

**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 Field Units

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

5. TEL. EXT.
 426-2365

LEAVE BLANK *RG-26*

DATE RECEIVED
 JUN 1973

DATE APPROVED

JOB NO.
 NN-172-317
 173

NOTIFICATION TO AGENCY

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

6-20-73
 DATE *James B. Rhoads*
 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 4 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.

1 June 1973

(Date)

LeRoy Reinburg, Jr.
 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
	<p>Items numbered 1 through 6 below (to be listed in the Engineering Records Section of the revised Coast Guard Comprehensive Records Control Schedule No. 2 (Field Records)) were approved for disposal six years after final payment under item numbers 19, 26, 27, 28, 29, and 45 of NARS Job No. NN-172-207.</p> <p>Since, in accordance with procurement regulations the procurement office is required to maintain records of contract actions for disposal six years after final payment as authorized by General Records Schedule 3, blanket retention of all engineering contract working files for six years after final payment is not desirable due to large volume and administrative effort involved. To prevent possible destruction of original documents misfiled in engineering files, the following NOTE will be included in the introduction to the Engineering Records Section of the Schedule to replace the NOTE appearing in the list reviewed by NARS in Disposal Job No. NN-172-207:</p> <p>"NOTE: Contract files maintained by the Contracting Officer must be maintained six years after final payment due to statutes regarding civil actions. Records under 1, 8, 9, 10, 11, and 27 below* must be screened at time of disposal for original documents which may rightfully belong in the Contracting Officer's files. Such documents shall be removed from engineering files and transferred to the Contracting Officer."</p> <p>* Reference to item numbers in Part 4 - Engineering Records - of revised Coast Guard field schedule.</p>		<p><i>22 items</i></p>

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
11 1.	Procurement requests, requisitions, invoices, purchase orders, and work orders. a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.		
26 2.	Progress reports for construction and maintenance contracts for shore units. a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.		
27 3.	Construction work progress reports (Form CG-2617 or equivalent). a. 3 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.		
28 4.	Copies of construction contracts including specifications and drawings. a. 3 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.		
29 5.	Copies of procurement contracts. a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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45 6.	<p>Copies of contracts with specifications for the repairs and alterations of ships.</p> <p>a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files.</p> <p>b. DISPOSE material remaining in file.</p> <p>Items 7 and 8 below amend item numbers 136 and 140 respectively of NARS Disposal Job No. NN-172-207:</p> <p>7. Original or initial vessel inspection files (including Subchapter T vessels) containing inspection applications, certificates, and books; application for waivers of navigation laws and waiver order; SOLAS certificates; F.C.C. certificates; construction and equipment data and correspondence pertaining thereto. Transfer to Commandant (G-M-3) after vessel is scrapped.</p> <p>8. Plans, specifications for construction of boilers and components.</p> <p>a. Plans approved by BMIN personnel prior to March 1942. (Record copy.) Forward to Commandant (G-M-3).</p> <p>b. Copies of plans approved subsequent to March 1942. (Originals at Headquarters.) DISPOSE after 3 years.</p> <p>Commercial vessel safety, port safety and security, and marine environmental protection functions have been merged into the district office Marine Safety Division by organizational change. Items approved under numbers 199 through 204 of NARS Disposal Job No. NN-172-207 will be transferred without change from Part 8 (Operations and Readiness Records) to Part 7 (Marine Safety Records) of the Coast Guard Comprehensive Records Control Schedule No. 2. Items</p>		

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
	9 through 15 below describe new field items to be added in Part 7 (Marine Safety Records):		
9.	Primary records documenting Coast Guard 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.		
10.	General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities. DISPOSE after 3 years.		
11.	Correspondence files of a routine administrative or housekeeping nature. DISPOSE after 3 years.		
12.	Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels. DISPOSE after 2 years.		
13.	Message reports of vessel movement. DISPOSE after 6 months.		
14.	Reports of pollution and action taken. (Case file.) DISPOSE 3 years after case is closed.		
15.	Copies of Reports of International Marine Pollution Prevention Convention Violations. DISPOSE after 3 years.		

PART 4 - ENGINEERING RECORDS

These records relate to the administration and operation of the engineering programs at Coast Guard district offices, Headquarters units, and other field activities concerned with the design and construction of shore and marine structures and the repair, maintenance, outfitting and approved alteration of vessels, vehicles, aids to navigation, shore and marine structures, machinery, electronic equipment, etc. Records peculiar to the Coast Guard Aircraft Repair and Supply Center and the Yard are listed under separate headings.

NOTE: Contract files maintained by the Contracting Officer must be maintained 6 years after final payment due to statutes regarding civil actions. Records under Items 1, 8, 9, 10, 11 and 27 below must be screened at time of disposal for original documents which may rightfully belong in the Contracting Officer's files. Such documents shall be removed from engineering files and transferred to the Contracting Officer.

	<u>Description of Records</u>	<u>Authorized Disposition</u>	
19	1. Procurement requests, requisitions, invoices, purchase orders, and work orders.	a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.	VED
20	2. Original deeds.	• RETAIN. (NARS Retention Plan). Forward to Headquarters.	
21	3. Proceedings of the Boards of Survey with related correspondence.	DISPOSE 3 years after disposal of property.	DISPOSAL APPROVED
22	4. General subject file containing correspondence, reports, and related materials on construction and maintenance of Coast Guard shore structures, buoys, and equipment.	DISPOSE after 3 years.	DISPOSAL APPROVED
23	5. Advance planning file containing project reports for AC&I (on Forms CG-2618 series or equivalent) and Unit Development Plans describing work proposed, cost estimates, justifications with related charts, drawings, maps, or photographs as needed.	DISPOSE 3 years after project is completed.	DISPOSAL APPROVED
24	6. General file on budgets, funds related to construction and maintenance of shore units and equipment.	DISPOSE after 3 years.	DISPOSAL APPROVED
25	7. Real property records for improvements on shore facilities.	DISPOSE 3 years after facility is eliminated.	DISPOSAL APPROVED
26	8. Progress reports for construction and maintenance contracts for shore units.	a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.	D
27	9. Construction work progress reports (Form CG-2617 or equivalent).	a. 3 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.	D
28	10. Copies of construction contracts including specifications and drawings.	a. 3 years after completion of contract, screen file in accordance with above NOTE regarding contract files. b. DISPOSE material remaining in file.	D

Description of Records

Authorized Disposition

- | | | | |
|----|---|--|-------------------|
| 29 | 11. Copies of procurement contracts. | a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files.
b. DISPOSE material remaining in file. | ROVED |
| 30 | 12. General subject file on vehicles containing correspondence and reports. | DISPOSE after 3 years. | DISPOSAL APPROVED |
| 31 | R 13. Photographs of Coast Guard shore units and construction projects. | RETAIN. Forward to Headquarters (API) after unit is deactivated. | |
| 32 | R 14. 105 mm negatives of drawings of active shore units. | RETAIN. (NARS RETENTION PLAN)* | |
| 33 | R 15. Original AS BUILT drawings (tracings). | RETAIN. Transfer to Federal Records Center after project is completed. | |
| 34 | 16. Drawings or tracings of buoys appendages, and aids to navigation equipments. | RETAIN. (NARS RETENTION PLAN)* | |
| 35 | 17. Correspondence, memorandums, and reports relating to the installation and maintenance of electronic installations of Coast Guard units. | DISPOSE after 3 years. | DISPOSAL APPROVED |
| 36 | 18. Electronics equipment case files containing correspondence, memorandum reports, plans, and authorizations pertaining to the acquisition, maintenance, repairs, and design of a particular type of equipment. | DISPOSE after disposal of equipment. | DISPOSAL APPROVED |
| 37 | 19. Copies of plans and blueprints for installation of electronic equipment. | DISPOSE after superseded or obsolete. | DISPOSAL APPROVED |
| 38 | 20. Copies of landline installation records and related papers describing the landline facilities for specified areas. | DISPOSE when obsolete. | DISPOSAL APPROVED |
| 39 | 21. Copies of right of way permits for landlines, with related papers, granted to the Coast Guard by Government agencies, local government units and private firms. | DISPOSE after installation is abandoned. | DISPOSAL APPROVED |
| 40 | 22. Copies of vessel and ordnance plans and specifications. | DISPOSE after superseded or when vessel is disposed of. | DISPOSAL APPROVED |
| 41 | 23. Copies of survey reports pertaining to serviceability of vessels. | DISPOSE after transfer or disposal of vessel. | DISPOSAL APPROVED |
| 42 | 24. Allowance lists pertaining to the allowance of equipment, spare parts, and supplies to ships of specified classes. | DISPOSE after superseded or when vessel is disposed of. | DISPOSAL APPROVED |
| 43 | 25. Cutter case files containing correspondence, memorandums, reports, plans, dry-docking reports, contracts and work authorizations pertaining to the acquisition, maintenance, repairs and construction of a particular cutter. | DISPOSE after disposal of cutter. | DISPOSAL APPROVED |

Description of Records

Authorized Disposition

44

26. Class shipalts and boatalts.

DISPOSE after last vessel or boat of class is disposed of. DISPOSAL APPROVED

45

27. Copies of contracts with specifications for the repairs and alterations of ships.

a. 2 years after completion of contract, screen file in accordance with above NOTE regarding contract files.
b. DISPOSE material remaining in file.

ED

46

28. Boat records and machinery indexes containing a general description of the hulls and main engines, for boats under 65 feet in length, with descriptive information.

DISPOSE after obsolete.

DISPOSAL APPROVED

47

29. Quarterly Hull and Machinery Reports and other reports pertaining to the condition, repair, and renewal of hull and machinery.

DISPOSE after 3 years but only after transcribing into Hull History and Machinery History.

DISPOSAL APPROVED

48

30. Drydocking reports.

RETAIN.

49

31. Machinery logs containing an operating record of installed equipment.

DISPOSE after 3 years.

DISPOSAL APPROVED

50

32. Damage control files pertaining to inspection for the prevention of damage.

DISPOSE after 1 year.

DISPOSAL APPROVED

Description of Records

Authorized Disposition

132

38. Evidence of death.

TRANSFER all records to Commandant (MVP) regardless of whether in possession of MIO or FRC.

DISPOSAL APPROVED

133

39. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

DISPOSE after 2 years.

DISPOSAL APPROVED

Material (SIM)

134

40. Equipment approvals

a. Plans.

DISPOSE (Terminal item).

DISPOSAL APPROVED

b. Related correspondence.

DISPOSE when equipment approval is terminated.

DISPOSAL APPROVED

c. 5" x 8" cards

(1) White (Equipment - new or renewal).

DISPOSE upon receipt of white renewal or blue termination card.

DISPOSAL APPROVED

(2) Blue (Equipment terminations):

DISPOSE upon receipt of white reinstatement card.

DISPOSAL APPROVED

d. CGHQ-10030. Advance copy (filmsy).

DISPOSE upon receipt of 5" x 8" white or blue cards.

DISPOSAL APPROVED

135

41. Welding and Nondestructive Examination Procedures.

DISPOSE of superseded procedures material when updated material is received (i.e., catalog changes).

DISPOSAL APPROVED

136

42. Original or initial vessel inspection files (including Subchapter T vessels) containing inspection applications, certificates, and books; application for waivers of navigation laws and waiver order; SOLAS certificates; F.C.C. certificates; construction and equipment data and correspondence pertaining thereto.

Transfer to Commandant (G-M-3) after vessel is scrapped.

APPROVED

137

43. Vessel inspection files (other than original or initial files), (including Subchapter T vessels) containing inspection applications, certificates, and books; application for waivers of navigation laws and waiver order; SOLAS certificates; F.C.C. certificates; construction and equipment data and correspondence pertaining thereto.

Transfer to FRC 5 years after completion of inspection. FRC DISPOSE 10 years after completion of inspection or recall to office and review for disposal.

DISPOSAL APPROVED

138

44. Plans, approval letters, specifications, bills of material, and plan review correspondence for new construction, alteration or conversion of vessels. (excluding Subchapter T vessels).

a) If review and approval action was accomplished at MIO, transfer to Commandant (M-3) when work is completed as evidenced by a certificate, amendment, stability letter, letter of compliance, or official report. If review and approval accomplished by Commandant (MMT) or a Merchant Marine field technical branch, DISPOSE when work is completed.

DISPOSAL APPROVED

Description of Records

Authorized Disposition

DISPOSAL APPROVED

- 139 45. Monthly reports of inspection activities.
- 140 R 46. Plans, specifications for construction of boilers and components.
 - a. Plans approved by EMIN personnel prior to March 1942. (Record copy.)
 - b. Copies of plans approved subsequent to March 1942. (Originals at Headquarters.)

DISPOSE after 5 years.

Forward to Commandant (G-M-3).

DISPOSE after 3 years.

- 141 R 47. Pressure vessel approvals.

RETAIN at MIO until 3 years after installation on vessel, then transfer to Commandant (M-3) for inclusion in master file.

- 142 48. X-rays of welded boiler plates.

DISPOSE after acceptance or rejection of work, or after 6 months, whichever is earlier. DISPOSAL APPROVED

- 143 49. X-rays of spot welding on vessels undergoing inspection.

DISPOSE after inspection. DISPOSAL APPROVED

- 144 50. X-rays of spot welding on defective castings.

DISPOSE after inspection. DISPOSAL APPROVED

- 145 51. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

DISPOSE after 2 years. DISPOSAL APPROVED

Merchant Marine Technical Branch (mmt)

- 146 52. Construction, conversion and alteration plans and related correspondence for merchant vessels (commercial vessel case files).

Transfer to Commandant (M-3) when work on a particular vessel or class of vessel is complete as evidenced by issue of certificate, stability letter, letter of compliance or official report. DISPOSAL APPROVED

- 147 53. Plans, parts lists, etc., which have been specifically furnished to aid in vessel installation review.

DISPOSE on receipt of superseding issues (i.e., fire extinguishing system typical installation plans, parts lists, etc.) DISPOSAL APPROVED

- 148 54. Correspondence related to item 52 above.

DISPOSE when no longer relevant. DISPOSAL APPROVED

- 149 55. Workload reports compiled for Headquarters use.

DISPOSE after they have served their use-fulness. DISPOSAL APPROVED

- 150 56. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

DISPOSE after 2 years. DISPOSAL APPROVED

Admeasurement (District (m) or OCMI)

- 151 57. Admeasurement papers, including blueprints, vessel files, forms, certificates, indexes, etc.

Transfer to Commandant (M-3) after issue of certification of admeasurement to become part of commercial vessel case file. DISPOSAL APPROVED

- 152 58. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

DISPOSE after 2 years. DISPOSAL APPROVED

Description of RecordsAuthorized DispositionPort Safety and Security

199	659. Law enforcement case files, including cases referred to other agencies or departments for action, consisting of investigation reports, violation reports, correspondence, and related documents.	DISPOSE 3 years after final disposition of the case.	DISPOSAL APPROVED
200	68 40. Copies of permits issued to barges and ships for loading of explosives and related papers.	DISPOSE after 2 years.	DISPOSAL APPROVED
201	69 41. Ship's file containing requests to load explosives, copies of permits, stowage plans, lighter permits, and related correspondence pertaining to particular vessels.	DISPOSE after 2 years.	DISPOSAL APPROVED
202	70 42. Copies of annual applications for mooring permits in Federal anchorage.	DISPOSE 1-year after issuance of new permit.	DISPOSAL APPROVED
203	71 43. Anchorage check list of vessels in Federal anchorage.	DISPOSE after 1 year.	DISPOSAL APPROVED
204	72 44. Incoming ships' lists received from Collector of Customs giving names of vessels entering port.	DISPOSE after 1 year.	DISPOSAL APPROVED

Marine Environmental Protection

73.	Primary records documenting Coast Guard 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.	
74.	General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities.	DISPOSE after 3 years.	
75.	Correspondence files of a routine administrative or house-keeping nature.	DISPOSE after 3 years.	
76.	Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels.	DISPOSE after 2 years.	
77.	Message reports of vessel movement.	DISPOSE after 6 months.	
78.	Reports of pollution and action taken. (Case file)	DISPOSE 3 years after case is closed.	
79.	Copies of Reports of International Marine Pollution Prevention Convention Violations.	DISPOSE after 3 years.	

Description of Records

Authorized Disposition

DISPOSAL APPROVED

b. Material remaining in jackets.

DESTROY.

191

31. RUC (Referred upon Completion) Reports.

* *Hold*
~~Retain~~ in the referred district for 2 years subsequent to the date the RUC reports are finalized by the referred district, then DESTROY.

DISPOSAL APPROVED

192

32. Copies of ROI's (Reports of Investigation) (not constituting a district intelligence jacket) retained in a district and which contain either derogatory or non-derogatory information on Coast Guard military (or civilian) personnel.

DESTROY when the district intelligence jacket has been transferred to another district.

DISPOSAL APPROVED

193

33. Copies of an ROI on a Coast Guard civilian employee.

* *Hold*
~~Retain~~ until the individual's tenure with the Coast Guard ceases, then DESTROY, providing pertinent permanent type material is on file at Commandant (OI). This procedure applies as well to Public Health Service medical personnel upon whom an investigation may have been conducted.

DISPOSAL APPROVED

194

34. ROI's on Coast Guard military personnel.

DESTROY upon notification of death or separation from the Coast Guard or for other reasons such as retirement, discharge, etc.

DISPOSAL APPROVED

195

35. UNKNOWN SUBJECT (Incident) ROI's.

* *Hold*
~~Retain~~ for period of 10 years for modus operandi purposes, then DESTROY. Copies of all pertinent permanent record material either must be or must have been sent to Commandant (OI).

DISPOSAL APPROVED

196

36. ROI's or related documents, such as correspondence, containing significant material pertaining to individuals, groups, organizations, publications, etc.

In keeping with security matters as envisaged in the U. S. Coast Guard Investigation Manual (CG-232), retain in the district files at the discretion of the Chief, Intelligence and Law Enforcement Branch, ~~until such time as they are no longer considered retention material.~~ (Obviously, no set time span can be established for retention of this material since the situation or conditions within any given area will dictate the needs of districts concerned. This material should not be allowed to build up unless cogent reasons dictate otherwise. Districts must be assured that pertinent permanent type material is on file at Commandant (OI).

DISPOSAL APPROVED

197

37. ROI's or related material on aliens, radio operators, merchant mariner document applicants or port security card applicants.

* *Hold*
~~Retain~~ for one year from the date the investigation was completed, then DESTROY, providing duplicate copies are on file at Commandant (G-OIS).

DISPOSAL APPROVED

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* until they are of no further use to the District at which time they shall be destroyed.