

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NN-173-000250

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Item 1 was superseded by NC1-026-76-02, item 462.

Item 2 was superseded by NC1-026-76-02, item 420.

Item 3 was superseded by NC1-026-76-02, item 512.

Item 4 was withdrawn.

Item 5 was superseded by NC1-026-76-02, item 523.

Date Reported: 10/28/2021

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON 25, D. C.

1. FROM (AGENCY OR ESTABLISHMENT)
 DEPARTMENT OF TRANSPORTATION

2. MAJOR SUBDIVISION
 U. S. COAST GUARD

3. MINOR SUBDIVISION
 U. S. COAST GUARD HEADQUARTERS

4. NAME OF PERSON WITH WHOM TO CONFER
 Mrs. Mary D. Slack

5. TEL. EXT.
 426-2365

LEAVE BLANK *RG26*

DATE RECEIVED
MAY 14 1973

DATE APPROVED

JOB NO.
NN-173-250

NOTIFICATION TO AGENCY

IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC
 LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL
 APPROVED" IS AUTHORIZED.

5-25-73 *James B. Rhoads*
 DATE ARCHIVIST OF THE UNITED STATES

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 2 pages are proposed for disposal for the reason indicated: ("X" only one)

- A The records have ceased to have sufficient value to warrant further retention.
- B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

8 May 1973
 (Date)

LeROY REINBURG, JR. CAPT USCG
 (Signature of Agency Representative)

Chief, Management Analysis Div.
 (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	Operational intelligence case files containing correspondence, reports and collected intelligence information pertaining to law enforcement, foreign fishing vessels, Merchant Marine vessels, Coast Guard sea patrols and general intelligence activities within the Coast Guard. RETAIN (NARS Retention Plan) Transfer to FRC after 5 years.* (This item was commented on as Item No. 362 in NARS Appraisal Report for Job No. NN-172-133, Changed to comply with NARS preservation and retention standards because of Archival value.)		
2.	Merchant vessel inspection case files: Active Certificate of Inspection Amendments, Permits, Application for Waivers of Navigation Laws and Waiver Order, reports of inspection activity and certificate actions, notifications of approval for Safety Certificate and related papers, Safety Certificates, Exemption Certificates, Safety Equipment Certificates, Cargo Ship Safety Construction Certificates, Certificates of Examination of Foreign Passenger Vessels, Certificates for Foreign Vessels, Report of Traveling Inspectors and related papers, letters of Certification required by Bureau of Customs, letters of reporting change of status of vessels. Transfer of M-3 when vessel becomes inactive to merge with commercial vessel case file. (Change in disposition instructions for Item 305 of Job No. NN-172-133)		

10 years after transfer offer To Archives.

[all changes made per authorization of Mrs. Slack 5/22/73, CSR]

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3.	General administrative correspondence files (excluding primary records) from various activities of marine environmental protection and ports and waterways activities. DISPOSE after 3 years. (Change in disposal instruction for Item 400 of Job No. NN-172-133)		DISPOSAL APPROVED
4. *	Reports of Pollution. DISPOSE after 3 years. (Change in description and disposal instructions for Item 411 of Job No. NN-172-133).		
5. *	* ^{copy of} Reports of International Marine Pollution Prevention Convention Violations. DISPOSE after 3 years. (New Item submitted for approval.)		DISPOSAL APPROVED
<p>* Item no. 4 eliminated by Coast Guard- marked "withdrawn". CSR]</p>			

APPRAISAL REPORT

Disposal Job No. NN-172-133

Approved for disposal:

The items for which disposal authority is requested and that are marked "disposal approved" are disposable because they do not have sufficient value for purposes of historical or other research, functional documentation, or the protection of individual rights to warrant permanent retention by the Federal Government.

Disapproved for disposal:

Item 363 has been disapproved because, it includes records of archival quality that must be preserved in order to fulfill some of the provisions of the Retention Plan.

Not proposed for disposal:

Items 1, 4a, 5, 6, 11, 13, 16, 17, 18, 19, 20, 22, 24, 25, 39a, 43, 46, 47, 48, 49, 50, 51, 52, 54, 55, 55a, 56, 60, 61, 69, 73, 79, 80, 87, 90, 100, 101a, 102, 103, 107, 108a, 110, 111a, 118, 122a, 127a, 128a, 129a, 133, 135, 136, 137a, 138a, 146, 170, 183, 200, 203a, 204, 224, 227, 231, 233, 234, 235, 240, 262, 266, 267, 268, 269, 270, 271, 272, 274, 275, 276, 279, 283, 284, 287, 292, 293, 294, 295, 296, 303, 304, 313, 319, 325, 326, 331, 332, 335, 336, 339, 340, 341, 343, 346, 348, 353, 374, 375, 376, 380, 382, 383, 384, 387, 389, 391, 394, 398, 399, 404, 407, 410, 415, 419, 420, 424, 432, 439, 446, 447, 454, 457, 461, 462, 463, 464, 465, 468, 471, are not marked "disposal approved" and are not disposable because they have been appraised as permanent in the United States Coast Guard Retention Plan.

Items 28b, 42, 74, 141, 147, 159, 172, 182, 189, 217, 222, 228, 229, 230, 246, 247a, 248a, 250, 251, 254, 256a, 257a, 277, 285a, 290f, 290g, 290h, 290k, 302, 323, 329, 337, 338, 345, 347, 354, 355, 356, 366, 370, 378, 412, 413, 414, 421, 423, 425, 427, 428a, 429, 430a, 433, 434, 435a, 438a, 440, 445, 456, 469, 472, are not marked "disposal approved" and are not disposable because the United States Coast Guard wished to retain them indefinitely for administrative reasons.

Appraiser:

Carmelita S. Ryan
Carmelita S. Ryan

8/31/72
Date

Approval Recommended:

Meyer H. Fishbein
Meyer H. Fishbein
Director
Records Appraisal Division

9/1/72
Date

Description of Records

Authorized Disposition

360 13. Position studies with related material pertaining to operational plans.

DISPOSE after 2 years.

DISPOSAL APPROVED

Intelligence Records

See items 1, 2 and 3 above for disposition of correspondence files (permanent and temporary).

361 14. Intelligence files (personnel-type folders consisting of various intelligence data including correspondence, reports of investigations on military and civilian personnel, merchant seamen and waterfront workers pursuant to EO 10173 and 10450 with alphabetical index thereto.

DISPOSE 30 years from date of transfer to FRC. Transfer to FRC 2 years after date of last action. Transfer will be held in abeyance for any individuals still on active duty in the Coast Guard.

DISPOSAL APPROVED

362 15. Operational intelligence case files containing correspondence, reports and collected intelligence information pertaining to law enforcement, foreign fishing vessels, merchant marine vessels, Coast Guard sea patrols and general intelligence activities within the Coast Guard.

*Hold at CG Headquarters
Retain for first 5 years then
transfer to FRC. DISPOSE*

RETAIN (NARS RETENTION PLAN.)

Transfer to FRC after 5 years.

363 16. Fingerprint identification file for military and civilian personnel and merchant seaman, including alphabetical index thereto.

Hold at CG Headquarters and DISPOSE after 20 years.

DISPOSAL APPROVED

364 17. Record of bulk issuance of Armed Forces and Dependent's Identification Cards to field units and record (CG-3133) of individual issuances made by field units.

DISPOSE after 6 years.

DISPOSAL APPROVED

365 18. Index cards showing approval and/or disapproval of applications for Port Security Cards maintained as central control.

DISPOSE of superseded cards.

DISPOSAL APPROVED

366 R. 19. Record of Port Security Cards issued (CG-3177).

RETAIN.

Communications Records

See items 1, 2 and 3 above for disposition of correspondence files (permanent and temporary).

367 20. Communications Summary

DISPOSE after 2 years.

DISPOSAL APPROVED

Description of Records

Authorized Disposition

b. Affidavited Manufacturers Catalog (CG-190)

DISPOSE after 5 years or on receipt of new catalog. DISPOSAL APP.

300

22. a. Equipment Approval (5x8 cards)

White cards: DISPOSE on receipt of white renewal or blue termination card. Blue cards: DISPOSE on receipt of white reinstatement card. DISPOSAL APP.

b. CGHQ-10030 flimsy (advance copy)_a

On receipt of approval white card, transfer to 5-year renewal suspense file; DISPOSE on completion of renewal action. If approval is terminated use flimsy to prepare blue termination card; DISPOSE on completion of distribution of blue card. DISPOSAL APP.

301

23. Load Line Certificates, calculations, inspection reports.

Transfer to commercial vessel case files. See item 11. DISPOSAL APP.

302 R

24. Admeasurement files containing records, plans and forms and related data on admeasurement of vessels excluding Subchapter T vessels.

RETAIN. File with commercial vessel case files. Transfer to FRC when vessel is officially listed as "scrapped". See item 11. Subchapter T admeasurement files remain with M10sa

303 R

25. Ship Structure Committee records containing minutes and agenda of meetings, reports, correspondence and administrative papers of joint interdepartmental investigations and meetings.

RETAIN (NAAS Retention Plan). Transfer to FRC after 2 fiscal years.

304 R

26. Intergovernmental Maritime Consultative Organization (IMCO) documents relating to life-saving appliances, fire protection, sub-division and stability, fishing vessels, bulk cargos, tonnage measurement and carriage of dangerous goods

RETAIN (NAAS Retention Plan). Transfer to FRC ~~after 3 years~~ *REFER TO NAAS* ~~have been retained~~

Merchant Vessel Inspection Records

See items 1, 2 and 3 for disposition of correspondence files (permanent and temporary).

305

27. Merchant vessel inspection case files: Active Certificate of Inspection Amendments, Permits, Application for Waivers of Navigation Laws and Waiver Order, reports of inspection activity and certificate actions, notifications of approval for Safety

~~DISPOSE 3 years after vessel is officially listed as "scrapped" (except lead ships).~~ Transfer to M-3 when vessel becomes inactive. **TO MERGE WITH COMMERCIAL VESSEL CASE FILE (SEE ITEM 11)**

Description of Records

Authorized Disposition

Certificate and related papers; Safety Certificates, Exemption Certificates, Safety Equipment Certificates, Cargo Ship Safety Construction Certificates, Certificates of Examination of Foreign Passenger Vessels; Certificates for Foreign Vessels. Report of Traveling Inspectors and related papers, letters of Certification required by Bureau of Customs; letters of reporting change of status of vessels;

306 28. Reports of Material Inspection, Forms CG-2081, including monthly reports from field and monthly summary reports.

DISPOSE after 1 year.

DISPOSAL APPROVED

307 29. Annual Summary Reports of Material Inspection, Form CG-2801.

DISPOSE after 10 years.

DISPOSAL APPROVED

308 30. Lists of merchant vessels under construction or conversion, Form CG-2801A.

DISPOSE after 1 year.

DISPOSAL APPROVED

309 31. Reports of unsafe practices, including reports received from field and quarterly recapitulations.

DISPOSE after 1 year.

DISPOSAL APPROVED

310 32. Annual recapitulation of reports of unsafe practices

DISPOSE after 3 years

DISPOSAL APPROVED

311 33. Letter reports of safety valve seal dies.

DISPOSE after 1 year.

DISPOSAL APPROVED

312 34. Summary reports of safety valve seal dies

DISPOSE after 3 years.

DISPOSAL APPROVED

313 35. Casualty Board case files set up to investigate major marine disasters including papers such as those pertaining to organization of the Board, proceedings, hearings, decisions and the Commandant's approval, together with inquiries; exhibits; photographs and ADP print-outs.

RETAIN (NARS Retention Plan). Transfer to FRC after 5 years

314 36. Casualty cases involving loss of life containing dispatches and reports of marine casualties from marine inspection offices, including reports of investigation, transcripts of testimony, findings, recommendations, approvals, ADP print-outs

DISPOSE after 50 years; Transfer to FRC after 5 years.

SECTION M MARINE ENVIRONMENTAL PROTECTION AND PORTS AND WATERWAYS RECORDS

These records relate to the management and coordination of marine environmental protection, port safety and law enforcement, aids to navigation and bridge administration activities.

	<u>Description of Records</u>	<u>Authorized Disposition</u>
399 R	1. Primary records documenting CG marine environmental protection and ports and waterways activities consisting of plans, programs, policies, studies, reports, decisions, position papers, regulations, directives and related papers.	RETAIN (NARS Retention Plan). Transfer to FRC after 10 years <i>after 10 years</i> permitted
400	2. General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities.	DISPOSE after 10 years <i>3 years</i> or earlier if administrative needs permit. DISPOSAL APPROVED
401	3. Correspondence files of a routine administrative or housekeeping nature.	DISPOSE after 3 years, or earlier if administrative needs of the office permit. DISPOSAL APPROVED
402	4. Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels.	DISPOSE after 2 years. DISPOSAL APPROVED
403	5. Message reports of vessel movement.	DISPOSE after 6 months. DISPOSAL APPROVED
404 R	6. Major and minor aids to navigation unit files consisting of applications from districts and authorities granted to them on Form 3010 or the equivalent with supporting papers, charts and photographs for establishment, change or discontinuance of aids to navigation.	RETAIN (NARS Retention Plan). Transfer major aids to FRC after 20 years; Transfer minor aids after 3 years.
405	7. Weekly Notices to Mariners concerning changes to aids to navigation.	DISPOSE after 10 years. Data passed to Naval Oceanographic office is RETAINED in publications issued by that office. DISPOSAL APPROVED
406	8. Local Notices to Mariners concerning changes in aids to navigation forwarded from CG Districts.	DISPOSE after 5 years. DISPOSAL APPROVED
407 R	9. Card index of aids to navigation reflecting changes and sources of information.	RETAIN (NARS Retention Plan).

Description of Records

Authorized Disposition

488 10. Monthly reports furnishing technical data, etc on loran stations and equipment for Headquarters reports and compilationsa DISPOSE after 1 years. DISPOSAL APPROVED

409 11. Monthly compilations of reports on loran stations DISPOSE after 1 year. DISPOSAL APPROVED

410 12. Light Lists of Aids to Navigation, loose-leaf master light list with sources of information for correction; bound copiesa RETAIN (NARS Retention Plan)a Transfer to FRC after 5 years.

411 13. Reports of ~~oil~~ Pollution (Form CG-3639). DISPOSE after ³ years. DISPOSAL APPROVED

412 15. Permits for bridges across navigable waters (case files) RETAIN. Transfer to FRC after 5 years, ~~earlier if administrative needs permit.~~ *[Handwritten initials]*

413 16. Drawbridge operation regulations (case files) RETAIN. Transfer to FRC after 5 years, ~~earlier if administrative needs permit.~~ *[Handwritten initials]*

414 17. Obstructive Bridges (case files) RETAIN. Transfer to FRC when administrative ~~needs permit.~~ *[Handwritten initials]*

411 13. Reports of Pollution DISPOSE after 3 years.

ADD 14 Reports of International Marine Pollution Prevention Convention Violations. Dispose after 3 years.