

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'S APPROVED
CHANGES TO INFORMATION AND LIFE CYCLE MANAGEMENT MANUAL,
COMDTINST M5212.12A**

NARA regulations (36 CFR 1228.50(d)) require agencies to implement and keep current new and revised schedules approved by the Archivist of the United States. The below SSICs/Items have been approved and should be implemented immediately. New/changed items will be added to the next issuance of the Information and Life Cycle Management Manual, COMDTINST M5212.12A.

<u>ITEM NO.</u>	<u>SSIC 1500 TRAINING AND EDUCATION</u>	<u>AUTHORIZED DISPOSITION</u>
18	<p>CG Learning and Training Management System. The Coast Guard enterprise wide training management qualification, and certification data reporting system serves as an electronic learning management components that collects and maintains personnel information, course details and appropriations as needed to record, store, and distribute information or services related to training content delivery, completion, courses, and examinations.</p> <p>a. System Inputs: Transferred electronically or manually from instructors, training centers, unit yeomen, individual trainees, system administrators, supervisors, training coordinators, appropriate human resource representatives and data from the Coast Guard Direct Access Human Resource System used in conjunction with course information.</p> <p>b. System Data: Used to collect, retain, and track data related to all training activities such as training records, class schedules, training development, appropriations and student status.</p> <p>(1) Individual Training Information. Includes the unique employee record number, requests, appointment letters, training certificates, travel information, personnel identification number, training content and history, certification/ recertification data, course completion, course information, examinations, grading, course code, school code, reason for training request, training facility, company or unit identifying information.</p> <p>(2) Course information: Includes for each course of instruction roster documenting enrollment and attendance of</p>	<p>Destroy/Delete when data is verified or when no longer needed. (AUTH: N1-026-05-1)</p> <p>Destroy/Delete data 10 years after service member, contractor, or civilian is released from active duty, retires, transfers services, or is otherwise discharged from the Coast Guard. (AUTH: N1-026-05-1)</p>

participants, complete record of all training evaluations (grade/scores) documentation of course completion or qualification for each student successfully completing the training program/course, waivers or exemptions requested or granted and verification of physical abilities. Included formal school catalog courses, attrition rates, class scheduling, personnel equipment and facility contracting, reservations, vacancies, wait lists, manuals, syllabuses, textbooks, training aids, SOPs, training plans, course development or substantial equivalent record maintained to identify a required skill or task training requirement and to document development assignments, on the job training, or apprentice type training.

(a) Unique or significant training materials and course development specifically unique to Coast Guard only.

Permanent. Transfer to FRC when superseded, obsolete, or when no longer used. Transfer to NARA when 10 years old. (AUTH: N1-026-05-1)

(b) All other.

Destroy/delete when superseded or obsolete or when 6 years old. (AUTH: N1-026-05-1)

(3) Instructor or Staff Training information. Includes for each staff member copies of instructor's personal training history, attendance records, exemption or waivers requested/granted, evaluations, qualification notifications, certifications, recertification and verifications of ability.

Destroy/Delete data 10 years after service member, contractor, or civilian is released from active duty, retires, transfers services, or is otherwise discharged from the Coast Guard. (AUTH: N1-026-05-1)

(4) Funding and resource information. Includes funding categories, codes, audits, and provisions for monetary assistance or coverage for tuition, travel, per diem, housing allowance and other administrative management expenditures.

Destroy/delete when superseded or obsolete or when 6 years old. (AUTH: N1-026-05-1)

c. System Outputs. New training and certification data is presented and accessed using a web based user interface. Users include Coast Guard personnel, system administrators, supervisors, training coordinators and appropriate human resource representatives. Data is also used to update the Coast Guard Direct Access Human Resource System. Other forms of outputs include class rosters, reservations, ad-hoc reports and queries.

Destroy/Delete when no longer needed for agency business. (AUTH: N1-026-05-1)

d. System Documentation. Regardless of medium, system documentation includes record layouts, technical description of the files, data dictionaries, operational and user manuals, backup procedures, Interface Requirement Documents (IRD). May also contain code books, metadata schemes, standardization guidance, record layouts for the data fields, standard operating procedures, user and administrator guides, and related materials that support training management components.

Destroy/Delete when no longer needed for agency business.
(AUTH: N1-026-05-1)

(1) System documentation related to unique or significant training materials and course development.

Permanent. Transfer to NARA along with related system when 10 years old.
(AUTH: N1-026-05-1)

(2) All other system documentation.

Destroy/Delete when no longer needed for agency business.
(AUTH: N1-026-05-1)

19 Individual employee files on training.

Destroy when 5 years old or 5 years after completion of a specific training program.
(AUTH: GRS 1, Item 29a(1))

20 Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff.
(AUTH: GRS 1, Item 1p.)

21 Card summaries of station requirements reflecting name of station, personnel strength, and ceiling requirements.

Destroy when 1 year old.
(AUTH: NC1-026-80-4)

ITEM NO. SSIC 1700 MORALE AND PERSONAL AFFAIRS

AUTHORIZED DISPOSITION

5 Family Advocacy Child/Spouse Abuse Case Files. Documents relating to substantiated and unsubstantiated cases of child or spouse maltreatment under the provisions of the Family Advocacy Program. Child/Spouse Abuse Incident Report, CG-5488, case management summary, record of referral, extract of pertinent information from the police report, CID report, and other pertinent investigative reports

and supportive data, evaluation of case, record of services and counseling provided, treatment data and related documents.

a. Family Advocacy Case Files CGHQ Office of Primary responsibility.

(1) Family Advocacy Case Records - Substantiated Cases at CGHQ. Destroy 5 years after case is closed.
(AUTH: N1-026-05-8)

(2) Minor Dependent Child Abuse, Neglect or Sexual Abuse. Retain a minimum of 5 years after dependent child reaches age of 18.
(AUTH: N1-026-05-8)

b. All Other Offices

Forward case files to CHGQ when case is closed, or when member transfers or leaves the service.
(AUTH: N1-026-88-02)

c. Family Advocacy Case Records - Unsubstantiated/Did Not Occur.

Destroy immediately after case determination is made.
(AUTH: N1-026-05-8)

d. Family Advocacy Program Statistical Data Report Used for Training Purposes.

Destroy upon completion of next comparable report.
(AUTH: N1-026-05-8)

1754 Special Needs Program

1. Special Needs Case File. Maintained at a decentralized location until the USCG military or civilian personnel is separated or retired, eligible family member is no longer an eligible dependent, or the eligible dependent is no longer diagnosed as having a special need. Upon separation or retirement of the USCG military or civilian personnel, or the family member is no longer an eligible dependent, or when the eligible dependent is no longer diagnosed as having a special need, the record will be transferred to Commandant, CG-1112.

Cutoff at end of year. Destroy after 3 years. (N1-026-07-9)

ITEM NO.

SSIC 3000 OPERATIONS AND READINESS

AUTHORIZED DISPOSITION

6 Contingency Preparedness System (CPS). The CPS was developed and launched in fall, 2003, to enhance management of the Coast Guard Exercise Program and Contingency Planning Program. Overall, CPS provides the capabilities to line plans, exercises, and lessons learned, thereby improving Coast Guard readiness. The database allows the collections, validation and distributing of contingency plans and Concept of Exercises' (COEs) as well as tracking vital lessons learned as they apply to implementation in contingency plans. Managed by the Coast Guard After Action Division. CPS is an efficient means of entering, integrating, managing, and monitoring Contingency Plans, COEs, and capturing After Action Reports (AARs), lessons learned, and best practices from operations, contingency responses, and exercises.

a. Input. Manual data entry, uploading, scanning and electronic input via network or CDROM. Sources of input include individual exercise planners from units, areas, districts, and commands.

Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference. (AUTH: N1-026-05-14)

(1) Exercise records. Records consists of paper and electronic Concept of Exercise (COD) reports, maps, charts, message traffic, critical incident publications, evaluations, post-exercise reports, lists of participating units, funding data, district or higher headquarter input, information on coordination with other agencies and private sector.

Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference. (AUTH: N1-026-05-14)

(2) Contingency Plans. Paper and electronic copies of contingency plans and reports including approvals, geographic information, response structure and plan, documentation on state and local procedures for interaction, national policy and doctrine, command input, safety guidance, information protocol and standards, SOPs for liaisons, general operations, recovery and protection, emergency response plan, information on local wildlife, natural resources and environmental assets, procedures for volunteers, correspondence, permits and consultation, logistical requests and services, communications planning, finance and administration, and after action surveys.

Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference. (AUTH: N1-026-05-14)

(3) AARs and Lessons Learned. An AAR is a structured review process either formal or informal that allows participants to report for themselves what happened, why it

Retain at local unit or planning authority. Destroy/delete when data has been verified and no

happened, and how it can be done better. Paper electronic copies of AARs and lessons learned which include a detailed synopsis, overview and evaluation of an operation or training exercise involving Coast Guard assets. Also included are surveys and consolidated AARs in broader lessons learned.

longer needed for reference.
(AUTH: N1-026-05-14)

a. Master File.

(1) Exercise and Planning Data. This data refers to planning and execution. Information content includes data on planning, user identification, plan title and abbreviation, security classification, unit or operational facility responsible, references required, dates, approvals and type of contingency. Data on exercise includes scheduled events, exercise, estimated and actual funding requirements, type of exercise, location, submitting unit, start date and end date, director, sponsor, point of contact and telephone number, outline of exercise accomplishments major objectives, a synopsis of what the exercise is about, what can be expected and the plan that is to be exercised, participants and any additional remarks. Also included with each plan within CPS (as described in Item 9a(2)) is a link to corresponding lesson learned, best practice or AAR within CG-SAILS.

Cutoff completed plans and concluded exercises every calendar year and Destroy/Delete 20 years after cutoff or when no longer needed for reference, whichever is later.
(AUTH: N1-026-05-14)

(2) Standard After Action Information and Lessons Learned System (CG-SAILS). This data refers to analysis of operations and exercises after they have been concluded. CG-SAILS is a web-enabled tool designed to ensure information and experiences gained from real-world operations and exercise are captured in a system that is readily accessible at all levels of the organization. The system increases corporate knowledge and enhances USCG organizational efficiency. CG SAILS provides a process for the collection, validation, distribution, feedback and the subsequent remediation of issues identified and derived from operations and exercise. Field within the system are standardized and formatted for ease of use and for inclusion into external resources. Data format for AAR includes event name, type of mission, point of contact, expenditures, general description or summary of operational highlights, operational data including command, control, communication and information, intelligence, planning, and statistical data. Also included are objectives, major lessons learned, limitations and casualties and extent of participants. Data format for Lesson Learned or Best Practice includes event name, recommended action, date span, type o

Permanent. Cutoff data for completed records only every third calendar year and transfer to NARA. (AUTH: N1-026-05-14)

contingency, theme of lesson learned, core component and contextual data, observations, discussion, and recommendation.

c. Outputs. Electronic reports, statistics, updates and other management related outputs retrievable by Area of Responsibility (AOR), by unit, operational facility, by date of approval, by fiscal year or AAR status (pending, complete or overdue). Primary means of retrieval is via internal website. CPS also, allows custom options based on criteria of data or all fields of information. Standardized reports are generated for inclusion into external data information systems such as the DOD Joint Lessons Learned System.

Destroy when no longer needed for administrative use.
(AUTH: N1-026-05-14)

d. System Documentation. Contains code books, data dictionaries, metadata schemes, CPS standardization guidance, record layouts for the data fields, standard operating procedures, user and administrator guides, help guide and elated materials the maintenance of CPS.

Permanent. Transfer system documentation and any updates to NARA along with transfer of CG SAILS maser data
(AUTH: N1-026-05-14)

ITEM NO. SSIC 3123 MOVEMENT REPORTS

AUTHORIZED DISPOSITION

1 Unit Logs.

Transcripts of logs of lightships, light stations and vessels maintained at Operations Division. (supersedes COMDTINST M5212.12 para 296a(1))

Destroy when 1 year old.
(NC1-026-84-1), item 296a(1)

Transcripts of logs for vessels and shore units. (supersedes COMDTINST M5212.12 para 296b)

Destroy when 1 year old.
(NC1-026-84-1), item 296b(2)

2 Large Shore Unit Logs. Units found in this section include Air Stations and Detachments, SAR Groups, Section Offices, Bases, Group Offices, Supply Depots, Port Security Units, and Captain of Port Offices supersedes COMDTINST M5212.12, para 296a(3) and (4)).

a. Original log containing a daily record of the unit's activities and a daily record of local weather information.

Destroy when 3 years old.
(NC1-026-84-1), item 296a(3)

b. Master Flight Logs containing statistical entries of all flights regardless of purpose.

Destroy when 7 years old.
(NC1-026-84-1), item 296a(4)

3 Small Shore Unit Logs. Units found in this section include: Electronic Repair Shops, Fog Signal Stations, Lifeboat

Stations, Light Stations, Light Attendance Stations, Loran Transmitting Stations, Mooring, Organized Reserves Training Units (Port Security) (Vessel Augmentation), Radio Stations, Recruiting Stations, and others. (supersedes COMDTINST M5212.12, para. 296a(5)).

a. Original Logs (including Journal of Light Stations containing a daily record of the unit's activities and a daily record of local weather information.

(1) Original Journal of Light Stations and Lifeboat Stations having Historical Significance.

Permanent. Transfer to NARA immediately, records no longer created under this description. (NC1-026-84-1), item 296a(5)(a)
Destroy when 3 years old. (NC1-026-84-1), item 296a(5)(b)

(2) All other logs created by shore units.

b. Loran recording charts.

Destroy when 3 years old. (NC1-026-84-1), item 296a(6)

4 Coast Guard Vessels. Original Ship Logs containing a daily record of the ship's activities and a daily record of weather information. (supersedes COMDTINST M5212.12, para 296a(7)).

a. Logs for Group I type units described under COMDTINST 3123.12 series as follows: WHEC, WLI, WLM, WYTL, WTR, WMEC, WLR, WYTM, WAGO, WAGB, WLIC, WLB, WPB, WIX, WAGW. (supersedes COMDTINST M5212.12, para 296a(7)(a)).

Permanent. Transfer to NARA when 20 years old in 5 year blocks. Transfer to FRC when 1 cubic foot has accumulated. NOTE: All cutters 65 feet or longer accession logs directly to NARA. (NC1-026-84-1), item 296a(7)(a)

b. Log for Group II type units described under COMDTINST 3123.12 series as follows: WLW. (supersedes COMDTINST M5212.12, para 296a(7)(b)).

Permanent. Transfer to NARA immediately. WLW no longer collected as a separate series. (NC1-026-84-1), item 296a(7)(b)

c. Quartermaster Bridge books. (supersedes COMDTINST M5212.12, para 296a(8)).

Destroy when 3 years old. (NC1-026-84-1), item 296a(8)

5 Headquarters Units. Units found in this section include Academy, Aircraft Repair and Supply Center, Institute, Receiving Centers, Supply Centers, Training Station Yard. (supersedes COMDTINST M5212.12 para. 296a(9)).

Destroy when 3 years old. (NC1-026-84-1), item 296a(9)

Original Log containing daily record of units' activities and a daily record of local weather information. (supersedes COMDTINST M5212.12 para 296a(9)).

a. Original Log containing daily record of units' activities and a daily record of local weather information. (supersedes COMDTINST M5212.12 para 296a(9)). Destroy when 3 years old. (NC1-026-84-1), item 296a(9)

6 Boating Administration Management Report System (BAMS). Maintains a history of cost and maintenance data on all small boats. The cost data includes standard construction, and maintenance costs in three categories: hull, machinery and electronics. Maintenance data includes maintenance cost and man-hours. (supersedes HQINST M5212.6A, para 302). Dispose of in accordance with user published guidance.

7 Search and Rescue Statistical (SAR). Provides statistics for the Search and Rescue Division on three categories of data: Case, Response and Sortie. Source data is from the Assistance Reports in the Districts. (supersedes HQINST M5212.6A, para 303) Dispose of in accordance with user published guidance.

8 Log Navigation Data Sheet. Hard Copy - Form CG-4380C. Cut-off forms at end of year. Destroy 3-years after cutoff. (AUTH: N1-026-04-3)

9 Log Navigation Data Sheet. Electronic - Form CG-4380C. Destroy/Delete when 3-years old. (AUTH: N1-026-04-3)

NOTE: Some Log Navigation Data may be worthy of permanent retention if they provide significant insight into major events recorded in U.S. Coast Guard logbooks, reflect significant developments, or attract extensive public attention. These should be brought to the attention of NARA via a SF-115, Request for Disposition Authority, so that they can be appraised and appropriate disposition authorized. The appraisal process of these records will include determining of the appropriate medium for transfer of any records determined to be permanent.

ITEM NO. SSIC 3500 TRAINING AND READINESS AUTHORIZED DISPOSITION

9 Cutter Training Records. Records consist of training data created in the course of operating a USCG cutter training program as directed by COMDTINST M3502.4H. The

purpose is to standardize the documentation of training activities in order to evaluate the program and maintain an appropriate state of readiness.

a. Unit Training Plan. A schedule of training events, time slots for scheduled drills, exercises, all-hands training and departmental/division training developed with each underway or in-port cycle. Units are authorized to use CG-5293 or locally created forms such as Microsoft Outlook Calendar to document planning. Also included are specific drill plans with proposed contingencies or operational procedures that must be fulfilled, safety standards, length of drill period, condition of equipment, and safety considerations.

Destroy when no longer needed for administrative use.
(AUTH: N1-026-05-3)

b. Individual Training Records. Locally and individually created files used for documenting training and certification of USCG enlisted personnel. Records include indoctrination check-off sheets, copies of PQS/JQR qualification, small arms training, formal school completion letters and certificates, copies of correspondence course completion notices, and performance based qualifications sheets.

Retain and transfer to assigned duty station. Destroy 3 years after last duty station prior to discharge, death or retirement.
(AUTH: N1-026-05-3)

c. Cutter Drill and Exercise Records. Includes a comprehensive record of completed drills and exercises, dates, frequency, identification and comments as to satisfactory completion. Information may be documented on a Records of Drills and Exercises (CG-5290) or by other means suitable for reporting for example the Training Management Tool, (TMT, see SSOC 1500) or Status of Resources and Training System (SORTS).

Destroy when no longer needed or when 5 years old whichever is later.
(AUTH: N1-026-05-3)

d. Exercise Evaluation Sheets. Includes numerical evaluation of the exercise or drill against the criteria related to the specific training event conducted. Also included are Drill Performance Check Sheets and other means of documenting the evaluation of a particular cutter drill. The records are maintained by the training officer.

Destroy when no longer needed or when 2 years old, whichever is later.
(AUTH: N1-026-05-3)

ITEM NO. SSIC 4130 CONFIGURATION MANAGEMENT

AUTHORIZED DISPOSITION

9 Advance Planning Files. Contain project reports for AC&I or OE funded projects, unit development plans describing work proposed, cost estimates, justification with related charts, drawings, maps or photographs as needed. General

Destroy 3-years after project is completed.
(NC1-026-80-4)

files on budgets and funds related to construction and maintenance, which are maintained electronically.

<u>ITEM NO.</u>	<u>SSIC 4500 REDISTRIBUTION AND DISPOSAL OF PROPERTY</u>	<u>AUTHORIZED DISPOSITION</u>
7	Inventory Control Point Records. Consisting of general ledger trial balance summary sheet, system query, universe to trial balance summary, reconciliation of differences, data file containing exclusions, ICP Stat Sample procedures/checklist, confidence limits of Stratified Random Sample, Strata Boundaries & Size, Observed sample, observed variances sheet statistical ample consolidated list stat sample count sheets, random numbers generated for completeness test, causative research, confidence limits on Stratified Random Sample for Variables Summary with Adjustments, and surveys.	Destroy after 3 years. (AUTH: NC1-026-06-8)
<u>ITEM NO.</u>	<u>SSIC 4602, TRANSPORTATION HAZARDOUS MATERIAL</u>	<u>AUTHORIZED DISPOSITION</u>
1	HAZMAT Training Records. Records which document HAZMAT training to include testing, name of individual, date of training, description, copy, or location of training materials, name of person providing training and certification statement of completion.	Destroy 90-days after separation from the USCG. (AUTH: N1-026-05-18)
<u>ITEM NO.</u>	<u>SSIC 5000 GENRAL ADMINISTRATION AND MAANAGEMENT</u>	<u>AUTHORIZED DISPOSITION</u>
1	d. Program Correspondence Files. Correspondence of Area and District Commanders, Commanding Officers of Headquarters Units, congressional correspondence, correspondence relating to high level agency mission or to high profile events in which Coast Guard was involved. (1) Textual Records	Permanent. Retire to Federal Records Center when 3 years old. Transfer to NARA when 20 years old. (AUTH: N1-026-05-05)
<u>ITEM NO.</u>	<u>SSIC 5530 PHYSICAL SECURITY</u>	<u>AUTHORIZED DISPOSITION</u>

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| 1 | <p>FACILITY SECURITY PLAN. Consist of an index identifying the location of Security administration and organization of the facility; Personnel training; Drills and exercises; Records and documentation; Response to change in MARSEC Level; Procedures for interfacing with vessels; Declaration of Security (DoS); Communications; Security systems and equipment maintenance; Security measures for access control, including designated public access areas; Security measures for restricted areas, handling cargo, delivery of vessel stores and bunkers, and monitoring; Security incident procedures; Audits and security plan amendments; Facility Security Assessment (FSA) report; and Facility Vulnerability and Security Measures Summary (Form CG-6025).</p> | <p>Destroy 5 years after date of approval.
(AUTH: N1-026-05-12)</p> |
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ITEM NO SSIC 5801 LEGAL ASSISTANCE

AUTHORIZED DISPOSITION

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| 1 | <p>Case Matters Management Tracking (CMMT) System. Serves as a tracking system used in the day-to-day management of cases and workload, tracking conflict checks and performing statistical analysis of the program. Also serves as resource management tool for the Judge Advocate General and senior managers in exercising oversight of the legal program.</p> <p>a. Inputs-Client Case Files. Information manually entered which consists of client intake sheet, attorney note log, Law Manager entry and supporting documents, as well as case type, sub-type, quantity, and result for members who received legal advice.</p> <p>b. Master File. Minimum requirements include the following data elements: client name, matter name, practice area, assistance type, owner, player, time, task, prefix, entity type, service, sponsor, unit, SSN, and related entities. Other information such as address, phone number, notes, etc. may be added as desired and required for conflict checking and case management.</p> <p>c. Outputs. Reports generated twice a year for statistical analysis. Used in conjunction with the development of the Judge Advocate General's annual and mid-year reports.</p> | <p>Destroy/delete 3 years after case is closed or when no longer needed by an attorney's state bar, whichever is later.
(AUTH: N1-026-06-3)</p> <p>Cut off records when case is closed. Destroy/delete after 3 years or when no longer needed by an attorney's state bar, whichever is later.
(AUTH: N1-026-06-3)</p> <p>Destroy/delete when no longer needed for agency business.
(AUTH: N1-026-06-3)</p> |
| 2 | <p>System Documentation. Includes code books, data dictionaries, meta-data schemes, record layouts for data</p> | <p>Destroy/delete when superseded or obsolete or when no longer</p> |

fields, standard operating procedures, user and administrator guides, help guides, and related materials.

needed for agency business, whichever is later.

(AUTH: N1-026-06-3)

<u>ITEM NO</u>	<u>SSIC 6000 MEDICAL AND DENTISTRY (GENERAL)</u>	<u>AUTHORIZED DISPOSITION</u>
2	Routine correspondence of an administrative and housekeeping nature.	Destroy when 6 years old. (AUTH: N1-026-05-20)
<u>ITEM NO.</u>	<u>SSIC 6150 HEALTH AND MEDICAL RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4	Medical X-rays, x-ray logs or their index records other than 70mm X-ray film and entrance and separation X-rays covered above, relating to military personnel and their dependents. (These X-rays consist of photographic negatives made with the aid of X-rays which are used in medical diagnosis to locate fractures, malformations and pathological conditions, of tissue.)	Destroy when six years old by salvaging. (AUTH: N1-026-05-22)
6	Reports, logs, forms, and index cards not otherwise provided for and used for the administration of medical activities and in the treatment of patients.	Destroy 6 years after last entry. (AUTH: N1-026-05-22)
	a. Health Service Log. Logs maintained by the Independent Duty Health Services (IDHS). Consist of the names of all individuals reporting to sick call for treatment, inspections, inventories conducted, and the results of potable water testing.	Destroy after 6 years. (AUTH: N1-026-05-22)
	b. Training Log. The training log will contain a record of all HS training given to the crew, stretcher-bearers, and HSs.	Destroy after 3 years. (AUTH: N1-026-05-22)
	c. Biohazard Waste Log.	Destroy after 3 Years. (AUTH: N1-026-05-22)
	d. Binnacle List. Consist of name of member provided treatment and the duty status determination resulting from treatment. Information to complete this list is purged from the Health Services Log.	Destroy after 6 years. (AUTH: N1-026-05-22)
	e. Mishap Accident Report.	
	(1) Mishap Accident Report (General).	Destroy after 7 years. (AUTH: N1-026-05-22)
	(2) Aviation Mishap Report	Destroy after 30 years.

- (AUTH: N1-026-05-22)
- f. Disease Alert Report. Destroy after 6 years
(AUTH: N1-026-05-22)
- g. Inpatient Hospitalization Report. Destroy after 6 years
(AUTH: N1-026-05-22)
- h. Potable Water Quality Discrepancy Report. Document the date, location and results of free available Chlorine residual or Bromine testing and bacteriological testing. Maintained in chronological order, record the date and time of test, type of test, collection site, and results of testing. Destroy after 2 years
(AUTH: N1-026-05-22)
- 10 Civilian Employees Health Services Records.
- e. Reports, logs, and forms not otherwise provided for and used for the administration of medical activities and in the treatment of patients. Destroy 6 years after last entry.
(AUTH: N1-026-05-22)

ITEM NO. SSIC 6200 PREVENTIVE MEDICINE AUTHORIZED DISPOSITION

- 1 Laboratory Test and Logs. All laboratory records and logs except noted above. Transcribed information onto SF-600 and place in individual's health folder. Destroy when 6 years old.
(AUTH: N1-26-05-23)
- a. Immunology tests and logs. Destroy when 6 years old.
(AUTH: N1-26-05-23)
- b. Pathology tests and logs Destroy when 15 years old.
(AUTH: NC1-26-80-4)
- 3 Prosthetic case records such as NAVMED 952. Destroy when 6 years old.
(AUTH: N1-26-05-23)

ITEM NO. SSIC 6570 PHARMACY AUTHORIZED DISPOSITION

- 1 Alcohol Prescription, Narcotic and Controlled Drug Logs. Internal pharmacy inventory of narcotics, alcohol, and controlled drugs which pharmacies are required to maintain when issuing controlled substances to patients. Destroy when 3 years old.
(AUTH: N1-26-05-21)
- 2 Controlled Substances Prescriptions. General alcohol, narcotic, and barbiturate prescriptions required to be Destroy when 6 years old.
(AUTH: N1-26-05-21)

maintained for Coast Guard personnel and their dependents.

<u>ITEM NO.</u>	<u>SSIC 8000, GENERAL ORDNANCE MATERIAL AMMUNITION AND EXPLOSIVES</u>	<u>AUTHORIZED DISPOSITION</u>
3	<p>Shipping Papers. Shipping documents for movement of sensitive conventional Arms, Ammunition and Explosives (AA&E), classified (secret and confidential), and Controlled Cryptographic Items (CCI). Consist of shipping documents used to describe freight, and any required physical and security protective services needed to protect it from time of carrier acceptance to final delivery destination.</p> <p>a. Carrier Copy. As required by 49 CFR 172.201(e) each person who provides/receives shipping papers for hazardous material (other than hazardous waste) must retain a copy, or electronic image at the principal place of business for future inspection for a minimum of 375 days.</p> <p>b. Electronic copies of records that are created on electronic mail and word processing system and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Cutoff at the end of the fiscal year in which transaction is concluded. Destroy 375 days after cutoff. (AUTH: N1-026-05-17)</p> <p>Destroy/Delete within 180 days after the recordkeeping copy has been produced. (AUTH: N1-026-05-17)</p> <p>Destroy/Delete when dissemination, revision, or updating is completed. (AUTH: N1-026-05-17)</p>

<u>ITEM NO.</u>	<u>SSIC 16000 COAST GUARD MISSIONS</u>	<u>AUTHORIZED DISPOSITION</u>
	<p>Homeport. Homeport is an enterprise tool to facilitate compliance with the requirements set forth in the Maritime Transportation Security Act (MTSA) of 2002. Homeport provides secure information dissemination, advanced</p>	

collaboration, electronic submission for vessel and facility security plans, and complex electronic and telecommunication notification capabilities. Homeport also provides an online request form, accessible by the public, for assistance during major incidents and/or natural disasters. Because of this the systems serves different needs for retaining information. Privacy Act System Notice Number: DHS/CG 060. Prescribing Directive for Records: 50 U.S.C. 191; 46 U.S.C. 3717; 46 U.S.C. 12501; 44 U.S.C.35 (1) 3507; 33 U.S.C. 1223; 14 U.S.C. 2; 33 C.F.R. Part 125

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| <p>a. Personnel screening data is contained on Microsoft Excel spreadsheets or csv files submitted electronically by the public. The only information retained is the submitted file. Registration and response records are entered directly and do not involve data input records.</p> | <p>Destroy/erase after two years.
(AUTH: N1-026-06-6)</p> |
| <p>b. Homeport User Registration files contain identification and contact information such as name, address, phone number and email address. These records are used to identify Homeport users with access to restriction portions of the Internet portal.</p> | <p>Destroy/erase when account is terminated.
(AUTH: N1-026-06-6)</p> |
| <p>c. Response records contain identification and contact information for persons in distress such as name, address, date of birth, height, weight, and other personal characteristics plus information on the nature of a person's distress and location. This information is used to identify persons in need of assistance and track response actions taken.</p> | <p>Destroy/erase 120 day after completion of response operations.
(AUTH: N1-026-06-6)</p> |
| <p>d. Personnel screening data is used to verify maritime workers identities and facilitate the screening of maritime workers for access to marine transportation facilities</p> | <p>Destroy/erase after 2 years.
(AUTH: N1-026-06-6)</p> |

<u>ITEM</u>	<u>SSIC 16100 SEARCH AND RESCUE</u>	<u>AUTHORIZED DISPOSITION</u>
<u>NO.</u>		

2 SAR Case Files – Case files established for each SAR case conducted consisting of all significant information necessary to document the case from inception of the case to final closing of the case.

a. Historically Significant Cases. Cases identified as having

historical significance due to the scope or nature of the cases. Example include cases receiving national or regional media attention; cases used in Congressional or other oversight investigations; cases involving a great number of persons seeking rescue or involved with a large scale disaster such as a terrorist attack or natural disaster. Also included are cases representing substantive change in agency policy and procedures. Consult with USCG Historian, Public Affairs or the National Archives for further assistance.

(1) Paper records prior to 2003.

Permanent. Cut-off at the end of the calendar year in which the SAR case is closed, transfer to the FRC 3 years after cutoff. Transfer to NARA 15 years after cutoff.
(AUTH: N1-026-06-7)

(2) Paper records serving as MISLE input (2003 to present).

Destroy paper copies upon verification of data input and accuracy check into MISLE has been completed or no later than 3 years.
(AUTH: N1-026-06-7)

(3) Electronic attachments and enclosures generated from SAR cases as well as those duplicated as evidence in an investigation or enforcement action such as a civil penalty hearing, criminal prosecution or license suspension hearing. **NOTE:** Transfer file to NARA in accordance with transfer requirements in effect at the time of transfer.

Permanent. Cutoff at the end of the calendar year in which the related SAR case is closed. Transfer records to NARA three years after cutoff.
(AUTH: N1-026-06-7)

(4) Records serving as MISLE input (2003 to present) Not entered completely into MISLE; not verified in MISLE.

Permanent. Cut-off at the end of the calendar year in which the SAR case is closed, transfer to the FRC 3 years after cutoff. Transfer to NARA 15 years after cutoff.
(AUTH: N1-026-12-001)

b. All other routine case files not selected as having historical significance.

(1) Paper records prior to 2003.

Cutoff at the end of the calendar year in which the SAR case is closed. Transfer to the FRC 3 years after cutoff. Destroy 15

years after cutoff.
(AUTH: N1-026-06-7)

(2) Paper records serving as MISLE input (2003 to present).

Destroy paper copies upon verification of data input and accuracy check into MISLE has been completed or no later than 3 years. (AUTH: N1-026-06-7)

(3) Electronic attachments and enclosures generated from SAR cases as well as those duplicated as evidence in an investigation or enforcement actions such as a civil penalty hearing, criminal prosecution or license suspension hearing.

Cut off files at the end of the calendar year in which the case was closed. Destroy three years after cutoff. (AUTH: N1-026-06-7)

(4) Records serving as MISLE input (2003 to present) Not entered completely into MISLE; not verified in MISLE.

Temporary. Cutoff at the end of the calendar year in which the SAR case is closed. Transfer to the FRC 3 years after cutoff. Destroy 15 years after cutoff. (AUTH: N1-026-12-001)

ITEM SSIC 16150 ICE OPERATIONS RECORDS
NO.

AUTHORIZED DISPOSITION

4 Records of the International Ice Patrol (IIP). Iceberg Analysis and Prediction System (BAPS). BAPS serves as a database tool to estimate iceberg drift and deterioration and generate products. Designed and used by the International Ice Patrol (IIP), BAPS gathers and processes raw data to perform IIP's primary mission of monitoring iceberg danger near the Grand Banks of Newfoundland and broadcasting the Limit of All Known Ice to mariners. Ice Patrol's responsibilities are delineated in U.S. Code, Title 46, section 738, and the International Convention for the Safety of Life and Sea, 1974.

a. Inputs. Information Reports. All ships are encouraged to report ice sightings to IIP when transiting in the region of the Grand Banks. Information reports include ship name and call sign, iceberg position (or "no ice sighted"), time of sighting, method of detection, size and shape of iceberg, sea ice concentration, and sea-surface temperature. Reports are received via telephone, radio, fax, and email. The Canadian Ice Service frequently reports ice sightings to IIP.

Destroy when information is loaded in BAPS and verification of data is completed.
(AUTH: N1-026-05-09)

- b. SLAR Film and CDs. Side-Looking Airborne Radar (SLAR) film and CDs are a record of all SLAR targets detected during reconnaissance. Personnel review the data during the post-flight analysis to ensure accurate target identification. SLAR film displays only radar return, while CDs show a target's return, position, and description. Destroy when three years old. (AUTH: N1-026-05-09)
- c. BAPS Master File. The Iceberg Analysis and Prediction System's iceberg database contains each iceberg's sighted and final drifted positions, size, and shape. The drifted positions are based on IIP's drift and deterioration model, which is based in part on oceanographic and meteorological data. Iceberg data is maintained each ice season and annually exported from the system. The data is also archived at the National Snow and Ice Data Center for scientific research. Permanent. Transfer to NARA at the end of each ice season in accordance with 36 CFR 1228.270 (NARA transfer guidance). (AUTH: N1-026-05-09)
- d. Outputs. Ice Charts are created electronically by using information gathered from a variety of sources, such as Coast Guard reconnaissance flights, satellite imagery, and ships. Ice charts are broadcast daily to mariners in the north Atlantic. Ice Charts graphically depict sea ice, radar targets, the Area of Many Bergs, and the Limit of All Known Ice. A text file (Ice Bulletin) containing the same data is also produced and used by those who cannot access the graphical file. Permanent. Transfer to NARA geographical file at the end of each ice season in accordance with 36 CFR 1228.270. (NARA Transfer Guidance.). (AUTH: N1-026-05-09)
- e. BAPS Limit File is an ASCII file in the Iceberg Analysis and Prediction System that contains the geographic coordinates of the Limit of All Known Ice. Permanent. Transfer all files to NARA at the end of each ice season. (AUTH: N1-026-05-09)
- f. Annual Reports. U.S. Code, Title 46, section 738, mandates IIP to publish a report of services provided each year. The Annual Report presents various statistics and summarizes the ice season by describing the year's ice and environmental conditions, experiments, product dissemination, and reconnaissance operations. Annual Reports are published in hard copy and in PDF. Permanent. Transfer to NARA at the end of each ice season. (AUTH: N1-026-05-09)
- g. System Documentation. Key to the BAPS Master File. Describes data columns and codes in the iceberg database. Permanent. Transfer to NARA along with system files. (AUTH: N1-026-05-09)
- h. Ice Reconnaissance Detachment (IRD) Logs. The logs for each reconnaissance patrol consist of flight hours, flight Transfer to FRC when three years old. Destroy when 25 years old.

track, patrol conditions, reconnaissance targets, Side-Looking-Airborne-Radar target reports, and other pertinent documentation.

(AUTH: N1-026-05-09)

i. External Reference Requests. Various requests made to IIP for iceberg, oceanographic, and climate data.

Destroy five years after request is finalized. (AUTH: N1-026-05-09)

j. Research and Data Collection. Records include project plans, design, program evaluations, logbooks, notebooks, documentary evidence such as film and video, manual calculations, analytical and sampling data, drawings, implementation and results, findings and final reports. Includes such studies as ocean physics, ocean charting of currents, glacial survey models, iceberg demolition experiments, RADM Edward Smith's oceanographic projects.

(1) IIP directed research and development projects which established precedents, produced major contributions to scientific knowledge; subject to widespread media attention to subject t to Congressional scrutiny.

Permanent. Transfer records to NARA five years after the conclusion of the project or publication of the final report. (AUTH: N1-026-05-09)

ITEM NO. SSIC 16200, GENERAL ENFORCEMENT OF LAWS AND TREATIES

AUTHORIZED DISPOSITION

1 Recreational Boating Law Enforcement Case Files. Cases against owners/operators of vessels found in violations of Federal recreational boating laws or regulations. Records include such forms as CG 3629, Water Pollution; CG 1408, Loadline Inspection Report, and CG 4100, Report of Boarding, and associated documents describing names of violators, address, SSN, description of boats, and note on alleged violations and copies of correspondence of any penalty involved. Cases are used internally for case tracking and tracking of repeat offenders. External uses of data include reporting of debt owed from penalties, authorized oversight audits, congressional inquiries, inquiries related to intelligence gathering, and inquiries from other Federal agencies conducting litigation or proceedings before any court, adjudicative or administrative body. These files are treated as input into the Marine Information for Safety and Law Enforcement System (MISLE).

Destroy three years after report is forwarded to district, area or data processing center or after final action whichever is later. (AUTH: N1-26-05-6)

2 Enforcement cases with final action consisting of written

Cutoff at the end of the calendar

- warnings or no violations including cases referred to other agencies or departments for actions consisting of investigation reports, violation reports, correspondence, and related. These files are treated as input into the MISLE. (AUTH: N1-26-05-6)
- 3 Navigable waters determinations and research materials provided by District staffs. Maintain at agency (G-LMI) as an active working file and as documentation of further jurisdictional determination. Destroy when 3 years old or when no longer needed for reference purposes, whichever is later. (AUTH: NC1-26-80-4)
- 4 Merchant Seaman Appeals. Original of final agency actions consisting of Commandant's appeal decisions in suspension and revocation proceedings against merchant seaman's documents. Maintain at agency (G-LMI) as an active working file. Destroy when inactive. (AUTH: NC1-26-76-2)
- 5 Law Bulletins. Destroy after opinions and decisions no longer constitute binding authority. (AUTH: NC1-26-80-4)
- 6 Federal - State Relations.
- a. Cooperative Agreement amendments and Memorandum of Understanding relating to the coordination of law enforcement agreements. Destroy 3 years after agreements are superseded or terminated. (AUTH: NC1-26-82-8)
- b. Federal grants to states relating to boating safety requirements for the Federal Boat Safety Act. Records include correspondence, financial reports, statistical reports, and, other supporting documents. Destroy 6 years, 3 months after grant is closed. Transfer to FRC 2 years after grant is closed. (AUTH: NC1-26-82-8)
- 11 Law Enforcement Monthly Files. Copies of outgoing correspondence, whale safety broadcasts, local notices to mariners, local reports of fishery management, boarding reports, weekly law enforcement tasking of cutters, SITREPS, and other activities arranged chronologically kept for convenience, reference, and intelligence gathering purposes. Destroy when three years old. (AUTH: N1-026-05-07)

ITEM NO. SSIC 16450 GENERAL MARINE ENVIRONMENTAL PROTECTION RECORDS.

AUTHORIZED DISPOSITION

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. 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.

(1) Incidents of National Significance Collected/received copies of original records.

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)

<u>ITEM</u> <u>NO.</u>	<u>SSIC 16500 SHORT RANGE AIDS TO NAVIGATION</u>	<u>AUTHORIZED DISPOSITION</u>
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1 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.

a. Minor Aids (e.g. buoys, day beacons). Minor aids are classified as buoys or floating aids moored to the seabed by concrete which are intended to convey information to the boater by their shape or color, by the characteristics of a visible or audible signal, or a combination of two or more such features. Examples may also include pier or jetty lights, day beacons, private lights, channel lights, buoys, other floating aids, or fog signals.

Destroy 3 years after aid is disestablished.
(AUTH: N1-26-05-19)

b. Major Aids. Usually classified as a permanent lighted beacon or structure fixed to the earth's surface. Examples include range lights, landmarks, lighthouses, and lightships.

Permanent. Transfer to NASRA 50 years after aid is established. Copy for reference those records needed for ongoing maintenance. Immediate transfer to NARA of case files prior to 1950 is authorized. Files will continue to be readily accessible at NARA regional facilities.
(AUTH: N1-26-05-19)

2 Integrated Aids to Navigation Information System (I-ATONIS). An automated application developed for collecting and distributing marine navigation safety information. Additionally, it manages all significant logistics efforts in maintaining over 100,000 Federal and private aids to navigation (ATON). The information includes details on aids (fixed and floating), hazards, wrecks, shoals, and chart correction and updates information. This safety notices is disseminated to a broad spectrum of mariners through the Local and Special Notice to Mariners (LNM), Broadcast Notice to Mariners and the District Light Lists publications. I-ATONIS integrated several USCG navigation safety functional areas and related activities. This

schedule provides the authority for data retention and disposition instructions for I-ATONIS, paper and electronic input and output and retired predecessor systems such as ATONIS, SANDS and local District databases for wrecks and oil rigs.

a. Inputs. Manual data entry is input into I-ATONIS from routine forms and other source documents such as logs and reports via desktop networked computers. Also, input is received from electronic transmissions from portable devices such as laptops and handheld computers from mobile ATON units via ATONIX (a software data upload utility). Sources of input include various units and flotillas, district and area ATON branches and other USCG personnel from Headquarters offices such as the Office of Navigation Systems (G-PWN). Data is gathered from NOAA and NIMA sources for continuity of nautical charts and ongoing weather conditions. Additionally, the following **paper** series, retained by the units for ready reference are related input into I-ATONIS.

(1) All others.

Destroy when data is verified to be correct or data entry quality assurance is completed, whichever is later.
(N1-26-06-4)

b. Master file. I-ATONIS features a centralized database with multi-user access, source on-line updating, user implemented database query capability and database product and report retrieval and delivery capability to any USCG ATON unit. Other government agencies (NOAA, NGA, and USACE) have limited online read-only access to the data. Activities and fields of information include but are not limited to managing aid information such as position, physical characteristics, bearing, associated structural drawing and attached devices; managing aid light system, light sectors, lamp and battery replacements; unit assigned maintenance tasks, priority for work and type; aid discrepancies, damage and repair documentation, cause and analysis; light list correction and modification; managing aid charts, corrections in nautical charts; proposed renovation projects and associated costs; records of Federal aids establishment and designation of historical status; mooring data; inspections; private aids points of contact, authorization and license data; location and record of capped

Permanent. Cut off data at the end of every 3rd calendar year and transfer to NARA in accordance with transfer requirements in effect at the time of transfer.
(AUTH: N1-26-06-4)

wells and other oil production platforms and rigs; generation of LNM, BNM, SNM; waterways, traffic and environmental conditions; wrecks data including actions taken, wreck type, ID and points of contact; associated river book; attending maintenance vessel; property agreements; geodetic surveys; annual costs; and aids on stationary objects such as bridges.

c. Retired Predecessor Systems (Closed-series). With the development of I-ATONIS several datasets representing activities surrounding ATONs were integrated for better data management and improving operational effectiveness. The primary system migrated was ATONIS (Aids to Navigation Information System). The system was used by units to track and schedule servicing of the aids and by the districts to perform LNM reports and ATON and related inventories. Data included aid type, district, name of aid, latitude/longitude of the aid, description, information for seasonal aids, height of the aid, and supplementary equipment information. Other similar datasets were also migrated and integrated such as nautical charts from NOAA and NGA, Light List data from NGA, and other external data used for the production of the USCG Light List and the District LNMs. Prior to the establishment of ATONIS a punch card system known as Standardized Aids to Navigation Data System (SANDS) was used.

d. Output. Reports, publications, and notices are generated based on user requirements and are often used in the effective management of maritime safety communication, maritime security and the protection of natural resources in efforts to reduce recreational, passenger, vessel, and maritime worker fatalities, and protect U.S. waterways from pollutants. Examples of standard publications generated from I-ATONIS include the annual List Lists (LL), Local Notice to Mariners (LNM), Broadcast Notice to Mariners (BNM), and Special Notice to Mariners (SNM). Examples of routine reports are generated for tracking discrepancies, inventories, wrecks, waterways and work schedules. Other administrative output include the Federal Aid Form and Private Aid Information Document which are printed and/or stored on networks as needed for ready reference and inclusion in aid case files. Reports, publications, and notices are often generated under previously approved dispositions.

Cutoff data upon the successful migration of data into I-ATONIS. **Destroy** 3 years after cutoff. (AUTH: N1-26-06-4)

(1) All others.

Destroy when no longer needed.

(AUTH: N1-26-06-4)

e. System Documentation. Contains code books, data dictionaries, metadata schemas, data standardization guidance, record layouts for the data fields, standard operating procedures, user and administrator guides, and related system engineering materials that support I-ATONIS.

Permanent. Transfer along with master data update to NARA in 3-year blocks.
(AUTH: N1-26-06-4)

ITEM NO. SSIC 16600, PORT SAFETY AND SECURITY

AUTHORIZED DISPOSITION

16 IAS Consultation Reports - Reports of consultation obtained from the Fish & Wildlife Service (FWS) and the National Oceanic & Atmospheric Administration (NOAA) Fisheries concerning the environmental impact of the deployment of the Integrated Anti-swimmer System (IAS). IAS is a system of underwater defensive equipment such as sonar and ROV's (remote operated vehicles) designed to detect, track, identify and interdict underwater threats from swimmers and divers. Records consist of written communications, discussions, recommendations, conclusions, and opinions documented in a locally crated file.

a. Emergency and Formal Consultation – Formal or expedited contact and notification of the deployment of IAS required due to impeding the threat of hostile action, credible intelligence against a particular vessel, harbor, port or waterfront facility. Includes information on the nature of the emergency actions, justification for the expedited consultation, impacts to endangered or threatened species and their habitats, date/time, location and duration of deployment.

Cut-off after final conclusion is reached. Maintain at the notifying unit for one year then transfer to Commandant (G-OPD). **Destroy** when no longer needed for current business or reference, retain at a minimum of 10 years.
(AUTH: N1-26-06-2)

b. Informal Consultation – Informal consultation is used when IAS is deployed for use during National Special Security Events (NSSEs) and other high profile events such as the Super Bowl, Olympics, G-8 Summit or national political conventions. Informal consultation is taken to ensure compliance with all relevant environmental laws. Records include all discussions, correspondence, emails between Coast Guard and FWS/NOAA Fisheries. If the action is not likely to adversely affect listed species or critical habitat no further action is necessary.

Cut-off after final conclusion is reached.
Destroy when 10 years old.
(AUTH: N1-26-06-2)

ITEM NO. SSIC 16700, COMMERCIAL VESSEL SAFETY

AUTHORIZED DISPOSITION

The Ship Arrival Notification System (SANS) is a database application that provides advance notice of arrival/departure information from shipping agents or shipmasters of flagged vessels that intend to port in the United States. The information is processed, screened and stored for use to verify crew on board, identify passengers, authenticate cargo manifests, and coordinate with the Captain of the Port (COTP) to have “Sea Marshal’s” board “High Interest Vessels” (HIVs) prior to entry into a port.

- a. System Inputs - Vessel Notice of Arrival/Departure Report (NOA/D). Records consist of information received from vessel(s)’ owner, operator, agent charterer, etc. (entity acting on behalf of owner) relating to the arrival/departure of vessels in U.S. ports. Records may be received via email, fax, e-NOA/D (electronic Notice of Arrival/Departure, which includes website, InfoPath, or schema all providing XML format) formats, or telephone and retained in SQL server database. Destroy/Delete when verification of data is complete. (AUTH: N1-26-05-11)
- b. Master File. Data includes details about vessels, reporting party, arrival/departure date/time group, voyage information, crew, passenger and cargo manifest, previous ports visited, ship security and safety certifications and version control information. Destroy/Delete when no longer needed for reference, or when ten years old, whichever is later. (AUTH: N1-26-05-11)
- c. Outputs. Ad-hoc reports are generated for local and immediate use to provide operational planning to a variety of interested parties for example, Captain of the Port and Marine Safety Offices, Sea Marshals, Customs and Boarder Patrol, Immigration and Customs Enforcement. Examples of data usage includes setting up security zones, scheduling boarding and inspections activities, actions for non-compliance with regulation, and other activities in support of Coast Guard’s mission to provide for safety and security of U.S. ports. Secondary use by investigation and enforcement entities within the Federal Government. Destroy/Delete when no longer needed for reference, or when ten years old, whichever is later. (AUTH: N1-26-05-11)
- d. Documentation. System specifications, technical file descriptions, data dictionaries, code books, record layouts, user and administrator guides and related materials that support the ship arrival notification system. Destroy or delete when superseded or upon authorized deletion of related database master file. (AUTH: N1-26-05-11)

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| 10 | Great Lake Pilotage, Individual Personnel Files. The files contain, Application for registration, United States Registered Pilot (Form CG-4509), fingerprint chart, individual photographs of the pilot, Report of Medical Examination, Vessel Speed Violations, Reports of Incident, Certificates of Registration (Original/Copy), Reports of Investigation. The pilots are non-military/non-federal personnel. | Destroy 6 years after the individual license expires, upon death of the individual or when the individual turns 70 years old, whichever is sooner.
(AUTH: N1-026-05-02) |
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<u>ITEM NO.</u>	<u>SSIC 16750, RECREATIONAL BOATING SAFETY</u>	<u>AUTHORIZED DISPOSITION</u>
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11 Applications for Numbers. The Standard Numbering System (SNS) collects information on undocumented vessels and vessel owners operating on waters subject to the jurisdiction of the United States. Owners of all undocumented vessels propelled by machinery are required by Federal law to apply for a number from the issuing authority of the State in which the vessel is to be principally operated. In addition, States may require other vessels, such as sailboats or even canoes and kayaks, to be numbered. Owners may include individuals or households, non-profit organizations, and small businesses (i.e. liveries that offer recreational vessels for rental by the public) or other for-profit organizations. Federal, State, and local law enforcement agencies use information from the system for enforcement of boating laws or theft and fraud investigations. In addition, when encountering a vessel suspected of illegal activity, information from the system increases safety by assisting boarding officers in determining how best to approach the vessel. In States that do not have an approved system, the U.S. Coast Guard is responsible for administering the system. Currently, all 56 States and Territories have approved numbering systems. States submit reports annually to the Coast Guard on the number, size, construction and machinery of vessels they have numbered. This information is used by the Coast Guard in (1) publication of an annual "Boating Statistics" report required by 46 U.S.C. 6102(b), and (2) for allocation of Federal funds to assist States in carrying out the Recreational Boating Safety (RBS) Program established by 46 U.S.C. chapter 131.

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| a. | Application for numbers for undocumented vessels. | Destroy 3 years after expiration of permit or loss of vessel.
(AUTH: N1-026-05-13) |
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| <p>b. Current computer or word processor retrieval system of vessel registration. 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.</p> | <p>Destroy/Delete non-current documents and cards when superseded or obsolete.
(AUTH: N1-026-05-13)</p> |
| <p>c. State's annual boating reports and statistics. Annual reporting requirements and statistics received periodically in reference to registration of undocumented vessels used in the production the Coast Guard annual publication "Boating Statistics."</p> | <p>Destroy/Delete two years after publication or when superseded or obsolete.
(AUTH: N1-026-05-13)</p> |
| <p>d. Registration of Undocumented Vessels in Alaska, Bill of Sale (proof of ownership) Pre-2001 Original Hardcopy. Information promotes identification of boats involved in casualties, recovery of lost boats, and simplifies search and rescues response, and law enforcement procedures.</p> | <p>Cutoff annually, transfer to FRC in 10 year blocks, destroy when 20 years old.
(AUTH: N1-026-05-13)</p> |
| <p>e. Registration of Undocumented Vessels in Alaska, Bill of Sale (proof of ownership) Pre-2001 Data. Electronic tracking database used to respond to questions from the State concerning any pre-1966 CG boat registration. Maintained by the Coast Guard Point of Contact.</p> | <p>Destroy/Delete when superseded, obsolete, or no longer needed, whichever is later.
(AUTH: N1-026-05-13)</p> |

<u>ITEM NO.</u>	<u>SSIC 16790 COAST GUARD AUXILIARY</u>	<u>AUTHORIZED DISPOSITION</u>
9	Pilot Letter of Violation. Corrective letters maintained by the Director of the Auxiliary documenting Auxiliary member's violation of flight regulations as designated by Federal Aviation Regulation 91, General Operating and Flight Rules.	Remove and destroy from pilot's file after 2 years if no further violation occurs. (AUTH: N1-026-06-01)