

**U.S. Department of
Homeland Security**

**United States
Coast Guard**



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Office of Information Management

CG - 61

Reference Guide



OFFICE OF INFORMATION MANAGEMENT

CG-61

Mission

The Office of Information Management provides Information Management policies and services involving Freedom of Information Act and Privacy Act (PA) responses; Coast Guard (CG) Publications and Directives; Records Management; and official Correspondence. CG-61 supports the goals of the CG through continuing improvement, innovation, and technological growth using knowledge management principles. Assigned assets include: publications, directives, forms, printing, postal, correspondence policies and procedures, FOIA and PA statutes, records policies and services, and associated IT capabilities.

OFFICE OF INFORMATION MANAGEMENT

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Coast Guard Directives System (CGDS)

History

CG-61 has been developing the USCG Directives System (CGDS) CD-ROM since 1991. Originally, a prototype was created containing 40% of Commandant Instructions and Manuals. Acting on feedback from various CG beta sites, the CGDS was refined and improved. By 1994 it included the ability to perform, cross document text searches and Directive retrieval capabilities.

With the release of version 2.0 in May 1997, all images associated with the documents in the database were added. Searchable electronic versions of the Standard Distribution List (SDL) and Directives, Publications and Reports Index (DPRI) were added. These, along with web based HTML versions of these documents put fast, easy access to Directives information at users' fingertips.

In August 2003, CGDS 4.0 CD was released in a newly redesigned Adobe Acrobat PDF format. The PDF format offers full color display for text and images, Global Cross Document and advanced, full text Boolean Search capabilities from SWIII, using Adobe Acrobat's Catalog Index. Web based versions of CGDS provide search capabilities dependent upon the type of web search engine used and availability. Text search within a Directive remains an active feature available within SWIII Adobe Acrobat software.

Current Status

The CGDS CD-ROM is updated quarterly with follow-on versions. The latest CD is version 4.7, dated March 2007. The CGDS includes Commandant Notices, unclassified and NON-FOUO Commandant Instructions, and Commandant Instruction Manuals. Global, cross document searching is available on CGDS SWIII Desktop and CD-ROM versions 4.0 using Adobe Acrobat's Catalog Index. Additional improvements include printing flexibility, color images, and ability to cut and paste.

Assistance and Questions

For assistance or questions about the Coast Guard Directives System, contact the CD-ROM Specialist at: hqs-directives@uscg.mil or call (202) 475 - 3524.

Coast Guard Forms System

History

CG-61 developed the CG Electronic Forms System in 1985. The electronic forms system was based on the Convergent Technology Operating System (CTOS) using the Forms Plus Laser (FPL) format, and subsequently, Jetform Filler. In 2002-2003, the electronic forms system was converted into Adobe Acrobat Portable Document Format (PDF) and gradually migrated to the Standard Workstation.

In June 2003, CG-61 began implementation of the 1.0 release for SWIII. New features introduced were:

- PC/SWIII search engine
- Installation routine for Windows
- Revised database software to work on SWII and SWIII
- All images were added
- Searchable versions of electronic forms
- Web based HTML versions

These features put fast, easy access to this data at the users fingertips.

Assistance and Questions

For assistance or questions regarding Coast Guard Forms, contact the Forms Manager at (202) 475-3523 or via email at FormsManager@uscg.mil.



Freedom Of Information Act (FOIA)

The FOIA is a disclosure law enacted in 1966 providing access to Federal Government's records by any person requesting them in writing. Although a disclosure law, agencies must withhold, under any of the nine exemptions contained in 5 U.S. C. § 552, information if its release may result in harm. See The Coast Guard Freedom of Information (FOIA) and Privacy Acts Manual COMDTINST M5260.3 (series), Chapter 8, for a discussion of these exemptions.

The FOIA applies only to federal executive branch agencies and does not create a right of access to records held by Congress, the courts, or by state or local government agencies. Each state has its own public access laws that should be consulted for access to state and local records.

The FOIA is operated under the premise that the public has a right to know:

- What the Government is doing,
- How it is being done, and
- What information is being collected.

The FOIA requires that certain records be made available for public inspection, such as:

- Frequently Requested FOIA Documents
- CG Opinions
- Interpretations Adopted by CG
- Staff Manuals/Instructions Affecting the Public

These records are available in the Coast Guard's E-FOIA Reading Room at:
http://www.uscg.mil/ccs/cit/cim/foia/Electronic_Reading_Room.htm

FOIA requests may be submitted in writing via mail, email, or overnight carrier to:

Commandant (CG-611)
2100 2nd Street, SW
Attn: FOIA
Washington, DC 20593-0001

or via electronic mail to the Headquarters FOIA Coordinator at: <mailto:EFOIA@uscg.mil>.

Assistance and Questions

For assistance or questions about Coast Guard FOIA Program, contact the Headquarters FOIA Coordinator at (202) 475-3522.

Privacy Act (PA)

Background: Unlike the FOIA, which is a disclosure law, the PA protects the privacy of individuals. The Privacy Act of 1974 (5 USC § 552a) provides safeguards for the protection of records the Federal Government collects. It came about because of Congress' concern with curbing the illegal surveillance and investigation of individuals by federal agencies and the potential abuses presented by the government's increasing use of computers to store and retrieve personal data by means of personal identifiers, e.g., an individual's social security number. (See The Coast Guard Freedom of Information (FOIA) and Privacy Acts Manual COMDTINST M5260.3 (series), Ch 12 for details).

Basic Principles of the Privacy Act

1. Limits Collection of Personal Information
2. Prohibits Secret Government Records
3. Prohibits Secret Use of Government Files
4. Safeguards Security and Accuracy of Government Files
5. Provides Right for Persons to See and Correct One's Own Records
6. Provides Right for Persons to know about disclosures of their records to other agencies or persons.

Definitions

RECORD: Any item, collection, or grouping of information about an individual that is maintained by an agency, including but not limited to:

- Education
- Financial Transactions
- Medical History
- Criminal History
- Employment History

Includes name, identifying number, symbol, or other identifier assigned to the individual (such as a finger, voice print, or a photograph).

SYSTEM OF RECORD: A group of Agency records from which information is retrieved by name, identifying number, symbol, or other identifiers assigned to that individual.

12 DISCLOSURE PROVISIONS OF THE PRIVACY ACT (THE COAST GUARD FREEDOM OF INFORMATION (FOIA) AND PRIVACY ACTS MANUAL COMDTINST M5260.3 (series), CH 13 AND 14)

- To parent agency in the normal performance of their duties
- When required by the Freedom of Information Act
- For a Routine Use
- To the Bureau of the Census
- Statistical research or reporting record
- To the National Archives and Records Administration
- To law enforcement agencies
- For health and safety reasons
- To Congress
- To the Comptroller General or authorized representatives of the General Accounting Office
- Pursuant to a Court Order
- To a Consumer Reporting Agency

COMPUTER MATCHING & PROTECTION ACT

- Provides procedural requirements for agencies to follow when engaging in computer-matching activities.
- Provides matching subjects with opportunities to receive notice and to refute adverse information before having a benefit denied or terminated.
- Requires agencies engaged in matching activities to establish Data Protection Boards to oversee those activities.
- Establishes or verifies eligibility for Federal Benefit Programs.
- Recoups payments or delinquent debts under Federal Benefit Programs
- Verifies compliance with the requirements – either statutory or regulatory - of such programs.

To be subject to this Act, the Match must:

- Consist of computerized comparisons of two or more automated systems of federal or state records.
- Cover applicants, providers, or receivers of federal benefit programs.

Assistance and Questions

For assistance or questions about the Coast Guard Privacy Act program, contact the Coast Guard Privacy Specialist at (202) 475-3526.

Records Management

The Records Management Program promotes proper recordkeeping procedures in support of the role of information management. It further focuses on providing the right information, to the right people at the right time.

Records are either temporary or permanent. Less than 5% of CG's records fall within the guidelines of permanent; the remainder are temporary and follow the retention schedules in The Information and Life Cycle Management Manual. Commandant Instruction M5212.12 (series).

In addition to paper records, which are easily stored in a file cabinet, we must also preserve electronic records, including emails. These are records stored in a format that only a computer can process and are sometimes called machine-readable or machine-sensitive records. The format of an electronic document does not change the fact that it is a record; but, its electronic form and dependence on machines for creation and reference do change the way they must be stored and managed.

Records Management includes:

- Developing guidelines for the life cycle of all records, regardless of media
- Developing records retention schedules
- Managing filing and information retrieval systems for all records
- Ensuring adequate protection of all records
- Providing storage of active and inactive records

The benefits of using Records Management include:

- Improved managerial decision-making
- Continuity in the event of a disaster
- Ensured accountability to present and future stakeholders
- Preservation and protection of the CG's history
- Reduced legal liability
- Improved conduct of CG business in an orderly and accountable manner.

Assistance and Questions.

For assistance or questions about Coast Guard Records Management, contact the Records Manager at (202) 475-3534.

Coast Guard Printing, Graphics and Distribution

CG-61 has the responsibility of managing the CG Printing and Graphics Program. Under this program, CG-61 ensures that customers receive the best services possible from the Government Printing Office (GPO). CG-61 coordinates CG customer requests for printing services and also ensures that the end product is of the highest quality and meets the customer's satisfaction.

Some of the most common printing services requested through our office are as follows:

Contract Printing	Graphics/Photos
<ul style="list-style-type: none"> ➤ Black and White Copying ➤ Offset Printing ➤ Lamination ➤ Reduction and Enlargement ➤ Bindery (cutting, collating, stamping, comb binding, hole punching) ➤ Transparencies ➤ Braille 	<ul style="list-style-type: none"> ➤ Composition ➤ Graphic Presentations ➤ Photo Prints ➤ Brochures ➤ Logo Development ➤ Posters ➤ Award Devices ➤ Signage ➤ Conference Materials (banners, programs, nametags, tent cards, posters, handouts)
Distribution	Digital Document Center
<ul style="list-style-type: none"> ➤ Storage and Maintenance of Electronic Mail Lists ➤ Automated Addressing and Mailing ➤ Warehousing Services (stock) ➤ Print on Demand 	<ul style="list-style-type: none"> ➤ Online Submission ➤ Copying - black/white and color ➤ Custom Finishing: stapling, folding, drilling, lamination, shrink-wrapping, tape binding, G-BC binding and paper cutting.

Assistance and Questions

See **USCG Printing, Graphics and Reproduction Regulations, COMDTINST M5600.6 (series)**. For related assistance or questions contact the **USCG Printing Specialist at (202) 475 - 3532**

Coast Guard Postal Program

Background

Postal official mail policy and the use of Penalty mail for the U.S. Coast Guard is directed by the Commandant through the CG Official Mail Manager in the Office of Information Management (CG-61). To meet the postal program's objective of an efficient and effective mail management program, the Official Mail Manager interfaces with the Department of Homeland Security; U.S. Postal Service; General Services Administration; Department of Defense; Military Postal Service Agency (MPSA); and USCG Unit Official Mail Managers. The Official Mail Manager provides postal policy and guidance, to ensure personal and official mail service in the most efficient and economical manner CG - wide. Starting in 2005, the Official Mail Manager also began managing the Express and Ground Shipments Program for the Coast Guard. CG units may use any combination of the DHS DHL, GSA FedEx, and DHS UPS contracts, 0-150 lbs, for their administrative/small package shipment needs.

Penalty Mail

Coast Guard is a part of the Official Mail Accounting System (OMAS), and utilizes penalty mail for the processing of and payment for outgoing official mail. OMAS is the U.S. Postal Service's government unique system to track and charge for official mailings by government agencies. It utilizes each agency's online payment and accounting system with the U.S. Treasury to pay for penalty mailings. CG-61 maintains the budget of a centrally funded postal account (approximately \$7M annually) that pays for USCG postal expenditures of domestic and international mailings of matter related exclusively to the business of the U.S. Government. The postal account funds postal equipment, postage meter settings, penalty mail stamps, Business Reply Mail, Permit Imprint mailings, and postage due fees.

A new DHS Management Directive (0590 Mail Management Program) requires CG mail centers and mail service locations to report mail and express shipping volume, expenditures, and performance metrics to DHS on a monthly/annual basis.

Official Mail Centers

CG mail clerks aboard cutters and at shore units operate Official Mail Centers. They vary in size depending on the unit's mail volume and resources. The mail center is the processing point for incoming and outgoing official mail for the host unit and other smaller units and cutters in their geographic area. All mail centers perform basic functions such as sorting incoming mail for delivery to the addressee, and applying postage to outgoing official mail by either a penalty mail postage meter or Penalty Mail Stamps. Mail Centers are required to maintain a mail security plan which includes information about mail procedures, risk assessments, mail threats, and emergency and continuity of operations (COOP). CG recently implemented the Enterprise Mail and Shipping System (EMASS) which refreshes existing postage meters with a web-based enterprise system to process outgoing official mail and collect mail data. EMASS provides a host of additional benefits to users that bring state of the art technology to mail processing and data collection.

Deployable Cutters/Port Security Units

Approximately 40 Cutters and three Port Security Units are assigned FPO ZIP codes for the purpose of receiving personal and official mail while deployed. Mail for the FPO ZIP codes is routed to the deployed location by the Joint Military Postal Activities Atlantic and Pacific (DOD activities) and the U.S. Postal Service, using information contained in Mail Routing Messages provided by the deployed units.

Assistance and Questions

For assistance or questions about the Coast Guard Postal Program, contact the USCG Official Mail Manager at (202) 475-3517.

