

REQUEST FOR RECORDS DISPOSITION AUTHORITY			JOB NUMBER N1-026-05-14		
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001			Date received 6-21-2005		
1. FROM (Agency or establishment) Department of Homeland Security			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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.		
2. MAJOR SUBDIVISION United States Coast Guard					
3. MINOR SUBDIVISION G-RPE-2					
4. NAME OF PERSON WITH WHOM TO CONFER Jeff Hughes, CDR		5. TELEPHONE NUMBER (202) 267-1532	DATE 7/3/06	ARCHIVIST OF THE UNITED STATES Allen W. ...	
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 <u>4</u> 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.					
DATE 11 April 2006	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>			TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION		9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)	
	<p>The purpose of this request is to add and revise items to the current schedules to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual.</p> <p><u>SSIC 3000 OPERATIONS AND READINESS</u></p> <p>9. Contingency Preparedness System (CPS). The Contingency Preparedness System (CPS) was developed and launched in fall, 2003 to enhance management of the Coast Guard Exercise Program and the Contingency Planning Program. Overall, CPS provides the capabilities to link plans, exercises, and lessons learned, thereby improving Coast Guard readiness. The database allows the collection, validation and distribution 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.</p> <p><i>cc Agency DR NUMD NUME NUMAN AR</i></p>				

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>1. Inputs: 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.</p> <p>a. Exercise Records: Records consists of paper and electronic Concept of Exercise (COE) 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.</p> <p>Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference.</p>		
2	<p>b. 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 consultations, logistical requests and services, communications planning, finance and administration, and after action surveys.</p> <p>Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference.</p>		
3	<p>c. 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 happened, and how it can be done better. Paper and 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 into broader lessons learned.</p> <p>Retain at local unit or planning authority. Destroy/delete when data has been verified and no longer needed for reference.</p>		

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4	<p>2. Master file:</p> <p>a. Exercise and Plans 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 1B) is a link to corresponding lesson learned, best practice or AAR within CG-SAILS.</p> <p>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.</p>		
5	<p>b. 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 exercises 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 exercises. Fields 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 of contingency, theme of lesson learned, core component and contextual data, observations, discussion, and recommendations.</p> <p>Permanent. Cutoff data for completed records only every third calendar year and transfer to NARA.</p>		

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6	<p>3. 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.</p> <p>Destroy when no longer needed for administrative use.</p>		
7	<p>4. 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 guides and related materials the maintenance of CPS.</p> <p>Permanent. Transfer system documentation and any updates to NARA along with transfer of CG SAILS master data (item 2B).</p>		
8	<p>5. Electronic Mail and Word Processing System Copies</p> <p>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.</p> <p>Delete within 180 days after the recordkeeping copy has been produced.</p>		
9	<p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Delete when dissemination, revision, or updating is complete.</p>		

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1. FROM (Agency or establishment) Department of Homeland Security		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.	
2. MAJOR SUBDIVISION United States Coast Guard			
3. MINOR SUBDIVISION First District			
4. NAME OF PERSON WITH WHOM TO CONFER Freda Anderson	5. TELEPHONE NUMBER 617-223-8422	DATE	ARCHIVIST OF THE UNITED STATES
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 <u> 1 </u> 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,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>21 June 2005</i>	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>		TITLE Records Officer, United States Coast Guard
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>The purpose of this request is to Add an items to the current schedules to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST 5212.12A, Information and Life Cycle Management Manual.</p> <p><u>SSIC 3000 OPERATIONS AND READINESS</u></p> <p>9. Exercise Records. Records of exercises conducted by Planning and Operations, often as part of national exercises, and lessons learned (historical records) from those exercises. Exercises involve terrorism, and hurricane and disaster preparedness. Records include maps, charts, message traffic, critical incident publications, evaluation, post-exercise reports, lists of participating units, funding data, district input, information on coordination with other agencies and the private sector. Specific exercises cover hurricane preparedness and response to disasters with station evacuation, flooding, and emergency communications; testing response capability in Port of Boston to major disasters, such as fire or pollution; terrorist activities, such as mine laying, in the Port of New York.</p> <p>Transfer to Federal Records Center when no longer needed for reference. DESTROY when 20 years old.</p>		

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	<p>9a. Electronic copies of records that are created on electronic mail and word processing systems 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>9a(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>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>9a(2). Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Destroy/delete when dissemination, revision, or updating is completed.</p> <p>JUSTIFICATION: These records document exercises conducted by the Planning and Operations branch of the First District, and the lessons learned from those exercises. While important for the District in showing the preparations made for various disasters or other events, and in documenting security preparations, the records do not have long-term significance at this level. Exercises plans with lessons learned for the Coast Guard as a whole would be more historically valuable. Nonetheless, twenty-year retention is appropriate to provide background documentation on Coast Guard readiness in the First District. It should be noted that the creating office uses the existing files for reference and in preparation for new exercises, and it has no plans to retire records in the near future.</p>		

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PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115A (REV. 3-91)
 Prescribed by NARA 36 CFR 1228