

# WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0026-2017-0003

## Request for Records Disposition Authority

Records Schedule Number DAA-0026-2017-0003  
Schedule Status Returned Without Action

Agency or Establishment U.S. Coast Guard  
Record Group / Scheduling Group Records of the U.S. Coast Guard  
Records Schedule applies to Major Subdivision  
Major Subdivision United States Coast Guard  
Minor Subdivision National Pollution Funds Center (NPFC)  
Schedule Subject NPFC Case Files  
Internal agency concurrences will be provided No

Background Information The purpose of this request is to add items to the current U.S. Coast Guard records schedule. These items correctly identify records created and maintained at the National Pollution Funds Center (NPFC). The Management and Operations Support Information System (MOSIS) will serve as the official record. Documentation created and/or maintained by the NPFC are to manage federal funding of response relating to oil spills or hazardous materials releases per the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), the National Response Plan and/or successors. These documents include, but are not limited to cost documentation, documentation of cost recovery, and claims submitted under the Oil Pollution Act (OPA) of 1990. Incidents covered by funding from the Oil Spill Liability Trust Fund (OSLTF), Superfund (under the Comprehensive Environmental Response, Compensation, and Liability Act, or CERCLA) and/or the Stafford Act.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	5

### GAO Approval

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

## Outline of Records Schedule Items for DAA-0026-2017-0003

Sequence Number	
1	Case Management Files Disposition Authority Number: DAA-0026-2017-0003-0001
2	Claims Adjudication Files Disposition Authority Number: DAA-0026-2017-0003-0002
3	Financial Files Disposition Authority Number: DAA-0026-2017-0003-0003
4	Vessel Certification Files Disposition Authority Number: DAA-0026-2017-0003-0004
5	Management and Operations Support Information System (MOSIS) Disposition Authority Number: DAA-0026-2017-0003-0005

# WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0026-2017-0003

## Records Schedule Items

Sequence Number	
1	<p data-bbox="355 395 704 427"><b>Case Management Files</b></p> <p data-bbox="355 449 1162 480">Disposition Authority Number      <b>DAA-0026-2017-0003-0001</b></p> <p data-bbox="355 502 1474 655"><b>Case Management files will be organized in an Administrative folder [hardcopy/ and electronic] to include documentation on spills, releases, or incidents, files include; but are not limited to cost documentation, investigations, cost recovery documentation, litigation documentation and claim files.</b></p> <p data-bbox="355 676 927 708">Final Disposition                      <b>Temporary</b></p> <p data-bbox="355 729 924 761">Item Status                                <b>Withdrawn</b></p> <p data-bbox="355 783 829 815">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="355 836 829 963">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="355 985 829 1070">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="355 1112 672 1144"><b>Disposition Instruction</b></p> <p data-bbox="355 1166 1523 1283">Cutoff Instruction                      <b>Transfer to the Federal Records Center at the end of the fiscal year, once the case/claim has been closed and litigation is complete.</b></p> <p data-bbox="355 1304 1466 1336">Retention Period                        <b>Destroy the hard-copy 30 years after file closure.</b></p> <p data-bbox="355 1378 672 1410"><b>Additional Information</b></p> <p data-bbox="355 1432 964 1464">GAO Approval                            <b>Not Required</b></p>
2	<p data-bbox="355 1495 721 1527"><b>Claims Adjudication Files</b></p> <p data-bbox="355 1549 1170 1581">Disposition Authority Number      <b>DAA-0026-2017-0003-0002</b></p> <p data-bbox="355 1602 1516 1910"><b>Claims case files will be organized in an Administrative Folder [hard-copy/and electronic] to include documentation on Damage, Loss profits, Entitlement, Natural Resource Damage, and Loss of Subsistence Use Claims against the OSLTF. Files include, but are not limited to claim documentation from responsible parties, NRD trustees, and other claimants, economic analyses, invoices and cost documentation, determinations by NPFC Claims Managers, correspondence, authorizations to pay, legal releases, site visit reports, photographs, and other supporting materials.</b></p> <p data-bbox="355 1932 935 1964">Final Disposition                        <b>Temporary</b></p>

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

3

Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
<b>Disposition Instruction</b>	
Cutoff Instruction	Transfer to the Federal Records Center at the end of the fiscal year, once the case/claim has been closed and litigation is complete.
Retention Period	Destroy the hard-copy 10 years after file closure.
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Financial Files</b>	
Disposition Authority Number	DAA-0026-2017-0003-0003
Financial case files include records maintained by the Federal On-Scene Coordinators (FOSCs) used in the clean-up and recovery efforts to carry out functions under the Oil Pollution Act of 1990, copies of Certificates of Financial Responsibility (COFR), payment documentation including copies of checks and statement of amounts deposited into OSLTF from responsible parties, payments received by NPFC (or other financial institution on behalf of NPFC), requests from EPA for reimbursement from OSLTF for expenditures relating to an oil spill or other hazardous material release, status reports from collection service and documentation used to reconcile NPFC data, letters authorizing payments, bills/invoices, time sheets of U.S. Coast Guard man-hours expended and copies of other federal agency proposals.	
Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

4

## Disposition Instruction

Cutoff Instruction                      Transfer to the Federal Records Center at the end of the fiscal year, once the case/claim has been closed and litigation is complete.

Retention Period                        Destroy the hard-copy 20 years after file closure.

## Additional Information

GAO Approval                            Not Required

## Vessel Certification Files

Disposition Authority Number        DAA-0026-2017-0003-0004

Vessel files include documentation consisting of receipt of insurance and application forms from vessel owner and operator. Included also are correspondence and other related documents required to issue a Coast Guard Certificate.

Final Disposition                        Temporary

Item Status                                Withdrawn

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        Yes

Do any of the records covered by this item exist as structured electronic data?                            Yes

## Disposition Instruction

Cutoff Instruction                        Transfer to the Federal Records Center at the end of the fiscal year.

Retention Period                        Destroy when 15 years old.

## Additional Information

GAO Approval                            Not Required

5

## Management and Operations Support Information System (MOSIS)

Disposition Authority Number        DAA-0026-2017-0003-0005

MOSIS contains the following information related to an involved party (individual, any form of company, government agency or organization) - (Claimant Information) may include name, address, home telephone number, work telephone number, fax number, email address, (Incident Information) date, time, report number, name of vessel or facility causing damage, geographic location of incident, brief description

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

of the incident and types of claims. MOSIS records include both financial and non-financial information about pollution incident response cases, case team members, response costs, incident responsible parties, and cost recovery efforts. It includes PII about responsible parties. MOSIS provides an automated method for the assignment of a Federal Project Number or Comprehensive Environment Response, Compensation, and Liability Act of 1980 Project number for an oil spill or hazardous material (hazmat) release. It also generates and issues a notification message providing budget amount, project number and accounting string, to key parties via the NPFC portal. MOSIS adjudicates and pays third party claims for damages resulting from oil pollution incidents. It also supports claims from trustees for Natural Resource Damage assessments and restoration. This function supports the initial receipt, administrative processing, and subsequent routing and payment of claims through NPFC. It also captures user information, performs edits, processes the information, and includes information about the claimants and responsible parties. MOSIS has the ability to track and manage COFR applications (electronic) active COFRs and their related vessels, operators, and guarantors required to demonstrate they have sufficient funds to meet the maximum amount of liability to which they could be subjected. No payment information is captured or stored by e-COFR.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

## Disposition Instruction

Cutoff Instruction This electronic system will serve as the official record.

Transfer to the National Archives for Accessioning Transfer a snapshot to the National Archives every 5 years with cumulative data.

## Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
The date span will begin after the agencies first transfer.

How frequently will your agency transfer these records to the National Archives? Unknown  
Every 5 years with cumulative data.

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0026-2017-0003**

| |

# WITHDRAWN – RETURNED WITHOUT ACTION

# WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0026-2017-0003

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
02/02/2017	Certify	Christopher Siebenschuh	Records Manager	CG 61 - CG 611
02/24/2017	Return Without Action	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA

# WITHDRAWN – RETURNED WITHOUT ACTION