. (NC1-26-76-2, item 455)   |
| 7  | Ships' files containing requests to load explosives, copies of permits, stowage plans, lighter permits, and related documents pertaining to particular vessels. (COMDTINST M5212.12, para. 215).   | Destroy when 1 year old. (NC-26-80-4, item 215)   |
| 8  | Annual applications for mooring permits in Federal anchorage. (supersedes COMDTINST M5212.12, para. 216)   | Destroy after issuance of new permit.<br>(NC-26-80-4, item 216)   |
| 9  | Anchorage check list of vessels in Federal anchorage (supersedes COMDTINST M5212.12, para. 217).   | Destroy when 1 year old. (NC-26-80-4, item 217)   |
| 10 | Incoming ships' lists received from Collector of Customs giving names of vessels entering port. (supersedes COMDTINST M5212.12, para. 218).  | Destroy when 1 year old. (NC-26-80-4, item 218)   |
| 11 | Operational intelligence case files containing correspondence, reports and collected intelligence information pertaining to law enforcement, foreign fishing vessels, merchant marine vessels, Coast Guard sea patrols and general intelligence activities. (supersedes HQINST M5212.6A, para. 462). | Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 15 years old.<br>(NC1-26-76-2, item 462) |

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| 12 | Records of Port Security Cards issued (CG-3177). Index cards showing approval and/or disapproval of application for Port Security Cards maintained at central control. (supersedes HQINST M5212.6A, para. 463 and 464 and COMDTINST M5212.12, para. 430).              | Destroy 10 years from date of issue or denial. (NC1-26-76-2 items 463 and 464, and NC-26-80-4, item 430)   |
| 13 | Port Security Record Card (Form CG-3170). Port security card application files consisting of fingerprint card (FD-285), application (Form CG-2685), questionnaire (Form CG –3885) and other related correspondence. (supersedes COMDTINST M5212.12, para. 431 and 432) | Destroy 2 years after card expires. (NC-26-80-4, items 431 and 432)  |
| 14 | Report of deepwater port casualty or accident. (supersedes HQINST M5212.6A, para. 534 and COMDTINST M5212.12, para. 266).  | Destroy when 5 years old. (NC1-26-76-2, item 534 and NC-26-80-4, item 266)   |
| 15 | Report of sabotage or subversive activities at a Deepwater Port. (supersedes HQINST M5212.6A, para. 535 and COMDTINST M5212.12, para. 267).  | Destroy when 5 years old. (NC1-26-76-2 items 535 and NC-26-80-4, item 267)   |
| 16 | Deepwater port operations manual. (supersedes HQINST M5212.6A, para. 537 and COMDTINST M5212.12, para. 269).   | Permanent. Transfer to FRC 1 year after license is terminated. Transfer to NARA 5 years after termination. (NC1-26-76-2 item 537 and NC-26-80-4, item 269) |
| 17 | Proof of bonding for removal of deepwater port components. (supersedes HQINST M5212.6A, para. 530).  | Destroy after port components are removed. (NC1-26-76-2, item 530)   |
| 18 | Copies of American Bureau of Shipping Classification for Single Point Mooring at Deepwater Ports. (HQINST M5212.6A, para. 529).  | Destroy 3 years after port license is terminated. (NC1-26-76-2, item 529)  |

<u>ITEM NO.</u>	<u>SSIC 16617 PERSONNEL SCREENING</u>	<u>AUTHORIZED DISPOSITION</u>
1	Intelligence files (personnel-type folders consisting of various intelligence data including correspondence, reports of investigations on military and civilian personnel, merchant seamen, and waterfront workers previously sent to FRC) pursuant to EO 10173 and 10450 with alphabetical index thereto. (supersedes HQINST M5212.6A, para. 461).	Destroy 20 years from date of transfer to FRC. Transfer to FRC 1 year after date of last action. Transfer will be held in abeyance for any individuals still on active duty in the Coast Guard. (NC1-26-76-2, item 461)
2	Letters of personnel qualifications for deepwater ports. (supersedes HQINST.6A, para. 536 and COMDTINST M5212.12, para. 268).	Destroy 3 years after termination of employment. (NC1-26-76-2, item 536 and NC-26-80-4, item 268)

<u>ITEM NO.</u>	<u>SSIC 16630 VESSEL TRAFFIC MANAGEMENT</u>	<u>AUTHORIZED DISPOSITION</u>
1	Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels. (supersedes HQINST M5212.6A, para. 514),	Destroy when 2 years old. (NC1-26-76-2, item 514)
2	Message reports of vessel movement. (supercedes HQINST M5212.6A para. 515 and COMDTINST M5212.12, para. 224).	Destroy when 3 months old. (NC1-26-76-2, item 515 and NC-26-80-4, item 224)
3	Transit logs/merchant ships. (supersedes COMDTINST M5212.12, para. 434).	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC-26-80-4, item 434)
4	Individual transit/voyage data cards; audio tape recordings; computer tapes. (supersedes COMDTINST M5212.12, para. 435, 436, and 439).	Destroy after 30 days. <b>NOTE:</b> Material relating to a marine casualty which is not incorporated into an investigation to be preserved may be disposed of only after approval of District Legal Officer. (NC-26-80-4, items 435, 436, 439)
5	Video tape recordings. (supersedes COMDTINST M5212.12, para. 437).	Destroy after 24 hours. *See note above. (NC-26-80-4, item 437)

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| 6 | Film recordings. (supersedes COMDTINST M5212.12, para. 438).                          | Destroy after 1 year. *See note above. (NC-26-80-4, item 438) |
| 7 | Computer printouts/statistical summaries. (supersedes COMDTINST M5212.12, para. 440). | Destroy after 1 year. *See note above. (NC-26-80-4, item 440) |

## SSIC 16700-16749 COMMERCIAL VESSEL SAFETY

These records relate to the organization and administration of the Coast Guard Commercial Vessel Safety Program, which includes: the inspection and documentation of vessels; the investigation of marine casualties and accidents; the licensing, certificating, shipment and discharge of seamen; the enforcement of vessel inspection; navigation; seamen's laws in general; port safety and security; marine environmental protection; and laws governing safety on structures subject to the provisions of the Outer Continental Shelf Lands Act. The records reflect relations with the maritime industry, including seamen's organizations, ship operators, shipbuilders and manufacturers of equipment, etc. on safety matters.

<u>ITEM NO.</u>	<u>SSIC 16700 COMMERCIAL VESSEL SAFETY</u>	<u>AUTHORIZED DISPOSITION</u>
1	<p>Records created by the Office Merchant Marine Safety documenting the organizational development and administration of the Office of Merchant Marine Safety consisting of the following: (supersedes HQINST M5212.6A, para. 401).</p> <p>a. Official record copy of each directive/publication issued with significant background material.</p> <p>b. Studies/Surveys conducted by the Office of Merchant Marine Safety.</p> <p>(1) Studies/Surveys resulting in Coast Guard-wide adoption of policy or management programs.</p> <p style="padding-left: 40px;">(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.</p> <p style="padding-left: 40px;">(b) Which are not forwarded to higher authority or published by the higher authority.</p> <p>(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management.</p>	<p>Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2, item 401a)</p> <p>Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2, item 401b(1)(a))</p> <p>Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2, item 401b(1)(b))</p> <p>Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2, item 401b(2))</p>

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| 2 | General administrative correspondence, reports and related material (excluding primary records) from various activities of Merchant Marine Safety. (supersedes HQINST M5212.6A, para. 402 and COMDTINST M5212.12, para. 185) | Destroy when 2 years old. (NC1-26-76-2, item 402 and NC-26-80-4, item 185)  |
| 3 | Plans, parts lists, etc. which have been specifically furnished to aid vessel systems installation review. (supersedes COMDTINST M5212.12, para. 194)  | Destroy upon receipt of superseding issues (i.e. fire extinguishing system typical installation plans, parts lists, etc.) (NC-26-80-4, item 194)  |
| 4 | Record material of a routine administrative or housekeeping nature (supersedes HQINST M5212.6A, para. 403).  | Destroy when 1 year old. (NC1-26-76-2, item 403)  |
| 5 | Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 197, 255 and 280).   | Destroy when 2 years old. (NC-26-80-4, items 197, 255, and 280)   |
| 6 | Ship Structure Committee (SSC) (supersedes HQINST M5212.6A, para. 404a and b).   |   |
|   | a. Records containing minutes and agenda of meetings, reports, correspondence and administrative papers of joint interdepartmental investigations and meetings.  | Permanent. Transfer to FRC after 2 fiscal years. Transfer to NARA 20 years after event. (NC1-26-82-13, item 404a)   |
|   | b. Numbered SSC research investigative reports published for maritime and academic use.  | Permanent. Maintain at Headquarters by Secretary for Committee Chairman as active working/reference copy for 30 years. Transfer to NARA when 30 years old in 5 year blocks. (NCI-26-82-13, item 404b) |
| 7 | Merchant Marine Industry Training Program records. Contains correspondence between student and Office Chief either direct or via the industry training facility. (supersedes HQINST M5212.6A, para 406.)                     | Hold as long as individual remains on active duty. When inactive status takes place, withdraw final report and transfer to FRC. Destroy when 30 years old. (NC1-26-76-2, item 406)                    |
| 8 | Merchant Marine Project Safety Files. (supersedes HQINST M5212.6A, para. 409).   | Destroy 3 years after completion of project. (NC1-26-83-1, item 409)  |

9 a. CASUALTY MAINTENANCE (CASMAIN SYSTEM). These electronic records consist of information Investigating Officers at Marine Safety field units report on commercial vessel and outer-continental shelf platform incidents, including personnel injuries meeting the criteria in 46 Code of Federal Regulations (CFR) 4.05, 33 CFR 140.201 and 33 CFR 173.55. The records contain incident specific information as well as causal factors derived from each casualty investigation report. Information in the records includes incident types, location and dates, identities of vessel, platforms and injured personnel, and measures of the extent of the casualty.  
INCLUSIVE DATES; September 1980 and thereafter.  
ARRANGEMENT STATEMENT; The files are arranged by case number and thereunder by vessel identification number.  
STATEMENT OF RESTRICTIONS; There are public access restrictions covering medical information relating to injured personnel.  
CURRENT VOLUME; 1 reel.  
ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.

Permanent. Cutoff annually. Transfer copy to NARA 6 years after cutoff. Transfer copy of 1980 through 1986 files to NARA 1 month after NARA notified USCG of approval of the schedule.  
(N1-26-93-4)

b. CASUALTY MAINTENANCE (CASMAIN) SYSTEM DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files.  
INCLUSIVE DATES: September 1980 and thereafter.  
ARRANGEMENT STATEMENT; No special arrangement.  
STATEMENT OF RESTRICITONS; There are no restrictions.  
CURRENT VOLUME; 1 cu. ft.  
ESTIMATE OF ANNUAL ACCUMULATION; Less than 1 cu. ft.

Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file.  
(N1-26-93-4)

c. VESSEL CASUALTY DATA BASE (VESCAS). These electronic records consist of information of Investigating Officers at Marine Safety field units reporting on commercial vessel incidents meeting the criteria of 46 Code of Federal Regulations (CFR) 4.05-1. The records contain incident specific information. Information in the records includes incident types, location and dates, identities of vessels, and platforms.

INCLUSIVE DATES: January 1963 through September 1980.

ARRANGMENT STATEMENT; The files are arranged by case number and thereunder by vessel identification number.

STATEMENT OF RESPTRICTIONS; There are no restrictions.

CURRENT VOLUME: 1 reel.

ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.

Permanent. Transfer copy of 1963 through 1980 files to NARA 1 month after NARA notified USCG of approval of the schedule. Cut off annually. (N1-26-93-4)

d. VESSEL CASUALTY DATA BASE (VESCAS) DOCUMENTATION. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files.

INCLUSIVE DATE: January 1963 through 1980.

ARRANGEMENT STATEMENT; No special arrangement.

STATEMENT OF RESTRICTIONS; There are no restrictions.

CURRENT VOLUME: 1 cu. ft.

ESTIMATE OF ANNUAL ACCUMULATION; less than 1 cu. ft.

Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-4)

e. PERSONNEL CASUALTY DATA BASE (PERCAS). These electronic records consist of information Investigating Officers at Marine Safety field units report on personnel injuries meeting the criteria of 46 Code of Federal Regulations (CFR) 4.05-1. The records contain incident specific information as well as casualty factors derived from each casualty investigation report. The records include information about injured personnel and measures of the extent of the casualty.

INCLUSIVE DATES; January 1963 through September 1980.

Permanent. Transfer copy of 1963 through 1980 files to NARA 1 month after NARA notified USCG of approval of the schedule. Cut off annually. (N1-26-93-4)

ARRANGEMENT STATEMENT: No special arrangement.  
 STATEMENT OF RESTRICTIONS; There are no restrictions.  
 CURRENT VOLUME: 1 reel.  
 ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.

f. PERSONNEL CASUALTY DATA BASE (PERCAS) DOCUMENTATION. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files.  
 INCLUSIVE DATES; January 1963 through September 1980.  
 ARRANGEMENT STATEMENT. No special arrangements.  
 STATEMENT OF RESTRICTIONS; There are no restrictions.  
 CURRENT VOLUME; less than 1 cu. ft.  
 ESTIMATE OF ANNUAL ACCUMULATION: less than 1 cu. ft.

Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file.  
 (N1-26-93-4)

<u>ITEM NO.</u>	<u>SSIC 16705 INDUSTRY RELATIONS</u>	<u>AUTHORIZED DISPOSITION</u>
1	International Association of Lighthouse Authorities records containing minutes and agenda of Executive Committee meetings, reports, correspondence and administrative papers pertaining to Coast Guard participation. (supersedes HQINST M5212.6A, para. 38).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2, item 38)
2	Correspondence pertaining to the Coast Guard's participation in international and national expositions, bicentennials, etc. (supersedes HQINST M5212.6A, para. 39).	Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 20 years old. (NC1-26-76-2, item 39)

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| 3 | Documentation initiated by the U.S. Coast Guard consisting of U.S. Delegation Reports, minutes of meetings and related documents pertaining to international maritime organizations concerning U.S. position and representation of various conferences. Documents which have been microfilmed in accordance with GSA regulations concerning microfilming of permanent records. |   |
|   | a. Paper document. (supersedes HQINST M5212.6A, para. 37a).  | Destroy after completion of quality control edit as outlined in FPRM 101-11.5 (NC1-26-76-2, item 37a) |
|   | b. Silver original copy plus one positive copy of each microfilm which is a silver negative.   | Permanent. Transfer to NARA annually. (NC1-26-76-2, item 37b)   |
|   | c. Additional microfilm copies.  | Maintain at CG Headquarters as an active working file. (NC1-26-76-2, item 37c)                        |

ITEM NO.      SSIC 16710 COMMERCIAL VESSELS

AUTHORIZED DISPOSITION

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| 1 | Commercial Vessel Case files consisting of general arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manuals, automation test procedures, fire control plan and stability letters and other related commercial vessel material. Plans, blueprints, forms and related correspondence of documented commercial vessels for design and construction, alteration, conversion, modification equipment and inspection, some "type" approval and dangerous articles data (Excludes Subchapter T Vessels). (supersedes COMDTINST M5212.12, para. 193 and HQINST M5212.6A para 410a(1) and (2)). |  |
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- a. General arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manual, automation test procedures, fire control plan and stability letters.

- (1) Case files which have been microfilmed.  
(Note: Commercial vessel cases include “as built” or “retain” plans).

Transfer to COMDT (CG-5) 1 year after work on a particular vessel is completed as evidenced by issue of certificate, stability letter of compliance or official report. Destroy paper copy (except admeasurement forms) after case file is microfilmed and quality content edit of microfilm is completed.  
(NC1-26-84-6, items 193 and 410a(1))

- (2) Case files which have not been microfilmed.

Destroy paper copy 1 year after vessel is listed as scrapped. (NC1-26-84-6, items 193 and 410a(2) )

- b. Load Line Certificates on U.S. Flag Vessels.  
(supersedes HQINST M5212.6A, para. 410b).

- (1) Load Line Exemption Certificates.
  - (2) Load Line Certificates issued by classification societies (assigning authorities) other than the American Bureau of Shipping (ABS).
  - (3) Special Service or Limited Voyage Certificates.

Separately maintain the certificates.  
Destroy when superseded or 1 year after vessel is listed as scrapped. . (NC1-26-84-6, items 410b)

- c. Remainder of the case file.

Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6, item 410b)

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| 2 | Plans, parts lists, etc. which have been specifically furnished to aid vessel system installation review, with related correspondence. (supersedes COMDTINST M5212.12, para. 194 and 195).  | Destroy on receipt of superseding issues (i.e. fire extinguishing system typical installation plans, parts lists, etc.) (NC1-26-84-6, items 194 and 195)  |
| 3 | Workload reports compiled for Headquarters use. (supersedes COMDTINST M5212.12, para. 196).   | Destroy when superseded or obsolete. (NC1-26-84-6, item 196)  |
| 4 | Gas and Chemical Carrier Vessel case files (Letters of Compliance/Permit) plans, blueprints and related correspondence of undocumented vessels. (supersedes HQINST M5212.6A, para. 410c)  | Transfer to FRC 2 years after plan review, approval, or last transaction. Destroy when 20 years old. (NC1-26-84-6, item 410c)   |
| 5 | Public Service Vessel (USNS, CE, Hospital, Drill Rigs, Research Oceanographic, etc.) case files, plans, blueprints, and related correspondence of undocumented vessels. (supersedes HQINST M5212.6A, para. 410d).   | Transfer to FRC 2 years after last transaction. Destroy when 20 years old. (NC1-26-76-2, item 410d)   |
| 6 | Building vessel case files consist of correspondence of dimensions, designs, and plans with ship builders, naval architects, marine engineers; also Vessel Case/Project Standard Subject Heading Notice, Form CG-4639, for proposed ship construction. (supersedes HQINST M5212.6A, para. 410e).  | Destroy 5 years after initial submission if project is canceled. Merge with commercial vessel case file (documented or undocumented) if project developed. If merging case file is applicable, destroy Form CG-4639. (NC1-26-76-2, item 410e) |
| 7 | Applications for Numbers. (supersedes COMDTINST M5212.12, para. 47).  |   |
|   | a. Application for numbers for undocumented vessels.  | Destroy 3 years after expiration of permit or loss of vessel. (NC-26-80-4, item 47a)  |
|   | b. Current computer or word processor retrieval system of vessel registration. These systems consist of information abstracted from the certificates and other documents which accompanied the vessel owner's application. If none of the above documents is available, establish and maintain a card or similar file system for recording vessel numbers issued. | Transfer current records to states or territories when an approved numbering system has been adopted by the state or territory. Destroy non-current documents and cards when superseded or obsolete. (NC-26-80-4, item 47b)                   |

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| 8 | <p>Pressure Vessel Plans (Miscellaneous). Plans for miscellaneous pressure vessels, when not assigned to ship's case file. (supersedes COMDTINST M5212.12, para. 214).</p> <p>a. For those pressure vessel plans approved by Commandant (CG-5) and copies of plans sent to cognizant OCMI and district (mmt).</p> <p>b. For those pressure vessel plans approved by district (mmt) and copies of approved plans sent to Commandant (CG-5) and cognizant OCMI.</p> <p>c. For those pressure vessel plans approved by district (mmt) and plans sent only to cognizant OCMI.</p> <p>d. For those pressure vessel plans approved by an OCMI.</p> <p>e. Pressure Vessels unfired (plans and letters of approval). (supersedes HQINST M5212.6A, para. 413i).</p> | <p>Destroy plans held by OCMI and district (mmt) after work is completed. (NC-26-80-4, item 214a)</p> <p>Destroy plans held by district (mmt) and OCMI after work is completed. (NC-26-80-4, item 214b)</p> <p>Destroy plans held by OCMI when work is completed. The district (mmt) shall transfer the approved plans to Commandant (CG-5) when they are no longer needed. Destroy 5 years after last activity. (NC-26-80-4, item 214c)</p> <p>Transfer plans to Commandant (CG-5) when work is completed and plans are no longer needed. Destroy 5 years after last activity. (NC-26-80-4, item 214d)</p> <p>Destroy 5 years after last activity. (NC1-26-76-2, item 413i)</p> |
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ITEM      SSIC 16711 INSPECTION  
NO.

AUTHORIZED DISPOSITION

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| 1 | <p>Traveling Inspectors records consisting of correspondence, reports and other data related to inspection activities of Merchant Marine Safety. (supersedes HQINST M5212.6A, para. 407).</p> | <p>Transfer to commercial vessel case files on completion of inspection or related action. Destroy with related file. (NC1-26-76-2, item 407)</p> |
| 2 | <p>Officer-in-Charge, Marine Inspection</p>   |   |

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|   | b. Copy of Collection Voucher-Overtime Services (CG-832c). (supersedes COMDTINST M5212.12, para. 199).   | Destroy 2 years after date of document. (NC-26-80-4, item 199)   |
| 3 | Automated Vessel File. Automated system containing certain data elements which appear on a vessel's Certificate of Inspection. (supersedes HQINST M5212. 6A, para. 416).   | Updated monthly. Tape maintained at agency for life of Agency. (NC1-26-76-2, item 416)   |
| 4 | Merchant Vessel Inspection Files, Active Certificates of Inspection Amendments, Application for waiver of navigation laws and waiver orders and Division Inspection records. Permits to carry excursion party passengers ship Safety Certificates Report of Structural Failure on Inspected Vessels, Report of Equipment Failure on Inspected Vessels, Cargo Ship Safety Certificates, Report of Traveling Inspectors and related papers, letters reporting change of status of vessels. (supersedes HQINST M5212. 6A, para. 420). | a. Maintain active record in CG-5.<br>b. Transfer inactive records to FRC when vessel becomes inactive. Destroy one year after vessel is lost, abandoned, destroyed or scrapped. (NC1-26-76-2, item 420) |
| 5 | Reports of Material Inspection, Form CG-2801. (supersedes HQINST M5212.6A, para. 421).   | Destroy when 1 year old. (NC1-26-76-2, item 421)   |
| 6 | Annual Summary Reports of Material Inspection. (supersedes HQINST M5212.6A, para. 422).  | Destroy when 10 years old. (NC1-26-76-2, item 422)   |
| 7 | Monthly reports of inspection activities. (supersedes COMDTINST M5212.12, para. 205).  | Destroy when 2 years old. (NC-26-80-4, item 205)   |
| 8 | Lists of merchant vessels under construction or conversion, Form CG-2801A. (supersedes HQINST M5212.6A, para. 423).  | Destroy when 1 year old. (NC1-26-76-2, item 423)   |
| 9 | Original or initial vessel inspection files (including Subchapter T Vessels) containing inspection applications, certificates and books, application for waivers of navigation laws and waiver order, SOLAS certificates; F.C.C. certificates, construction and equipment data and correspondence pertaining thereto. May include plans, approval letters, specifications, bills of material and related correspondence. (COMDTINST M5212.12, para. 202).  | Permanent. Transfer to FRC 5 years after the initial inspection. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4, item 202)   |

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| 10 | Vessel inspection files (other than original or initial files), including Subchapter T Vessels containing inspection applications, certificates and books, application for waivers or navigation laws and waiver order, SOLAS certificates, F.C.C. certificates; construction and equipment data and correspondence pertaining thereto. (COMDTINST M5212.12, para. 203). | Destroy 10 years after completion of inspection. Transfer to FRC 5 years after completion of inspection. (NC-26-80-4, item 203)   |
| 11 | General arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manuals, automation test procedures, fire control plan and stability letters. (supersedes COMDTINST M5212.12, para. 204).  |   |
|    | a. If review and approval action was accomplished at MIO. (supersedes COMDTINST M5212.12, para. 204a).   | Transfer to COMDT (CG-5) 1 year after work is completed as evidenced by a certificate, amendment, stability letter, letter of compliance or official report. See also SSIC 16710, item 1 of this Manual. (NC1-26-84-6, item 204a) |
|    | b. Reviews and approval accomplished by COMDT (CG-5) or a Merchant Marine field technical branch. (supersedes COMDTINST M5212.12, para. 204b).   | Destroy when work is completed. (NC1-26-84-6, item 204b)  |
|    | c. Other related Technical Material. (supersedes COMDTINST M5212.12, para. 204c).  | Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6, item 204c)   |
| 12 | Plans, specifications for construction of boilers and components. (supersedes COMDTINST M5212.12, para. 208).  |   |
|    | a. Plans approved by BMIN personnel prior to March 1942. (Record copy.)  | Forward to COMDT (CG-5). Destroy 10 years after last date of review. (NC1-26-76-2, item 208a)   |
|    | b. Copies of plans approved subsequent to March 1942. (Originals at Headquarters.)   | Destroy when 2 years old. (NC1-26-76-2, item 208b)  |

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| 13 | Manufacturer's Data Report Form, CG 2936. (supersedes COMDTINST M5212.12, para. 209).  | Transfer to COMDT (CG-5) 5 years after equipment is installed. Destroy 15 years after receipt from marine inspection office (20 years from date of approval). (NC1-26-82-13, item 209) |
| 14 | X-rays of: welded boiler plates; spot welding on vessels undergoing inspection; and of spot welding on defective castings. (supersedes COMDTINST M5212.12, para. 210-212). | Destroy after acceptance of completed work. (NC1-26-84-6, items 210-212)   |

ITEM NO.      SSIC 16713 DOCUMENTATION

AUTHORIZED DISPOSITION

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| 1 | Merchant Vessel Documentation. File folders (covering currently documented vessels) labeled with current vessel name, filed alphabetically and containing documentation pertaining to designation of home port and correspondence relating to the specific vessel. Precedent files containing unique cases and specific legal decisions (supersedes HQINST M5212.6A, para. 437 and 439a). | Permanent. Transfer to FRC 2 years after vessel has been removed from documentation. Transfer to NARA 20 years after removal from documentation. (NC1-26-76-2 and NC-26-80-4, items 437 and 439a)       |
| 2 | Marine Documents (License, enrollment and license, or Register) filed numerically by official number and containing a copy of the award of official number, original of last surrendered document and a copy of the current marine document. (supersedes HQINST M5212.6A, para. 441).   | Permanent. Transfer to FRC 2 years after vessel has been removed from documentation. Transfer to NARA 30 years after vessel has been removed from documentation. (NC1-26-76-2 and NC-26-80-4, item 441) |
| 3 | Card index of official numbers awarded, showing history of vessel. Card index of history of vessels by name which have been withdrawn from documentation. (supersedes HQINST M5212.6A, para. 442 and 443).  | Permanent. Maintain at National Vessel Documentation Center. (NC1-26-76-2 and NC-26-80-4, items 442 and 443)  |

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| 4 | Files containing background materials used for preparation of procedures on documentation, including build and rebuild, title and ownership, mortgages, home and hail port, change of name, service and use of vessels, issuances of documents, collection of fees, assessment penalties. (supersedes HQINST M5212.6A, para. 438).   | Destroy when 10 years old or when usefulness has been served, whichever is sooner. (NC1-26-76-2, item 438)   |
| 5 | Vessel Folders. (Documentation District (m) or OCMI). Vessel folder consists of individual documents maintained at the vessel's home port and contains the following: Master Carpenter's certificates or evidence relating to waiver to production of such certificate, non-recordable instruments and other evidence relating to waiver to claims of title, designations of home port, award of official number, oaths on registry, oaths for renewal, oaths for new or lost documents and declaration of new or alternate master, admeasurement certificate, and all correspondence relating to the specific vessel. (supersedes COMDTINST M5212.12, para. 274). | Permanent. Transfer to FRC 2 years after a vessel change of home port or 2 years after removal from documentation. Transfer to NARA when 20 years old in 5 year blocks. (NC-26-80-4, item 274) |
| 6 | General correspondence files, other than of a precedent nature pertaining to undocumented vessels and miscellaneous letters. (supersedes COMDTINST M5212.12, para. 275).   | Destroy 2 years after close of correspondence. (NC-26-80-4, item 275)  |
| 7 | Recorded instruments. Abstract of title, mortgages, bills of sale, and other conveyances and encumbrances. Currently stored in National Vessel Documentation Center. (supersedes COMDTINST M5212.12, para. 277).   | Permanent. Transfer to WNRC when 3 years old. Transfer to NARA when 30 years old. (N1-26-97-1)   |
| 8 | General Index of Abstract of Title. (Documentation District (m) or OCMI) (supersedes COMDTINST M5212.12, para. 276).   | Permanent. Transfer to FRC when inactive. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4, item 276)  |
| 9 | Index of Marine Documents (Form CG-1241) and Records of Vessels (Form CG-2112). (supersedes COMDTINST M5212.12, para. 278).  | Permanent. Transfer to FRC when inactive. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4, item 278)  |

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| 10 | Deepwater port license applications and licenses. (supersedes HQINST M5212.6A, para. 527 and 528).   | Permanent. Transfer to FRC 1 year after termination of license. Transfer to NARA 5 years after termination of license. (NC1-26-82-11, items 527/528) |
| 11 | Commercial Vessel Case Files. Load Line Certificates on U. S. Flag Vessels. Special Service or Limited Voyage Certificates. (supersedes HQINST M5212.6A, para. 410b(3)).   | Destroy when superseded or 1 year after vessel is listed as scrapped. (NC-26-72-2, item 410b(3))   |
| 12 | Original reports of monthly documentation transactions. (supersedes HQINST M5212.6A, para. 440 and COMDTINST M5212.12, para. 256 and 279).   | Destroy when 5 years old. Destroy copies when superseded or obsolete. (NC1-26-76-2, item 440, and NC-26-80-4, items 256 and 279)                     |
| 13 | Original or initial certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification and Pollution Letters of Certification/Non-Certification. (supersedes COMDTINST M5212.12, para. 206). | Destroy immediately after notification that vessel is lost, scrapped, destroyed or abandoned. (NC-26-80-4, item 206)                                 |
| 14 | Subsequent Certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification. (supersedes COMDTINST M5212.12, para. 207).   | Destroy when 10 years old. Transfer to FRC 5 years after completion of inspection. (NC-26-80-4, item 207)  |

ITEM NO.      SSIC 16714 EQUIPMENT AND MATERIAL APPROVAL

AUTHORIZED DISPOSITION

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| 1  | Equipment Approvals. (supersedes COMDTINST M5212.12, para. 200). |  |
| a. | Plans  | Destroy when equipment approval is terminated. (NC-26-80-4, item 200a)                     |
| b. | Related correspondence.  | Destroy when equipment approval is terminated. (NC-26-80-4, item 200b)                     |
| c. | 5" X " cards   |  |
|    | (1) White (Equipment-new or renewal).                            | Destroy upon receipt of white renewal or blue termination card. (NC-26-80-4, item 200c(1)) |

- (2) Blue (Equipment terminations). Destroy upon receipt of white reinstatement card. (NC-26-80-4, item 200c(2))
  
- d. CGHQ-10030. Advance Copy (flimsy) Destroy upon receipt of 5" X 8" white or blue card. (NC-26-80-4, item 200d)
  
- 2 Plans and correspondence for "type" approval equipment for merchant vessels. Included but filed separately are:
  - a. Life Saving and Engineering Equipment (CG-190, 160/162 series). (supersedes HQINST M5212.6A, para. 413a and c). Destroy 15 years after termination of approval. Transfer to FRC 3 years after termination of approval. (NC1-26-76-2, items 413a and 413c)
  
  - b. Electrical Equipment (CG-190, 161 series). (supersedes HQINST M5212.6A, para. 413b). Destroy 5 years after termination of approval. Transfer to FRC 2 years after termination of approval. (NC1-26-76-2, item 413b)
  
  - c. Electrical Equipment Listing (CG-293). (supersedes HQINST M5212.6A, para. 413k). Destroy when canceled from listing. (NC1-26-76-2 and NC-26-80-4, item 413k)
  
  - d. Materials (CG-190, 164 series) (supersedes HQINST M5212.6A, para. 413d). Destroy 15 years after termination of approval. Transfer to FRC 3 years after termination of approval. (NC1-26-76-2, item 413d)
  
  - e. Acceptable hydraulic components (CG-190). (supersedes HQINST M5212.6A, para. 413e). Destroy 5 years after listing is terminated (i.e. becomes standard). (NC1-26-76-2, item 413e)
  
  - f. Watertight doors (letter of approval), (CG-190, 163 series). (supersedes HQINST M5212.6A, para. 413f). Destroy 20 years after manufacturer discontinues design. Transfer to FRC when manufacturer discontinues design. (NC1-26-76-2, item 413f)
  
  - g. Nuclear pressure vessel (plans and letters of approval). (supersedes HQINST M5212.6A, para. 413g). Destroy 20 years after vessel is deactivated. Transfer to FRC when nuclear vessel is deactivated. (NC1-26-76-2, item 413g)

- h. Boiler files, includes propulsion boilers, auxiliary boilers, thermal fluid heaters, and boiler welding repairs (alphabetical by manufacturer and chronological by date of review). (supercedes HQINST M5212.6A, para. 413h). Destroy 10 years after last date of review. (NC1-26-76-2, item 413h)
- i. Pressure vessels unfired (plans and letter of approval). (supercedes HQINST M5212.6A, para. 413i). Destroy 5 years after last activity. (NCI-26-82-13, item 413i)
- j. Piping systems (arrangement drawings, diagrams, component drawings and approval letters). (supercedes HQINST M5212.6A, para. 413m). Destroy 5 years after last activity. (NC1-26-82-13, item 413m )
- k. Affidavits for valves, fittings flanges (Form CG-935A). (supercedes HQINST M5212.6A, para. 413l). Destroy 2 years after termination by letter to manufacturer. (NC1-26-82-13, item 413l)
- l. Affidavited Manufacturers Catalog (CG-190). (supercedes HQINST M5212.6A, para. 413n). Destroy after 5 years or on receipt of new catalog. (NC1-26-76-2, item 413n)
- m. Quality assurance requirements (welding and non-destructive examinations, procedures). (supercedes HQINST M5212.6A, para. 413j). Destroy 10 years after last activity. (NC1-26-82-13, item 413j)
- n. Manufacturer Certification and Data Report, Form CG-2936, boilers and pressure vessels (geographical and chronological by date). (supercedes HQINST M5212.6A, para. 413o). Destroy 15 years after receipt from marine inspection office (20 years from date of approval). (NC1-26-82-13, item 413o)
- o. Marine Sanitation Devices Case Files (CIM 16714.3, 159 series). Consists of correspondence, plans, tests, reports and miscellaneous small components. (supercedes HQINST M5212.6A, para. 413p). Maintain in COMDT (CG-5) while active. Destroy when 15 years old. Transfer to FRC 3 years after termination. (NC1-26-82-13, item 413p)
- p. Oil Pollution Abatement Equipment Case Files (CIM 16714.3,162 series). Consists of plans, correspondence, reports, test and report data, and miscellaneous small components. (supercedes HQINST M5212.6A, para. 413q). Maintain in COMDT (CG-5) while active. Destroy when 15 years old. Transfer to FRC 3 years after termination. (NC1-26-82-13, item 413q)

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| 3 | Welding and Nondestructive Examination Procedures. (supersedes COMDTINST M5212.12, para. 201).  | Destroy superseded procedures materials when updated material is received. (NC-26-80-4, item 201) |
| 4 | Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 213). | Destroy when 2 years old. (NC-26-80-4, item 213)  |

ITEM NO.      SSIC 16717 ADMEASUREMENT

AUTHORIZED DISPOSITION

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| 1 | Headquarters, District (m) or OCMI Admeasurement Case Files. Includes application forms, plans, sketches, tonnage calculation sheets (CG-1410 or equivalent); copies of tonnage certificates; Headquarters decision; unusual framing systems or other means of tonnage reduction, lines plans, capacity plans or curve plans for vessels of 79 feet or larger that have not been issued an International Tonnage Certificate, and other related material. (supersedes HQINST M5212.6A, para. 410h and COMDTINST M5212.12, para 270). | Permanent. Transfer to FRC 1 year after vessel is scrapped. Transfer to NARA when 20 years old in 5 year blocks. (NC1-26-84-5, item 410h and NC1-26-84-6, item 270) |
|   | a. Upon request from Headquarters. (supersedes COMDTINST M5212.12, para. 270a).  | Permanent. Transfer to COMDT (G-M) 1 year after certificate of admeasurement has been issued and vessel official number is logged. (NC1-26-84-6, item 270a)         |
|   | b. Records not requested by Headquarters. (supersedes COMDTINST M5212.12, para. 270b)  | Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6, item 270b)   |
| 2 | Optional Simplified Admeasurement Method; (46 CFR 29.17 and 69.19) for Pleasure Vessels and Commercial Vessels. (supersedes COMDTINST M5212.12, para. 273).  | Destroy 1 year after documentation. (NC1-26-84-6, item 273)   |
| 3 | Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 271).  | Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6, item 271)  |

<u>ITEM NO.</u>	<u>SSIC 16720 COMMERCIAL VESSEL PERSONNEL</u>	<u>AUTHORIZED DISPOSITION</u>
1	Merchant Vessel Personnel Records. Seamen's personnel jackets and indexes thereto to include copies of Certificate of Discharge to Merchant Seaman (CG-718A) and Records of Entry in Continuous Discharge Book. (supersedes HQINST M5212.6A, para. 425).	Destroy when ascertained that reproduced copies have been made in accordance with NARA regulation and are adequate substitute of the paper record copy. (NC1-26-76-2, item 425a)
	a. Paper copy of microfilmed records.	
	b. Microfilm or paper copy of records not microfilmed.	Destroy 60 years after last discharge or evidence of death is reviewed, whichever is sooner. Transfer paper copy of unfiled records to FRC 3 years after last discharge or evidence of death is received, whichever is sooner. (NC1-26-76-2, item 425b)
2	Merchant seamen's case file <i>copies</i> of converted temporary Merchant Marine Documentation (MMD), application for seamen's documents and ratings, endorsement cards, investigation records and related correspondence. (supersedes COMDTINST M5212.12, para. 251).	Destroy when 7 years old. Transfer to FRC when 5 years old. (NC1-26-82-12, item 251)
3	Original of Shipping Articles containing agreements between seaman and masters and/or companies. (supersedes HQINST M5212.6A, para. 427).	Destroy when 50 years old. Transfer to FRC when 3 years old. (N1-26-86-1, item 427)
4	Reports of monies received from the sale of duplicate documents. (supersedes COMDTINST M5212.12, para. 252).	Destroy when 1 year old. (NC-26-80-4, item 252)
5	Personnel case files (misconduct, negligence, incompetence; etc.) except those cases taken to a hearing. (supersedes COMDTINST M5212.12, para. 228).	Destroy 5 years after case is closed. (NC-26-80-4, item 228)

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| 6 | Disciplinary record cards. (supersedes HQINST M5212.6A, para. 433).   | Transfer to seaman's jackets upon notice of death. See No. 1 above.<br>(NC1-26-76-2, item 433)  |
| 7 | Approved applications for original seamen's documents and validated documents if applicant has not returned for issuance of document. (supersedes COMDTINST M5212.12, para. 253). | Destroy bottom half (CG Form 719B) when 2 years old and forward upper half to COMDT (CG-5). See No. 1 above.<br>(NC-26-80-4, item 253)  |
| 8 | Evidence of death. (supersedes COMDTINST M5212.12, para. 254).  | Destroy records other than licenses, documents or other paper of possible historical value which are to be transferred to COMDT (CG-5) for inclusion in the seaman's permanent record. (See item 1. above)<br>(NC1-26-76-2, item 254) |

ITEM NO.      SSIC 16721 LICENSING AND CERTIFICATING

AUTHORIZED DISPOSITION

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| 1 | Original Card Records of licenses issued to merchant marine office containing data and place of birth, citizenship, type and serial number of license and where and when issued, suspension, revocation, restoration, renewal, notice of failure in examination and record of endorsement on license. (supersedes HQINST M5212.6A, para. 426). | Destroy 30 years after license expires. Transfer to FRC 12 years after license expires. (NC1-26-76-2, item 426)        |
| 2 | License applications evaluated by Commandant. (License refused by OCMI, District (m) allowed by Commandant. Application never returned or made appeal. (supersedes COMDTINST M5212.12, para. 259).   | Destroy when 50 years old. Transfer to FRC when 5 years old. (NC-26-80-4, item 259)                                    |
| 3 | Official log book (Merchant Marine). (supersedes COMDTINST M5212.12, para. 237).   | Permanent. Transfer to FRC 6 months after last transaction. Transfer to NARA when 30 years old. (NC-26-80-4, item 237) |

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| 4 | Certification and seamen examination question and answer sheets. (supersedes COMDTINST M5212.257).  |  |
|   | a. Examination question and answer sheets received from CG Institute.   | Destroy examination questions when no longer needed. (NC1-26-82-12, item 257a)   |
|   | b. Examination question and answer sheets locally prepared, administered and graded by OCMI.  | 1) Destroy examination questions when no longer needed. (NC1-26-82-12)<br>2) Destroy answer sheets when 6 months old. (NC1-26-82-12, item 257b)  |
| 5 | Unacted upon license or certificate of registry applications. Applications made and approval for license/certificate, but never picked up. (supersedes COMDTINST M5212.12, para. 258).                        | Destroy 1 year after recency of service and physical requirements are met. (NC1-26-82-12, item 258)  |
| 6 | Merchant Marine License Officers files (Deck, Engineer) containing applications, physicals, canceled licenses, examination questions and answers and cover sheet. (supersedes COMDTINST M5212.12, para. 246). |  |
|   | a. Examination question, answer and cover sheet. (supersedes COMDTINST M5212.12, para. 246a).   | 1) OCMI return to CG Institute immediately following examination.<br>2) CG Institute destroy answer sheets 1 year after receipt from OCMI.<br>3) CG Institute destroy examination questions and cover sheets immediately. (NC1-26-84-9, item 246a) |
|   | b. Remainder of the file contains the applications, physicals, cancelled licenses. (supersedes COMDTINST M5212.12, para. 246b).   | Destroy when 50 years old. Transfer to FRC when 7 years old. (NC-26-80-4, item 246b)   |
| 7 | Certificate of registry of staff officer. (supersedes COMDTINST M5212.12, para. 247).   | Destroy when 50 years old. Transfer to FRC when 7 years old. (NC-26-80-4, item 247)  |
| 8 | Radio officer license file. (supersedes COMDTINST M5212.12, para. 248).   | Destroy when 50 years old. Transfer to FRC when 6 years old. (NC-26-80-4, item 248)  |

- 9 Records of license issued and related card files. License book stub. (supersedes COMDTINST M5212.12, para. 249 and 250). Destroy when 7 years old. (NC-26-80-4, items 249 and 250)

ITEM NO.      SSIC 16730 VIOLATIONS AND CASUALTIES

AUTHORIZED DISPOSITION

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| 1 | Automated commercial vessel casualty file-automated system containing data relating to system containing data relating to vessel casualties as defined by 46 CFR 4.05. (supersedes HQINST M5212.6A, para. 415).  | Update annually. Tape maintained at agency for life of Agency. (NC1-26-76-2, item 415)  |
| 2 | Marine Investigation Records. Marine Board case files set up to investigate major marine disasters, including papers such as those pertaining to organization of the Board, proceedings, hearings decisions and the investigative report, together with inquiries, exhibits, photographs, and ADP print outs. (supersedes HQINST M5212.6A, para. 428). | a. Permanent. Record copy of investigation report maintained at agency as active reference material.<br>b. Case Files—destroy 25 years after report is published. Transfer to FRC 1 year after report is published. (NC-26-76-2 and NC-26-80-4, item 428) |
| 3 | Copies of Reports of International Marine Pollution Prevention Convention Violations. (supersedes COMDTINST M5212.12, para. 226).  | Destroy when 1 year old. (NC-26-76-2, item 226)   |
| 4 | <b>Copies</b> of marine casualty case files including the record of proceedings and the investigative reports or the Marine Boards of Investigation, investigations of casualties involving death, investigations of vessel casualties and investigations of cases involving injuries. (supersedes COMDTINST M5212.12, para. 227).                     | Destroy when 5 years old. (NC1-26-76-2 and NC-80-4, item 227)   |
| 5 | Casualty case file on investigations of marine casualties, including personal injuries containing report of marine casualties and records including transcripts of testimony, inquiries, exhibits, photographs, and ADP print out. (supersedes HQINST M5212.6A, para. 429).  | Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-76-2 and NC-80-4, item 429)  |
| 6 | Miscellaneous vessel casualties. (supersedes HQINST M5212.6A, para. 430).  | Destroy when 5 years old. (NC1-26-76-2, item 430)   |

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| 7  | Coast Guard Administrative Law Judges Decisions, Opinions and Orders. (Includes Report of Hearing). Documents that have been microfilmed in accordance with NARA regulations concerning microfilming permanent records. (supersedes HQINST M5212.6A, para. 431). |   |
|    | a. Paper document.   | Destroy after microfilming and completion of quality control edit as outlined in FPMR 101-11.5 pertaining to permanent records. (NC1-26-78-3, item 431a)    |
|    | b. Silver original copy plus one positive copy of each microfilm which is a silver negative.   | Permanent. Transfer to NARA annually. (NC1-26-78-3, item 431b)  |
|    | c. Additional microfilm copies.  | Maintain at Coast Guard Headquarters as an active working file. Destroy when no longer useful. (NC1-26-78-3, item 431c)                                     |
|    | d. Documents which have not been microfilmed.  | Permanent. Transfer to FRC 5 years after final administrative action. Transfer to NARA 20 years after final administrative action. (NC1-26-78-3, item 431d) |
| 8  | National Transportation Safety Board Decisions and Orders. (supersedes COMDTINST M5212.12, para. 191).   | Retain in Document Inspection Facility for public inspection. See Part 7. CFR 29. (Non-record)<br>(NC1-26-80-4, item 191)                                   |
| 9  | Administrative penalty case files. (supersedes COMDTINST M5212.12, para. 186).   | Destroy 3 years after case is closed.<br>(NC1-26-80-4, item 186)  |
| 10 | Merchant Seaman suspension and revocation appeal case files (excluding Commandant appeal decisions) Record copy of transcript of proceedings and related correspondence. (supersedes HQINST M5212.6A, para. 432).  | Transfer to FRC when 1 year old.<br>Destroy when 25 years old.<br>(NC1-26-76-2, item 432)   |
| 11 | Commandant Appeal Decisions (supersedes HQINST M5212.6A, para. 432).   | Maintain at agency (CG-094) as an active working file. Destroy when inactive. (NC1-26-76-2, item 432a)  |

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| 12 | Statistical reports of marine investigation and hearings. (supersedes HQINST M5212.6A, para. 434).  | Destroy when 10 years old.<br>(NC1-26-76-2, item 434)   |
| 13 | Copies of reports of investigations to include Forms CG-924E (Report of Personal Injury or Loss of Life) and CG-2692 (Report of Marine Casualty or Accident), letters of transmittal. (supersedes COMDINST M5212.12, para. 187).            | 1) Destroy upon completion of district action. All records created after 1982. Do not retire to FRC. (NC1-26-83-2, item 187a)<br><br>2) All records retired to FRC before 1983, destroy when 5 years old.<br>(NC1-26-83-2, item 187b) |
| 14 | Copies of Marine Boards of Investigations.<br>(supersedes COMDINST M5212.12, para. 188).  |   |
|    | a. Copies that refer to the district where a Marine Board of Investigation was convened.  | Destroy when 5 years old.<br>(NC1-26-83-2, item 188a)   |
|    | b. Copies of Marine Board of Investigations sent to other districts.  | Destroy when 2 years old.<br>(NC1-26-83-2, item 188b)   |
|    | c. Copies of correspondence and related material pertaining to the conduct, physical or mental incompetency of merchant seamen.   | Destroy when 1 year old.<br>(NC1-26-83-2, item 188c)  |
| 15 | Copies of Commandant's decisions or appeals under RS 4450. (supersedes COMDTINST M5212.12, para. 189).  | Retain in Document Inspection Facility for public inspection (See Part 7, CFR 49). (Non-record)   |
| 16 | Record copy of National Appeal Board Security Hearing wire records, stenographic tapes or notes in all cases which have resulted in continued denial for Port Security Card or Mariner's Document. (supersedes HQINST M5212.12, para. 435). | Transfer to FRC after Commandant notifies holder of document or applicant for document that appeal is denied. Destroy 25 years after appeal is denied.<br>(NC1-26-83-2, item 435)   |
| 17 | Hearing records and associated unit case files. (supersedes COMDTINST M5212.12, para. 229).   | Destroy 5 years after final administrative action. (NC1-26-83-2, item 229)  |

**SSIC 16750-16799 RECREATIONAL BOATING SAFETY**

<u>ITEM NO.</u>	<u>SSIC 16750 RECREATIONAL BOATING SAFETY</u>	<u>AUTHORIZED DISPOSITION</u>
1	Records created by the Office of Boating, Public & Consumer Affairs documenting the organizational development and administration consisting of the following: (supersedes HQINST M5212.6A, para. 61).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2, item 61a)
	a. Official record copy of each directive/publication issued by the office with significant background material.	
	b. Studies/Surveys conducted by the Office of Boating, Public & Consumer Affairs.	
	(1) Studies/Surveys which resulted in Coast Guard-wide adoption of policy or management programs:	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2, item 61b(1)(a))
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2, item 61b(1)(b))
	(2) Studies/Surveys which did not result in Coast Guard-wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2, item 61b(2))
2	General administrative correspondence files (excluding primary program records above) from various activities for the administrative and general management of Coast Guard affairs. (supersedes HQINST M5212.6A, para. 62).	Destroy when 5 years old. (NC1-26-76-2, item 62)
3	Record material of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 63).	Destroy when 3 years old. (NC1-26-76-2, item 63)

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| 4 | Program planning and evaluation studies (issue studies, policy studies, position studies). (supersedes HQINST M5212.6A, para. 64).  | Destroy issue studies when 10 years old, policy studies when 8 years old, and position studies when 6 years old. (NC1-26-76-2, item 64) |
| 5 | Conference Records. Minutes of conferences with State Boating Law Administrators. (supersedes COMDTINST M5212.12, para. 45).  | Destroy when 3 years old. (NC1-26-80-4, item 45)  |
| 6 | Boat Consumer Complaints. (supersedes HQINST M5212.6A, para. 80).   | Destroy when 15 years old. Transfer to FRC when 5 years old. (NC1-26-76-2, item 80)   |
| 7 | <p>a. Recreational Boating Accident Report System. These electronic records consist of statistical information taken from Boating Accident Reports submitted to the U.S. Coast Guard in accordance with 46 U.S.C. 6102(a). The reports received are used to generate statistics on marine casualties. The owner/operator of a vessel submits the accident report when, as a result of an occurrence that involves the vessel or equipment: (1) a person dies; (2) a person is injured and requires medical treatment beyond first aid; (3) damage to the vessel and other property totals more than \$500 or there is a complete loss of a vessel; or (4) a person disappears from the vessel under circumstances that indicate death or injury. Some of the information covered in the records are: county, State and type of body of water; the number of deaths; the number of injuries; the type of vessel; the type of accident; the cause of the accident; and the type, propulsion, hull material, manufacturer's code and year built of the reporting operator's vessel. (January 1969 and thereafter) ARRANGEMENT STATEMENT; The files are arranged by year, thereunder alphabetically by State, and thereunder by case number.</p> <p>STATEMENT OF RESTRICITONS. There are no restrictions. CURRENT VOLUME; 1 reel<br/>ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.</p> | Permanent. Transfer copy to NARA. (N1-26-93-2)  |

b. Recreational Boating Accident Report Documentation. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. (January 1969 and thereafter)  
 ARRANGEMENT STATEMENT: No special arrangement.  
 STATEMENT OF RESTRICTIONS: There are no restrictions.  
 CURRENT VOLUME. 1 CU. FT.  
 ESTIMATE OF ANNUAL CCUMULATION: LESS THAN 1 CU. FT.

Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-2)

8 Working files of directives, including all those superseded and related manuscripts of publications and circulars on boating safety activity. (supersedes HQINST M5212.6A, para. 65).

Destroy when superseded or obsolete. (NCI-26-76-2, item 65)

9 National Safe Boating Week Committee history files. (supersedes HQINST M5212.6A, para. 74).

Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NCI-26-76-2, item 74)

10 Boating Safety Advisory Council (BSAC) records including minutes, records, recommendations, etc. (supersedes HQINST M5212.6A, para 83).

Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NCI-26-76-2, item 83)

ITEM NO.      SSIC 16761 BOATING STANDARDS

AUTHORIZED DISPOSITION

1 Compliance Testing Results. (supersedes HQINST M5212.6A, para. 81).

2 a. Passing Test.

Destroy when 5 years old. (NC1-26-76-2, item 81a)

b. Failing Test.

Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2, item 81b)

<u>ITEM NO.</u>	<u>SSIC 16762 DEFECT NOTIFICATION</u>	<u>AUTHORIZED DISPOSITION</u>
1	Notifications of defects or compliance failures and related documents. (supersedes HQINST M5212.6A, para. 82).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2, item 82)

<u>ITEM NO.</u>	<u>SSIC 16782 ACCIDENT INVESTIGATIONS</u>	<u>AUTHORIZED DISPOSITION</u>
1	Boating accident investigations case files of fatal boating accidents, including related documents and photographs. (supersedes HQINST M5212.6A, para. 69).	Destroy after case file is microfilmed in accordance with FPMR 101-11-5 (applying standards for non-permanent records to be held 10 years or more) and quality content edit of microfilm is completed. (NC1-26-76-2, item 69a)
	a. Paper documents.	
	b. Photographs and photographic negatives.	Destroy when 10 years old. (NC1-26-76-2, item 69b)
	c. Microfilm of paper documents and unfiled paper documents.	Destroy when 10 years old. (NC1-26-76-2, item 69c)
2	Boating Investigations and Reports. (supersedes COMDTINST M5212.12, para. 46).	
	a. Investigations of boating fatalities (marine casualties).	
	(1) Reports of Investigation.	Destroy 5 years after investigation is completed. (NC1-26-76-2, item 46a(1))
	(2) Marine Boards.	Destroy when 10 years old. (NC1-26-76-2, item 46a(2))
	b. Boating Accident Report case files.	Destroy 1 year after final action. (NC1-26-76-2, item 46b)

<u>ITEM NO.</u>	<u>SSIC 16790 COAST GUARD AUXILIARY</u>	<u>AUTHORIZED DISPOSITION</u>
1	Board meetings. (supersedes COMDTINST M5212.12, para. 60a-b).	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC1-26-80-4, item 60a)
	a. Copies of minutes of district board meetings, decisions and recommendations of district boards.	
	b. Annual schedule of district board meetings.	Destroy when 3 years old. (NC1-26-80-4, item 60b)
2	News articles on auxiliary activities. (supersedes COMDTINST M5212.12, para. 61).	Destroy when 1 year old. (NC1-26-80-4, item 61)
3	Unit personnel files. (supersedes COMDTINST M5212.12, para. 64 a-c).	Destroy when 10 years old. (NC1-26-80-4, item 64a)
	a. Annual district directory of auxiliary officers, and each amendment thereto.	
	b. Copies of reports of change of address of district commodores, district vice commodores, and district rear commodores.	Destroy when 1 year old. (NC1-26-80-4, item 64b)
	c. Quarterly flotilla rosters and monthly alphabetical listings.	Destroy when 2 years old. (NC1-26-80-4, item 64c)
4	Facility decals. Records of all facility decalcomania, by serial number, issued to members of the auxiliary. (supersedes COMDTINST M5212.12, para. 65).	Destroy when 3 years old. (NC1-26-80-4, item 65)
5	Excess property. Files of auxiliary unit requests for excess property or material. (supersedes COMDTINST M5212.12, para. 66).	Destroy when 3 years old. (NC1-26-80-4, item 66)
6	Cumulative summary. (supersedes COMDTINST M5212.12, para. 67a-b).	Destroy final report of year when 4 years old. (NC1-26-80-4, item 67a)
	a. Weekly cumulative summary by district and monthly cumulative division summary by flotilla.	

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| b. | All other copies.  | Destroy when 2 years old. (NC1-26-80-4, item 67b)   |
| 7  | Individual personnel folders. Personnel jackets for members of Coast Guard auxiliary. (supersedes COMDTINST M5212.12, para. 62). | Destroy when 30 years old. Transfer to FRC 2 years after disenrollment or death of member. (NC1-26-80-4, item 62) |
|    | b. Unit personnel files. (supersedes COMDTINST M5212.12, para. 63a-c).   |   |
|    | (1) Annual district directory of auxiliary officers, and each amendment thereto.   | Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-80-4, item 63a)                              |
|    | (2) Copies of reports of change of address of district commodores, district vice commodores and district rear commodores.        | Destroy when 1 year old. (NC1-26-80-4, item 63b)  |
|    | c. Quarterly flotilla rosters and monthly alphabetical listings.   | Destroy when 2 years old. (NC1-26-80-4, item 63c)   |