

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1026-05-15</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>7/7/05</i>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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-MRI-1			
4. NAME OF PERSON WITH WHOM TO CONFER Gary Chappell	5. TELEPHONE NUMBER 202-267-1061	DATE <i>1-9-09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrian Thomas</i>
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>8</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 1 July 2005	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 GRS OR SUPERSEDED JOB CITATION	10.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)
<i>1</i>	The purpose of this request is to Add a new item 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. <u>SSIC 1 6000 GENERAL COAST GUARD MISSION RECORDS</u> 15. Marine Information for Safety and Law Enforcement (MISLE) System. MISLE is an information system that supports the information needs and business processes of the Marine Safety, Maritime Security, Environmental Protection, Law Enforcement, Search and Rescue, and Bridge Administration activities of the U.S. Coast Guard. MISLE allows the USCG to centralize information for many missions that previously was not accessible across programs. MISLE contains information on individuals with established relationship(s) and/or association(s) to vessels, facilitates (including platforms, bridges, deep-water ports, marinas, terminals, and factories), and related USCG activities. Specifically, vessel owners, operators, charterers, managers, agents, crewmembers, or passengers; facility owners, operators, or employees; individuals who own, operate, or represent marine transportation companies, and other individuals who came into contact with the Coast Guard through its Maritime Law Enforcement, Investigation, Marine Safety, Maritime Security, Marine Environmental Protection, Search and Rescue, and Bridge Administration activities.		

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	<p>Information collected on an involved party (individual, company, government agency or organization) may include: name, identification number, Social Security number, Drivers License number, Foreign ID number, Passport number, VISA number, Immigration and Naturalization Service (INS) number, Military ID number, USCG License number, CEDULA number, Foreign Seaman's Booklet number, resident alien number, Merchant Mariners License number, Merchant Mariner Documentation number, or taxpayer identification number (TIN). The primary activities that MISLE will track include: Vessel Arrivals and Movements, Vessel Inspections/Examinations, Facility Inspections, Container Inspections, Oil and Hazardous Material, Transfer Monitors, Bridge Administration, Incident Investigations, Enforcement Actions, Vessel Safety Boardings, Response (e.g., Pollution, Search and Rescue Actions), and Vessel Documentation.</p> <p>To aid in the law enforcement aspects of MISLE, the USCG proposes to treat it as it treats other law enforcement systems, by exempting it from the following provisions of the Privacy Act: (c) (3) (Accounting of Certain Disclosures), (d) (Access to Records), (e) (4) (G), (H), and (I) (Agency Requirements), and (f) (Agency Rules) to the extent that MISLE contains investigatory material compiled for law enforcement purposes, in accordance 5 U.S.C. 552a(k) (2).</p> <p>FREEDOM OF INFORMATION ACT</p> <p>MISLE contains sensitive personal data that is protected from release to the public under the Privacy Act and Freedom of Information Act. Access to its data is limited to personnel with assigned passwords and access to the USCG Intranet. MISLE data should not be provided to individuals and organizations outside the Coast Guard without prior authorization and screening.</p> <p>MISLE DATA</p> <p>MISLE data is collected and stored by authorized USCG personnel using a database operated and maintained by the USCG. Records are stored in an automated data processing (ADP) database. All data is retained according to this plan. The system has a data dictionary that defines and describes the system data elements. (SEE ATTACHED MISLE DATA DICTIONARY)</p> <p>RETRIEVABILITY</p> <p>Records can be retrieved by the name or identifying</p>		

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	<p>number of a party (individual, company, government agency or organization), vessel, facility, or waterway. They may also be retrieved by date, geographic coordinate (Latitude, Longitude) or address (city, state, street or zip). Identifying numbers for a party include one or more of the following: Dan & Bradstreet Identification number, MISLE identification number, Social Security number, Drivers License number, Foreign ID number, Passport number, VISA number, Immigration and Naturalization Service (INS) number, Military ID number, USCG License number, CEDULA number, Foreign Seaman's Booklet number, resident alien number, Merchant Mariners License number, Merchant Mariner Documentation number, or taxpayer identification number (TIN).</p> <p>SAFEGUARDS</p> <p>MISLE falls under the guidelines of the USCG Operations System Center (OSC) in Kearneysville, WV. This computer facility has its own approved System Security Plan, which provides that the system will be maintained in a secure computer room with access restricted to authorized personnel only. Access to the building must be authorized and is limited. A Sensitive Application Certification (SAC) has been approved for MISLE. The U.S. Coast Guard will operate MISLE in consonance with Federal security regulations, policy, procedures, standards and guidance for implementing the Automated Information Systems Security Program. Only authorized Department of Homeland Security personnel, and authorized U.S. Government contractors conducting system maintenance, may access MISLE records. Access to records is password protected. USCG will ensure that users take precautions in accordance with OMB Circular A-130, Appendix III (regarding the Computer Security Act of 1987).</p> <p>SYSTEM LOCATION</p> <p>U.S. Coast Guard (USCG), Operations Systems Center, 600 Coast Guard Drive, Kearneysville, WV 25430-3000.</p> <p>Categories of individuals covered by the system of records:</p> <p>Individuals with established relationship(s) and/or</p>		

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	<p>association(s) to vessels, facilities (including platforms, bridges, deep-water ports, marinas, terminals, and factories), and USCG activities. Specifically, vessel owners, operators, charterers, managers, agents, crewmembers, or passengers; facility owners, operators, managers, or employees; individuals who own, operate, or represent marine transportation companies, and other individuals who come into contact with the Coast Guard through its law enforcement, investigation, marine safety, maritime security, and environmental protection activities.</p> <p>All information entered into MISLE is gathered from inspections, boardings, investigations, documentation actions, response actions, and vessel notice of arrival reports in the course of normal routine business.</p>		<p>Current estimated Volume of entire System is 53 GB.</p> <p>Estimated annual accumulation for entire system is 20 GB.</p> <p>(via e-mail from S. Coney 9/2/08) MC 9/2/08</p>
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2	<p>Categories of records in the system:</p> <p>MISLE records can be divided into 5 general categories: (a) CASE RECORDS, (b) ACTIVITY RECORDS, (c) VESSEL RECORDS, (d) FACILITY RECORDS, (e) PARTY RECORDS, and (f) WATERWAY RECORDS.</p> <p>Note: Cases/Case Records - For the purpose of this Disposition plan cases store data that is already collected through activities or reference records. Cases serve as a means to join two or more activities that are related to the same event. The MISLE structure for case records is designed to incorporate Incident Management Activities (IMA), their logs, timelines, and SORTIE information. Cases are automatically generated upon creation of an IMA.</p> <p>a. CASE RECORDS - Contain a collection of 2 or more activities that pertain to a specific event which involve Vessels, Parties, or Facilities. Case records provide the details such as case title, the activities associated with the case, the originating, controlling and owning unit, the date opened and the status. Case records contain limited additional information on each activity type, but allow data entry personnel to group activities so that timelines may be established and additional information can be related through narratives that contain the names of individuals, such as owners, managers, employees, passengers, agents, or witnesses to the event described. The activities within a</p>		
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1	<p>1. Notifications: Includes National Response Center (NRC) reports, MISLE Notifications and Vessel Arrivals. These are used in MISLE to record the information that is first received by the Coast Guard about an event or incident (e.g. a vessel arriving in port, a marine casualty, vessel in distress or pollution discharge, etc.) that could result in the Coast Guard initiating one or more activities. Not all notifications are associated with an activity or a case.</p> <p>A. Notifications associated with a Case or Activity</p> <p><u>Authorized Disposition:</u> PERMANENT. Cut off at end of calendar year in which the case or the activity is closed. Transfer to the National Archives 5 years blocks, immediately after the latest cutoff.</p>	<p><i>Estimated date of first accession: 1/1/2010.</i></p>	
2	<p>B. Notifications not associated with a Case or Activity</p> <p><u>Authorized Disposition:</u> TEMPORARY. Cut off at end of calendar year in which notification was received. Destroy/delete 5 years after cutoff.</p> <p>2. Activity/Incident-Related Data: Activity and incident related data is that which typically describes the actions taken by the Coast Guard and other parties and the events and conditions they encounter through the course of completing the Coast Guard's missions. It is generally organized chronologically and grouped around an event or incident. The basic structure of activity/incident-related data includes:</p> <p><u>Activities</u>—Includes all activities, such as inspection/boarding, response, and investigation and enforcement. Information recorded in MISLE</p>		

Activities includes: when and where the activity occurred; who was involved; what actions were taken; and what were the results. There are currently eight categories of activity records:

- Law Enforcement (LE) Boarding: Document activity related to vessel boardings to enforce laws and treaties.
- Facility Inspection: Document visits to inspected facilities to enforce laws and regulations. Types of facilities inspected include bridges, regulated materials facilities, and platforms.
- Vessel Inspection: Document visits to vessels to enforce laws and regulations. These records include information pertaining to vessel arrivals and movements, vessel inspections/examinations, cargo container inspections, cargo transfer monitors, fishing vessel examinations, towing vessel examinations, vessel operational control.
- Incident Management: Documents Coast Guard response actions, including Pollution Response actions and Search and Rescue (SAR) actions.
- Marine Board Investigations: Formal investigation of a marine casualty convened by Headquarters or a District Commander.
- Marine and Miscellaneous Vessel Casualties Investigations: Informal and data collection investigations of marine casualty for personal injuries, marine casualties (damage to vessels or waterfront facilities, or injuries to persons on vessels).
- Pollution Discharge Investigations: Investigations of pollution discharges (oil, chemical, sewage, garbage, etc.) conducted by USCG personnel. Investigations detail the location of the discharge, substance discharged, quantity discharged, date of discharge and, when possible, the source of

3	<p>the discharge.</p> <ul style="list-style-type: none"> Enforcements: Complaints and penalties levied against parties (individuals, companies, and organizations) for violation of U.S. law, regulation or treaty. Penalties may be adjudicated by courts, Administrative Law Judges, Coast Guard Hearing Officers or (for warnings and tickets) unit commanders. Penalties include warnings, fines and suspension or revocation of mariner licenses. <p><u>Cases</u>—Data that associates all activities associated with a particular event or incident. This data includes case title, the originating, controlling and owning unit, the date opened, and the status.</p> <p><u>Attachments</u>—Documents, photographs, videos and similar materials collected to support activities.</p> <p>A. Activities and their attachments associated as a Case</p> <p><u>Authorized Disposition</u>: PERMANENT: Cut off all associated case and activity data with their attachments pertaining to a case at end of calendar year in which the case is closed. Transfer to the National Archives 5 years blocks, immediately after the latest cutoff.</p> <p>B. Activities and their attachments not associated as a Case</p>		<p>Estimated date of first accession : 1/1/2010.</p>
4	<p>1) Law Enforcement (LE) Boarding</p> <p><u>Authorized Disposition</u>: TEMPORARY. Cut off at end of calendar year in which created. Destroy/delete 3 years after cutoff.</p>		
5	<p>2) Facility Inspection, Vessel Inspection, Incident Management, Marine Board Investigations, Marine and Miscellaneous Vessel Casualties Investigations, Pollution</p>		

6	<p>Discharge Investigations, and Enforcements Activities</p> <p><u>Authorized Disposition:</u> PERMANENT: Cut off at end of calendar year in which created. Transfer to the National Archives 5 years blocks, immediately after the latest cutoff.</p> <p>3. Referential Data and attachments</p> <p>Referential data is that which is typically associated with the people, places and things that are the subjects of Coast Guard activities or are used in the conduct one of those activities. This may include attachments data which may be documents, photographs, videos and similar materials collected to support USCG activities or reports. These records are descriptive in nature and are not part of any case file.</p> <ul style="list-style-type: none"> • Vessels: Descriptive information on vessels and histories of events related to those vessels, including boardings, casualties, documentation, inspections, pollution incidents, port visits, search and rescue cases, violations of laws or treaties, and relationships to parties (individuals, companies, and organizations) such as owners, operators, agents, crew members and passengers. Descriptive information includes vessel name, type, flag, home port, dimensions (tonnage, length, width, etc.), identification numbers, documents and certificates (registry, official number, safety certificates, etc.), and related information. • Facilities and Bridges: Descriptive information on facilities (platforms, bridges, deep water ports, marinas, terminals, approved equipment facilities, and factories), and histories of events related to those 	<p><i>Estimated date of first accession: 1/1/2010.</i></p>	
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	<p>facilities. Descriptive information includes: facility type, location, street address, phone numbers, commodities handled, equipment, certificates, and transportation connections.</p> <ul style="list-style-type: none"> • Parties (Persons and Organizations): Descriptive information on individuals, companies, government agencies, and organizations associated with activities, vessels or facilities in MISLE, and histories of events related to those parties. Descriptive information includes: merchant mariners licenses, drivers license, training certificates, letters and documents. • Waterway Segments: Descriptive information on waterways associated with MISLE activities and histories of events related to those waterways. Descriptive information includes the type of waterway (lake, river, bay, ocean, etc.), type of water (salt, fresh, brackish), location, channel depth, tides, currents, risk factors, and hazards. Histories include vessel and facility casualties, vessel arrivals, vessel delays and restrictions (safety zones, security zones, etc.). • Coast Guard Units: Descriptive information on Coast Guard units associated with MISLE activities. Descriptive information includes unit name, address, phone number, and contacts. <p><u>Authorized Disposition:</u> PERMANENT. Transfer a snapshot to the National Archives every 5 years with the Notifications and Activities.</p>		<p><i>Estimated date of first accession: 1/1/2010.</i></p>
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