REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER

N1-026-05-10

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received

5.31.2005

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

1. FROM (Agency or establishment) Department of Homeland Security	
2. MAJOR SUBDIVISION United States Coast Guard	
3. MINOR SUBDIVISION Agency-wide	

4. NAME OF PERSON WITH WHOM TO CONFER LTJG Michael O'Brien	4. TELEPHONE NUMBER	DATE 5/29/06	ARCHIVIST OF THE UNITED STATES Allen Weinstein

6. 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 on the attached ___4_ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required   ☐ is attached; or   ☐ has been requested.

DATE 23 Dec 05	SIGNATURE OF AGENCY REPRESENTATIVE Olthea S. Croom *Olthea S Croom*	TITLE Agency Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	********SEE ATTACHED SHEETS********		

CC Agency NR NWME NWMW

115-109   PREVIOUS EDITION NOT USABLE   **STANDARD FORM 115** (REV. 3-91)
Prescribed by NARA 36 CFR 1228

The purpose of this request is to change a disposition to schedule a new Electronic System of Records in accordance with the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual.

SSIC 16790 – COAST GUARD AUXILIARY

Name of System: Auxiliary Management Information System (AUXDATA)

Purpose of System:

AUXDATA is a comprehensive web-based management tool used to capture and report the Auxiliary's operational and administrative activity of Flotillas, Detachments, and Divisions throughout the United States. AUXDATA provides the USCG and Auxiliary the ability to manage resources, people and equipment. Additionally it provides the ability to identify, quantify, and report Auxiliarist qualifications and accomplishments on a local, regional, and or national basis.

1. **System Inputs:** Inputs are transferred either electronically or manually from HQ's, district, division, and unit auxiliary managers from applications, forms, notices, inspections, checklists, and certifications. Inputs originate from the individual Auxiliarist and local flotilla level.

Destroy/Delete when data is verified or no longer needed for administrative use.

2. **System Data:** Data elements can be broken into the following modules:

   a. Activities – Activity logs of unit, boat, air and radio resource activity. Data includes date, duration, assigned crew and positions (lead, non-lead, and trainee), mission type, location and details, tasks to be completed, reimbursable status, and activity approvals. Missions include Aids to Navigation, Marine Patrols, Commercial Vessel Safety, In Support of Enforcement of Laws and Treaties, Government Agency Support, Marine Environmental Protection, Marine Safety, In Support of Port Safety and Security, Public Affairs, Auxiliary Radio Net, Search and Rescue, CG Admin and Operations, International Affairs, Legislative Outreach, Member Training, Operational Research, visits to Marine Dealers, Auxiliary Public Affairs and Public Education, and Member Recruiting.

      Destroy/Delete data when no longer needed for administrative use or 5 years after final action is completed.

   b. Member Data – Enables a user to make changes in the member's record for example name, address, and phone numbers. Records include member ID (SSN is not used), enrollment date, unit number, current status, current status date, contact information, unit officers, security, background check and operational favorable status, and service or achievement awards.

      Destroy/Delete data 30 years after disenrollment or death of a member.

   c. Resources –

      1. AUXFAC – A facility is a privately owned boat, yacht, aircraft, fixed land, or land, mobile radio station, at least 25% of which is owned by the Auxiliary member. Facilities may also be Coast Guard owned or Auxiliary Unit owned. To become a facility it must meet applicable requirements, be offered for use, and be accepted by the Director. AUXFAC is a facilities

component within AUXDATA used for managing data on what services and equipment from the Coast Guard Auxiliary are available for use. Records are manually entered upon receipt of inspection and facility application, for example Coast Guard form ANSC-7003 for vessels or CG 2736A for radios. AUXFAC is a web-base interface used locally by the Coast Guard districts. Data is further accessed by Coast Guard operations to facilitate mission requirements such as security, boater safety programs, SAR, patrols. All Coast Guard facilities must be renewed every year. Information includes personal data on owner or sponsor, name of spouse, value of facility, state registration number, inspection deficiencies and other compliance information, unit or flotilla name, member identification number, enrollment date, renewal data.

Destroy/Delete data 2 years after facility becomes inactive or is withdrawn from service.

2. Unit Resources – Personnel resources are attributed to missions and activities according to units, and available posts or positions. Resource information includes status of selected unit office, log of activities, status, sub-activities, mission, sub-mission, operation, OPCON and remarks.

Destroy/Delete data when no longer needed for administrative use or 5 years after final action is completed.

d. Training Management Tool — Data retained and organized by unit or individual. Records include training status, training record, and certifications. Also included are fields indicating registration, course, attendance, pay and reimbursement of expenses, courses given or service as instructor, and status of tasks required to maintain competency.

Destroy/Delete data 30 years after disenrollment or death of a member.

3. System Outputs:

a. Reports and asset data – Reports of Coast Guard facilities are fed to various information systems requiring data on available assets. For example, use by the Patrol Management System (PAMS) an operational tool available to the districts and units. Reports are often generated for management purposes such as an inactive vessel reports, activities and crew underway, abstract of operations, email directory, member roster, anniversary status, activity summary, unit summary data, and daily sailing and details list. AUXDATA can generate a report in various file formats.

Destroy/Delete data 5 years after report is generated.

b. AuxInfo – AuxInfo allows all Auxiliary members to track their progress in the training, certifications, and other unit activities. AuxInfo is the primary tool for generating customized queries. It is updated weekly from AUXDATA.

Destroy/Delete data when no longer needed for agency business.

4. System Documentation: Regardless of medium, system documentation relating to AUXDATA includes record layouts, technical description of the files, data dictionaries, operational and user manuals, backup procedures. 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.

5.   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.

(a) 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.

Temporary Destroy/Delete within 180 days after the recordkeeping copy has been produced.

(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Temporary Destroy/Delete when dissemination, revision, or updating is completed.