

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-026-76-02**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/3/2025

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 5a for records created before 2017

Other active items: 1-4, 6-10, 12, 14, 18, 31-32, 35C1&2, 36, 42, 46-50, 51A,C,&D, 52-53, 61-68, 72-73, 75, 77-83, 91B, 101B, 102-106, 108, 114-115, 118, 121, 122, 124-127, 130-131, 135-147, 149-153, 156-169, 170B, 173, 193, 194, 202-205, 206A-D, 207-208, 214, 216-220, 222-223, 224B-D, 242-265, 295-309, 321B, 322-323, 331, 332, 335, 341B, 342, 345-346, 348, 350, 351, 353-354, 356-359, 361-362, 365, 371B, 372-377, 380-384C1, 385, 386, 401B, 402-403, 405-409, 411-412, 413A-G&K&N, 415-416, 418, 420-427, 433-435, 437-443, 445-448, 452-456, 459-472, 475-476, 479, 481, 484-497, 499-504, 511B, 512-519, 521-537, 541, 545, 548-557, 559-562, 565, 567, 571-573, 575-585, 587-589, 591B1A, 591B2, 592-594, 598, 627, 628

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

The ARO agreed to the disposition of items superseded by the GRS in an email dated 3/14/2024.

Items 15, 37-40, and 54-60, 84-90, 99-100, 310-320, 329-330, 336-340, 367-370, 379, 387-400, 404,417, 449-450, 457-458, 505-510, 538-540, 570, 590, 599-601 were reserved.

Item 5A was superseded by DAA-GRS-2015-0006-0001 but only 2017 forward.

Item 5B was superseded by DAA-GRS-2015-0006-0005.

Item 5C was superseded by DAA-GRS-2015-0006-0002.

Item 11 was superseded by DAA-GRS-2017-0007-0003

Item 13 superseded by DAA-0563-2019-0008-0004.

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Item 16 was superseded by N1-026-97-002 items 16 and 16a.

Item 17 was superseded by DAA-GRS-2013-0002-0009.

Item 19 was superseded by DAA-GRS-2020-0001-0002.

Items 20-22 were superseded by DAA-GRS-2013-0002-0007

Item 23 was superseded by DAA-GRS-2016-0012-0002.

Item 24 was superseded by DAA-GRS-2016-0012-0002 and/or DAA-GRS-2016- 0011-0001 and/or DAA-GRS-2013-0003-0002 as appropriate for the records.

Item 25 was superseded by DAA-0026-2013-0009-0003.

Item 26 was superseded by DAA-0026-2013-0009-0002.

Item 27 was superseded by DAA-GRS-2016-0012-0001.

Item 28 was superseded by DAA-0026-2013-0009-0001.

Item 29 is inactive per email from ARO dated 3/14/2024.

Item 30 was superseded by DAA-GRS-2016-0013-0002.

Items 33-34 were superseded by DAA-GRS-2016-0012-0001.

Items 35A and 35B were superseded by DAA-GRS-2013-0003-0011.

Item 41. All records are destroyed. No more will be created.

Item 43 was superseded by DAA-GRS-2016-0005-0001.

Items 44 and 45 were superseded by DAA-0563-2019-0003-0002.

Item 51B superseded by DAA-0563-2012-0002-0016.

Item 51E superseded by DAA-0563-2012-0002-0018.

Items 69A and 65B were superseded by NC1-26-81-002 items 69A, 69B, and 69C.

Item 70 was superseded by NC1-26-81-002 items 70A and 70B.

Item 71 was no longer used per NC1-26-81-002.

Item 74 was superseded by DAA-0563-2019-0003-0002.

Item 76 was superseded by NC1-26-82-008 item 76A.

Item 91A was superseded by DAA-0563-2019-0008-0004

Item 92 was superseded by NC1-26-84-003 item 92.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 93 was superseded by NC1-26-83-003 item 93.

Item 94 was superseded by NC1-26-83-003, item 94.

Item 95 was superseded by NC1-26-83-003 item 95.

Item 96 was superseded by NC1-26-83-003 item 96.

Item 97 was superseded by NC1-26-83-003 item 97.

Item 98 was superseded by NC1-26-83-003 item 98.

Item 101A superseded by DAA-0563-2019-0008-0004.

Item 107 was superseded by DAA-GRS-2013-0003-0002.

Item 109 was superseded by DAA-GRS-2015-0006-0002.

Item 110 was superseded by DAA-GRS-2013-0003-0001.

Items 111-112 were superseded by DAA-GRS-2013-0003-0002.

Item 113 was superseded by DAA-GRS-2016-0011-0011.

Item 116 was superseded by DAA-GRS-2016-0011-0005.

Item 117 was superseded by DAA-GRS-2016-0011-0006.

Item 119 was superseded by DAA-GRS-2013-0003-0002.

Item 120 was superseded by DAA-GRS-2013-0003-0001.

Item 123 was superseded by DAA-GRS-2013-0003-0012.

Item 128 was superseded by DAA-GRS-2016-0013-0001.

Item 129 was superseded by DAA-GRS-2013-0003-0001.

Item 132 was superseded by DAA-GRS-2016-0013-0001.

Item 133-134 were superseded by DAA-GRS-2013-0003-0001.

Item 148 was superseded by DAA-GRS-2013-0003-0001.

Item 154 was superseded by DAA-GRS-2013-0003-0001.

Item 155 was superseded by DAA-GRS-2015-0006-0004.

Items 170A and 171 were superseded by DAA-0563-2019-0008-0004.

Item 172 was superseded by DAA-GRS-2017-0008-0003.

Item 174 was superseded by DAA-GRS-2016-0013-0001.

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Items 175-177 were superseded by DAA-GRS-2013-0003-0001.

Item 178 was superseded by DAA-GRS-2013-0003-0012.

Items 179-180 were superseded by DAA-GRS-2013-0003-0001.

Item 181 was superseded by DAA-GRS-2013-0003-0004.

Item 182 was superseded by DAA-GRS-2013-0003-0001.

Item 183 was superseded by DAA-GRS-2014-0004-0001.

Item 184 is obsolete.

Items 185-192 were superseded by DAA-GRS-2013-0003-0001.

Item 195 was superseded by DAA-GRS-2013-0003-0012.

Items 196-201 were superseded by DAA-GRS-2013-0003-0001.

Item 206E was superseded by NC1-26-82-007 item 206E.

Items 209-211 were superseded by DAA-GRS-2013-0003-0001.

Items 212-213 were superseded by DAA-GRS-2016- 0011-0004.

Item 215 was superseded by DAA-GRS-2013-0003-0012

Item 221 was superseded by NC1-26-82-010 item 221.

Item 224A was superseded by NC1-26-82-006 item 224A.

Item 225 was superseded by DAA-GRS-2017-0008-0003.

Items 226-228 were superseded by DAA-GRS-2019-0004-0001.

Item 229 was superseded by DAA-GRS-2016-0015-0007.

Items 230-234 were superseded by DAA-GRS-2019-0004-0001.

Item 235 was superseded by DAA-GRS-2016-0015-0002.

Items 236-237 were superseded by DAA-GRS-2019-0004-0001.

Item 238 is inactive per email from ARO dated 3/14/2024.

Item 239 was superseded by DAA-GRS-2017-0007-0001.

Items 240-241 were superseded by DAA-GRS-2019-0004-0001.

Items 266-291 do not have disposition instructions.

Item 292 was superseded by N1-26-93-003 item 1.

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Item 293 does not have a disposition instruction.

Item 294 was superseded by N1-26-11-003 items 1 and 2.

Item 321A was superseded by DAA-0563-2019-0008-0004.

Item 324 was superseded by DAA-GRS-2018-0002-0014.

Items 325A1, 325A2, 325B and 326 were superseded by DAA-GRS-2018-0002-0013.

Items 327 and 328 were superseded by DAA-GRS-2022-0001-0001.

Item 333 was superseded by DAA-GRS-2021-0001-0001.

Item 334 was superseded by DAA-GRS-2021-0001-0004.

Item 341A was superseded by DAA-0563-2019-0008-0004

Item 343 was superseded by N1-26-05-020 item 1.

Item 344 is obsolete.

Item 347. All records were destroyed. No more will be created.

Item 349A was superseded by DAA-GRS-2017-0010-0009.

Item 349B was superseded by DAA-GRS-2017-0010-0010.

Item 352 was superseded by NC1-26-82-005 item 352.

Item 355 is obsolete.

Item 360 was superseded by NC1-26-82-005 items 360A1 through 360C.

Item 363 is superseded by DAA-GRS-2017-0010-0010 (GRS 2.7, item 061).

Item 364 is a filing instruction.

Item 366 was superseded by N1-26-05-022 item 10c.

Item 371A was superseded by DAA-0563-2019-0008-0004.C3

Item 378A superseded by DAA-0563-2019-0010-0006.

Item 378B superseded by DAA-0563-2019-0010-0005.

Item 384C2. The records were accessioned from the Federal Records Center Program in May 1987.

Item 401A was superseded by DAA-0563-2019-0008-0004.

Items 410A and 410B were superseded by NC1-26-78-002 item 410.

Item 410C was superseded by NC1-26-82-013 items 410A1 and 410A2.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Items 413H, I, J, L, M and O were superseded by NC1-26-82-013 items 413H, I, J, L, M, O.

Item 414 merged with item 410E per NC1-026-82-013.

Item 419 was superseded by NC1-26-82-013 items 404A&B.

Item 428 was superseded by N1-26-08-005, items 1A and 1D.

Item 429 was superseded by NC1-026-84-10, item 426. Also shown as superseded by N1-26-08-005, item 2 (for records dated 1947-1981).

Item 430 was superseded by NC1-026-84-10, item 427.

Item 431 was superseded by NC1-026-78-03 items 1A and 1B which authorized microfilming the records, retaining the microfilm as permanent, and destroying the paper originals.

Item 432 was superseded by N1-026-08-005 item 1D (for records dated 1968 and forward).

Item 436 was superseded by NC1-026-84-10 item 436.

Item 444 was superseded by N1-026-97-002 items 16 and 16A.

Item 451 was superseded by DAA-0563-2019-0008-0004.

Item 473 was superseded by DAA-0563-2019-0003-0002.

Item 474 was superseded by N1-026-06-007 item 2A.

Item 477 was superseded by DAA-GRS-2016-0011-0015.

Item 478 was superseded by DAA-GRS-2016-0011-0017.

Item 480 was superseded by DAA-GRS-2016-0011-0016.

Items 482-483 were superseded by DAA-GRS-2016-0011-0015.

Item 498 was superseded by DAA-GRS-2016-0011-0001.

Item 511A was superseded by DAA-0563-2019-0008-0004.

Item 520 was superseded by NC1-26-78-04 item 1.

Items 542-543 were superseded by DAA-GRS-2017-0007-0001.

Item 544 was superseded by DAA-GRS-2016-0013-0001

Item 546 was superseded by DAA-0563-2019-0003-0001.

Item 547 is a filing instruction.

Item 558 was superseded by DAA-GRS-2017-0007-0001.

Item 563 was superseded by DAA-0563-2019-0003-0002.

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Item 564 was superseded by DAA-0563-2019-0003-0001.

Items 566, 568-569 were superseded by DAA-GRS-2013-0003-0002.

Item 574 was superseded by DAA-0563-2019-0003-0001.

Item 586 was superseded by DAA-GRS-2018-0008-0003.

Items 591A and 591B1B were superseded by DAA-0563-2019-0003-0001.

Items 591, 595-597 were superseded by NC1-026-78-03, items A and B for microfilming the records, retaining the microfilm as permanent, and destroying the paper originals.

Items 596 and 597 are also superseded by DAA-0563-2019-0003-0001.

Item 602 was superseded by DAA-GRS-2017-0007-0001.

Item 603 was superseded by DAA-GRS-2017-0007-0003.

Item 604 was superseded by DAA-GRS-2016-0014-0003

Item 605 was superseded by DAA-GRS-2017-0011-0001 or DAA-GRS-2017-0011-0002.

Item 606 was superseded by DAA-GRS-2017-0007-0006.

Item 607 was superseded by DAA-GRS-2017-0010-0013.

Item 608 was superseded by DAA-GRS-2017-0007-0004.

Items 609A and 609B were superseded by DAA-GRS-2017-0007-0005.

Item 610 was superseded by DAA-GRS-2017-0011-0001 or DAA-GRS-2017-0011-0002.

Items 611A and 611B were superseded by DAA-GRS-2017-0011-0001 or DAA-GRS-2017-0011-0002.

Item 612 is inactive per email from ARO dated 3/14/2024.

Item 613 was superseded by DAA-GRS-2014-0002-0002 or DAA-GRS-2014-0002-0003.

Item 614 was superseded by DAA-GRS-2014-0002-0008.

Item 615 was superseded by DAA-GRS-2017-0007-0012.

Item 616 was superseded by DAA-GRS-2017-0007-0005.

Item 617 was superseded by DAA-GRS-2014-0002-0003.

Items 618-619 were superseded by DAA-GRS-2017-0007-0003.

Items 620A and 620B were superseded by DAA-GRS-2017-0007-0006.

Item 621 was superseded by DAA-GRS-2014-0002-0011.

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Item 622 was superseded by DAA-GRS-2017-0007-0001.

Item 623A was superseded by DAA-GRS-2017-0007-0006.

Items 623B and 623C were superseded by DAA-GRS-2014-0004-0002.

Item 623D was superseded by DAA-GRS-2017-0007-0001.

Item 624 is inactive per ARO email dated 3/14/2024.

Item 625 was superseded by DAA-GRS-2016-0011-0014.

Item 626A1 was superseded by DAA-GRS-2018-0002-0012.

Item 626A2 was superseded by DAA-GRS-2018-0002-0013.

Items 626B and 626C were superseded by DAA-GRS-2018-0002-0012.

Item 629 was superseded by DAA-GRS-2014-0002-0004.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE



**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO.	<b>NC1 - 26-76-2</b>
DATE RECEIVED	<b>JUN 3 1976</b>
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>6-21-77</i> Date	<i>James B. Jordan</i> Archivist of the United States

**TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

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  
**Mr. Jim Doran**

5. TEL. EXT.  
**426-2365**

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 70 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

**A** Request for immediate disposal.

**B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE <b>2 JUN 1976</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>B. Jordan</i> <b>B. JORDAN CAPT, USCG</b>	E. TITLE <b>Chief, Management Analysis Division</b>
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ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>The attached proposed Coast Guard Comprehensive Records Control Schedule No. 1 for the disposal of records maintained at Headquarters is forwarded for approval. This schedule is broken down into 16 sections. Each section applies to a particular major office or special staff division at Headquarters and contains records of primary concern to said office/special staff division. Upon approval this schedule will supersede Coast Guard Comprehensive Records Schedule No. 1 as published by the Coast Guard 2 August 1973.</p> <p>This schedule does not apply to Coast Guard records created before 1921. All Coast Guard elements will be advised to contact Coast Guard Headquarters, Paperwork Management Branch, for disposition of any such records.</p>		RG26; 677 items

*115-707*  
*Sent to agency - 6/24/77 JB*

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APPENDIX A

FEB 25 1977

## COAST GUARD COMPREHENSIVE RECORDS CONTROL SCHEDULE NO. 1

### INTRODUCTION

1. Function of the Records Control Schedule. The records described in this Schedule include records of the U. S. Coast Guard for which an authorized disposition has been established. Any office which has official records which are not scheduled will maintain said records and advise the Management Analysis Division (G-CMA) using procedures outlined in Chapter I paragraph 3c(6) of this manual so that authorized disposition may be established. These are records which will provide permanent historical background and those of a temporary administrative value. Coast Guard Comprehensive Records Control Schedule No. 1 provides authority and basis for the disposition of these records at Coast Guard Headquarters.

2. Application of the Schedule.

a. The records described in this Schedule are grouped by category of record. Material need not always be identical to that described but must document essentially the same information. Authority contained in the Schedule should not be exceeded to cover significant documents not listed. Although the records are grouped in categories such as Boating Safety, Engineering etc., offices are not restricted to a particular section if more appropriate provisions are found elsewhere.

b. Provisions of the Schedule are mandatory. Material scheduled for disposal on specific dates may not be destroyed prior to that date unless proper authorization has been obtained from the Management Analysis Division (G-CMA). This applies also to the extension of retention periods or withdrawal of disposal authority. All records in the custody of records centers, other than permanent records, will be disposed of after the authorized disposition date included on the SF 135, unless NO is checked in item 8 of the SF 135, in which case the Federal Records Center will obtain Coast Guard concurrences prior to destruction of the records.

c. d. The record copy of any publication (Instruction, Notice, Manual etc.) which documents the organization, functions, policies, decisions and procedures of the Coast Guard shall be maintained by the originator as part of the official files. These records are an integral part of Coast Guard documentation deserving permanent preservation and care must be exercised to assure that they are not destroyed.

d. e. Records directly pertinent to litigation, investigation or exception by the General Accounting Office or internal auditors may not be destroyed until all action is complete. It should be stressed that disposal of any record before the retention period has expired is unlawful.

e. f. The disposal instructions for the records described herein assume that all operating requirements have been complied with i. e., posting or entries have been made, originals have been protected as indicated by appropriate operating instructions and no obvious errors have been made in filing permanent or long retention records with records of temporary value.

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COAST GUARD COMPREHENSIVE RECORDS CONTROL SCHEDULE NO. 1 (HEADQUARTERS RECORDS)

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TOTAL 677

SECTION 1. GENERAL MANAGEMENT AND ADMINISTRATION RECORDS

These records of special staff components relate to the development and administration of over-all policies, programs and procedures for the Coast Guard including certain internal administrative functions. Specialized records relating to engineering programs, merchant marine safety, etc are covered in other sections of the Schedule.

Description of Records

Authorized Disposition

1. Documents created by special staff divisions at Headquarters relating to over-all management and policy adoption of the Coast Guard and not covered under items 13 or 14 of this schedule.

a. Studies/Surveys

(1) Management Studies Files.

One record copy of each feasibility study, management improvement study/survey, and other studies made to evaluate Coast Guard programs and proposed programs.

(a) Final Report

PERMANENT. Transfer to FRC 5 years after publication of the Final Report. Offer to NARS when 20 years old. (1CFPY)

(b) Interim and Feeder Reports, work papers, and background files.

DESTROY 2 years after publication of final report or when usefulness has been served, whichever is later.

2. General administrative correspondence files (excluding primary records above) from various activities for the administration and general management of CG affairs.

DESTROY when 3 years old.

3. Record material of a routine administrative or housekeeping nature.

DESTROY when 3 years old.

4. Congressional Relations Files

a. Correspondence, memorandum, reports and associated material pertaining to relations with Congress concerning substantive Coast Guard Programs.

PERMANENT. Office of origin record copy. Transfer to FRC when 10 years old. Offer to NARS when 20 years old. (1 CFPY)

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Description of Records

Authorized Disposition

b. All other Congressional correspondence and extra copies of documents listed in a. above.

DESTROY as follows:

- (1) If signed by the Commandant or Vice Commandant retain for one year after member leaves congress then Destroy.
- (2) All others-destroy one year after last session of applicable congress.

5. Coast Guard Budget Files

a. Budget estimates with internal justification relating to the financial requirements of the Coast Guard.

PERMANENT. Transfer to FRC three years after the close of the fiscal year covered by the budget. Offer to NARS 20 years after close of the fiscal year. (2 CFY)

b. Work papers, cost statements and rough data accumulated in preparation of annual budget estimates.

DESTROY 3 years after close of fiscal year covered by the budget.

c. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

DESTROY 2 years after close of fiscal year. involved

6 Project working papers including background materials studies, analyses, notes rough drafts, interim reports and related papers pertaining to management projects, exclusive of documents covered by items 1, 4, and 5 above .

DESTROY 6 months after final action on project report or 3 years after completion of report if no final action taken.

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Description of Records

Authorized Disposition

7. General subject files containing correspondence, reports and related material pertaining to personnel allowances.

DESTROY when 5 years old.

8. Organization Manuals and Charts.

PERMANENT. Transfer to FRC 1 year after superseded. Offer to NARS 20 years after superseded. (1 CFPY)

9. Scheduling, planning and operating material for the Area and District Commanders Conference.

DESTROY 1 year after conference.

10. Copies of area and district inspection reports.

DESTROY after completion of 2 subsequent inspections.

11. Incentive awards case files.

DESTROY 2 years after completion of each case.

12. Files, research and background material relating to delegation of authority to the Commandant.

PERMANENT. Transfer to FRC 3 years after delegation approval. Offer to NARS 20 years after delegation. (1 CFPY)

13. Originals of Coast Guard directives, significant background and printed copy.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (1 CFPY)

14. Publications (original of Letter of Promulgation, significant background and printed copy).

PERMANENT. Transfer to FRC 5 years after publication of document. Offer to NARS 20 years after publication of document (1 CFPY)

15. RESERVED

16. Files, correspondence and research papers relating to formulation and promulgation of "USCG Regulations".

PERMANENT. Transfer to FRC 1 year after superseded. Offer to NARS 20 years after revision. (1CFPY)

17. Forms functional files (one sample copy of each form used by CG).

DESTROY individual form copy when form is cancelled or superseded.

18. Record folders on forms authorized for Coast Guard use, with background authorization and printed copies.

DESTROY 1 year after form is obsolete.

19. Reports control files; case files on reports maintained for each report created, cancelled or superseded.

DESTROY 2 years after report is discontinued.

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Description of Records

Authorized Disposition

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|--|--|
| 20. Working files and background material used in establishing procedures for records management, correspondence and filing systems.   | DESTROY 1 year after publication of resultant procedures or when obsolete or superseded. |
| 21. Records disposition files including descriptive inventories, disposal authorizations; schedules for retirement of records (case files).  | DESTROY when obsolete or superseded.   |
| 22. Statistical reports of records holdings.   | DESTROY when 3 years old.  |
| 23. Background material relating to revisions of telephone directories and military personnel directories.   | DESTROY 3 months after issue of new directories.   |
| 24. Files containing shipping and receiving documents, inventory control records, space and maintenance material, procurement requests for services and equipment and other related papers on the stores and services functions at Headquarters. | DESTROY when 3 years old.  |
| 25. Records relating to requisitions for printing  | DESTROY 2 years after completion or cancellation of requisition.                         |
| 26. Files pertaining to planning, standards, costs and related technical matters concerning printing and publication of CG material.   | DESTROY when 2 years old.  |
| 27. Correspondence and related papers on administration and operations for printing, binding, duplication and distribution of CG issuances.  | DESTROY when 3 years old.  |
| 28. Records pertaining to accomplishment of job, containing requisitions and related papers exclusive of requisitions on the Public Printer and records on services obtained outside of agency.  | DESTROY 1 year after completion of job.  |
| 29. Copies of tabulations and statistical reports prepared for operating divisions by data system services.  | DESTROY when 2 years old.  |
| 30. Studies of specific applications of data processing and information retrieval techniques.  | DESTROY 5 years after completion of study.   |

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Description of Records

Authorized Disposition

31. Copy of Coast Guard portion of DOT Annual Report submitted to the Department of Transportation and related feeder reports.

DESTROY 1 year after year in which DOT Annual Report is printed.

32. Copies of Management Improvement Reports submitted to the Office of Management and Budget, and related analysis feeder reports.

DESTROY 2 years after submission of report.

33. Postal Records consisting of Post Office forms and supporting papers.

DESTROY when 2 years old.

34. Official Penalty Mail Reports.

DESTROY when 2 years old.

35. Audit Records

a. General Administrative correspondence (excluding primary records listed below) on audit activities conducted at Headquarters, District offices, Headquarters units, afloat and ashore activities.

"DESTROY" when 5 years old.

b. General Accounting Office (GAO) audit report files including audit reports, coordination papers, final agency replies, and related correspondence accumulated in connection with audits by (GAO) of Coast Guard activities.

"DESTROY" Coast Guard action office copy when 10 years old providing that recommended actions have been completed. "DESTROY" other copies when 3 years old.

c. Office of the Secretary of Transportation audits reports issued by OST Director of Audits, coordination papers, and related documents accumulated in connection with preparing Coast Guard reply to OST.

"DESTROY" Coast Guard action office copy when 10 years old providing that recommended actions have been completed. "DESTROY" other copies when 3 years old.

36. Correspondence pertaining to Privacy Act Requests.

a. Accounting for disclosures.

DESTROY in accordance with the disposition instruction for the related record or when 5 years old. Whichever is longer.

b. Master log of requests.

DESTROY when 3 years old.

*BT THRU NO RESERVIC*



SECTION 2 PUBLIC **DRAFT** INTERNATIONAL AFFAIRS RECORDS

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These records reflect the development and administration of Coast Guard programs, positions and relations in public and international affairs

Description of Records

Authorized Disposition

41. Records created by the Office of Public and International Affairs documenting the organizational development and administration of the Office of Public and International Affairs consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Public and International Affairs.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program in the area of public and international affairs:

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

42. General administrative correspondence, reports and related material (excluding primary records above) for the various activities of public and international affairs,

DESTROY when 3 years old.

43. Routine correspondence of a general administrative or housekeeping nature.

DESTROY when 3 years old.

44. Documentation initiated by the U.S. Coast Guard consisting of U.S. Delegation Reports, minutes of meetings and related materials pertaining to international maritime organizations concerning U.S. position and representation of various conferences.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (1/5 CFPY)

45. International Association of Lighthouse Authorities records containing minutes and agenda of Executive Committee meetings, reports, correspondence and administrative

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 Years old. (1/5 CFPY).

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Description of Records

46. Master files of photographs and slides of CG activities arranged by subject and presenting principally a pictorial history from World War II to the present including separate files of unreleased picture and negatives of unreleased pictures - the original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an inter-negative (if one exists) for each color image.

a. Duplicate prints of items above.

47. Historical files consisting of significant background material used to consolidate historical information into a published volume and the published volume. Published volumes generally consist of Commandants Bulletins, Coast Guard Magazine, Highlights of CG operations such as Deep Freeze, Vietnam, Coast Guard at War etc.

Authorized Disposition

PERMANENT. Offer to NARS <sup>when</sup> 10 years old.  
(7 CFPY) ↑ ^

*Break file every five years.*

*J.M. (NNV), RCF (NCD) 4*

*J.D. USCG, 6-20-77*

Destroy when usefulness has be served.

PERMANENT. Offer to NARS when 20 years old. (1½ CFPY)

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Description of Records

Authorized Disposition

48. Master press release and release distribution files.

PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old (4/5 CFPY)

49. Correspondence pertaining to the Coast Guard's participation in international and national expositions, bicentennials, etc.

PERMANENT. Transfer to FRC when 3 years old. Offer to NARS when 20 years old. (2 CFPY)

50. Correspondence pertaining to exhibits shown at Boat Shows, Fairs, etc.

DESTROY when 5 years old.

51. Radio, Television, and Motion Picture Productions.

a. Motion pictures - the original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print for each motion picture.

PERMANENT. Offer to NARS when 10 years old or when obsolete whichever occurs first. (1 CFPY)

b. Sound recordings - the master tape, matric or stamper, and one disc pressing for each conventional mass-produced multiple copy disc recording and the original tape for each magnetic audio tape recording.

PERMANENT. Offer to NARS when 10 years old or when obsolete whichever occurs first. (1 CFPY)

c. Video recordings - the original or the earliest generation of each recording or a kinescope of the recording.

PERMANENT. Offer to NARS when 10 years old or when obsolete whichever occurs first. (1 CFPY)

d. Finding aids and production documentation - existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use as production case files or similar files which include copies of production contracts, scripts, transcripts, or other documentation bearing on the origin, acquisition, release or ownership of the audiovisual production.

PERMANENT. Offer to NARS when 10 years old or when obsolete whichever occurs first. (.5 CFPY)

e. Additional duplicate prints of a and additional duplicate recordings of b and c.

Destroy when 10 years old or when obsolete whichever occurs first.

52. Speeches, slide talks, and manuscripts.

PERMANENT. Offer to NARS when

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Description of Records

Authorized Disposition

53. Stock motion picture footage of Coast Guard units and activities

a. The original negative or color original and work print.

PERMANENT. Offer to NARS when 10 years old. (35 CFPY)

b. Existing finding aids, published or unpublished, such as data sheets, shot lists, scenarios, review sheets, catalogs, indexes, scene descriptions, and other textual documentation which is necessary for the proper identification, retrieval, and use of the footage.

PERMANENT. Offer to NARS when 10 years old. ( 5 CFPY)

54-60 RESERVED

These records reflect the development and administration of programs for safe boating in the United States i.e., boat numbering system, boating accident activities, enforcement of boating laws, cooperative activities with state, federal and private organizations and the role of the Coast Guard Auxiliary in promoting safety and effecting rescues.

Description of RecordsAuthorized Disposition

61. Records created by the Office of Boating Safety documenting the organizational development and administration of the Office of Boating Safety consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Boating Safety.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs:

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

62. General administrative correspondence files (excluding primary records above) from various activities for the administration and general management of CC affairs.

DESTROY when 5 years old.

63. Record material of a routine administrative or housekeeping nature.

DESTROY when 3 years old.

64. Program planning and evaluation studies (issue studies, policy studies, position studies).

DESTROY issue studies when 10 years old, policy studies when 8 years old, position studies when 6 years old.

Description of Records

Authorized Disposition

- |   |  |
|---|--|
| 65. Working files of directives including all those superceded and related manuscripts of publication and circulars on boating safety activities. | DESTROY when superceded or obsolete.   |
| 66. Records pertaining to subcommittee on government operations for boating safety.   | DESTROY 3 years after date of hearing or publication of the report whichever is earlier. |
| 67. Correspondence and reports from District on routine law enforcement activities.   | DESTROY when 3 years old.  |
| 68. Boating Safety Detachment Reports and reports on pilot programs.  | DESTROY when 5 years old.  |
| 69. Narrative reports of investigation, findings, recommendations, and approvals  |  |
| a. Reports on which a death certificate has been issued.  | DESTROY when 10 years old. Transfer to FRC when 5 years old.                             |
| b. Reports on which no death certificate was issued or no body found.   | DESTROY when 50 years old. Transfer to FRC when 5 years old.                             |

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Description of Records

Authorized Disposition

70. Accident reports involving Coast Guard jurisdiction.

DESTROY when 10 years old. Transfer to FRC when 5 years old.

71. Accident reports covering sole state jurisdiction.

DESTROY when 5 years old.

72. Automatic data processing cards and disc files containing motorboat accident data.

DESTROY when 5 years old.

73. Index cards listing fatalities by name, state and date.

DESTROY when 5 years old.

74. National Safe Boating Week Committee history files.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (2 CFY)

75. Documents on approved boat numbering systems.

DESTROY when 5 years old.

76. State/Coast Guard coordinated law enforcement agreements (copies).

DESTROY when 25 years old. Transfer to FRC when 5 years old.

77. Minutes of regional and national boating administrators meetings (copies).

DESTROY when 5 years old.

78. Current computer listings of boat registration.

Transfer to States when their numbering systems have been approved.

79. Correspondence concerning actual numbers of individuals' vessels.

DESTROY when 3 years old.

80. Boat Consumer Complaints.

DESTROY when 15 years old. Transfer to FRC when 5 years old.

81. Compliance Testing Results.

a. Passing Test.

DESTROY when 5 years old.

b. Failing Test.

DESTROY when 20 years old. Transfer to FRC when 5 years old.

82. Notifications of Defects or Compliance Failures and related documents.

DESTROY when 20 years old. Transfer to FRC when 5 years old.

83. Boating Safety Advisory Council (BSAC) records; minutes, records, recommendations, etc.

PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old. (1 CFY)

84 thru 90 Rescued including

A-3-2

These records cover Research and Development activities effecting policies and executing programs relating to the Coast Guard R&D program.

Description of Records

Authorized Disposition

91. Records created by the Office of Research and Development documenting the organizational development and administration of the Office of Research and Development consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Research and Development.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

92. Research and Development project records, reflecting a complete history of each project including procurement files, project authorization documents, project cards, technical characteristics, test & trial results, drawings, specifications, and photographs essential to document the project, and technical and progress reports.

PERMANENT. Transfer to FRC after microfilming for reference purposes. Offer to NARS when 20 years old. (3 CFPY)

DISPOSAL NOT APPROVED

93. General administrative correspondence, reports and related material (excluding primary records of various activities of research and development.

DESTROY when 3 years old.

94. Annual appropriation summary reports and related material.

DESTROY when 5 years old.



Description of Records

Authorized Disposition

95. Notebooks containing technical and scientific information duplicated in project reports or case material, or is of such a nature as to be non-essential to project files.
96. Technical reference files.
97. Control material consisting of duplicate copies of case material, non-essential scientific or technical information, individual progress reports and administrative correspondence.
98. Copies of office supplies and procurement requests (excluding project procurement)

DESTROY 6 months after completion or termination of related project.

DESTROY when superseded or obsolete.

DESTROY upon completion or termination of project.

DESTROY when 3 years old.

99-THRU 100 Reserved

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SECTION 5 ENGINEERING RECORDS

These records cover engineering activities effecting policies and executing programs encompassing aeronautical, civil, electronics, naval and ocean engineering.

Description of Records

Authorized Disposition

101. Records created by the Office of Engineering documenting the organizational development and administration of the Office of Engineering consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Engineering.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

102. General correspondence files, excluding primary records, accumulated by engineering activities in carrying out their programs.

DESTROY when 5 years old.

103. Routine correspondence of a general, administrative or housekeeping nature.

DESTROY when 3 years old.

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Description of Records

Authorized Disposition

Aeronautical Engineering Records

104. Drawings, specifications and photographs of aircraft, engines and other aeronautical equipment developed by the Coast Guard.

~~PERMANENT~~. Transfer to FRC 3 years after equipment is no longer in use in the Coast Guard. Offer to NARS 15 years after equipment is no longer in CG use.

105. Drawings, specifications and photographs of aircraft, engines and other aeronautical equipment used in but NOT developed by the Coast Guard.

DESTROY at Headquarters 1 year (1 CFY) after equipment is no longer in use in the Coast Guard.

106. Reports of unsatisfactory or defective material and reports of aircraft and engines maintenance, use and effectiveness.

DESTROY at Headquarters 1 year after equipment is no longer in use in Coast Guard.

107. Copies of construction and procurement contracts with related material.

DESTROY 5 years after completion of contract.

Civil Engineering Records

108. Advance planning files containing project reports for AC&I.

DESTROY 3 years after project is complete.

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Description of Records

Authorized Disposition

or equivalent) and unit development plans describing work proposed, cost estimates, justifications with related charts, drawings, maps and photographs.

109. General files on budgets and funds related to construction and maintenance. DESTROY when 5 years old.
110. Construction progress reports (Form CG-2617 or equivalent). DESTROY when 5 years old.
111. Copies of construction contracts with specifications, drawings and related material. DESTROY 3 years after completion of contract.
112. Copies of procurement contracts and purchase orders. DESTROY 3 years after completion of contract.
113. Card records of vehicles in service. DESTROY when 5 years old.
114. Files on obstructive bridge projects, including reports of public hearings, orders to alter, orders of apportionment of costs, contracts and plans showing clearance and design criteria. DESTROY 20 years after completion of the project. Transfer to FRC 3 years after completion of project.
115. Photographs of shore units and construction projects-the original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. PERMANENT. Offer to NARS after completion of construction project and/or discontinuance of the unit (1 CFPI)
116. 105mm negatives of drawing of contract sets of shore unit structures. Maintain at CG Headquarters as an active working file. DESTROY when inactive.
117. Microfilm from Districts and Headquarters Units of original AS BUILT drawings (tracings). Maintain at CG Headquarters as an active working file. DESTROY when inactive.

Electronics Engineering Records

118. Avionics equipment manuals, aircraft files, technical descriptions and drawings. DESTROY 6 months after equipment or aircraft is no longer in Coast Guard inventory.

**DRAFT**

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Description of Records

Authorized Disposition

119. Office of Engineering copy of contract files for construction, installation, alteration, etc of electronic equipment, including drawings, photographs, technical description, specifications and related data. DESTROY 6 years, 3 months after completion of delivery.
120. files containing requests for procurement and for bid or quotation, invoices, requisitions for HQ controlled electronic equipment, inspectors reports and related data. DESTROY Requests for Procurement and Requests for Bid or Quotation 5 years after completion of delivery; the remainder after 3 years
121. Project files pertaining to development and testing of electronic systems at CG units. Maintain at Coast Guard Headquarters as an active working/reference file. Destroy when file becomes inactive.
122. Case files on electronic navigational aids containing requests for authorization, approvals for installation, photographs, blueprints, correspondence, related papers on changes and maintenance. PERMANENT. Transfer to FRC when aid is no longer active. Offer to NARS 10 years after aid is no longer active.
123. Reference files on electronic parts; designation, description, price of parts, stock record inventory value of equipment, tabulation sheets, allowance lists, changes in allowance lists and correspondence on installation and conversion. DESTROY when obsolete or superseded.
124. Specifications for all electronic equipment developed by or for the Coast Guard DESTROY 2 years after equipment is declared obsolete.
125. Drawings of electronic equipment, loran maps and navigation charts, radio beacon charts, station plans, drawings, blueprints and photographs. PERMANENT. Offer to NARS 4- years after equipment is obsolete (1 CFY)
126. Electron Alterations Request and Ship Alteration Requests. DESTROY when superseded or obsolete.
127. Submarine cable data reports made when cable is tested, relocated or repaired. DESTROY 6 months after cable leaves Coast Guard control.
128. General correspondence on procurement delivery and general maintenance of land line equipment. DESTROY when 3 years old.

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## Description of Records

## Authorized Disposition

129. Telephone construction and maintenance records on building of lines, purchasing of materials, etc.

DESTROY when 6 years, 3 months old.  
Transfer to FRC when 3 years old.

130. Telephone line location reports.

DESTROY 6 months after line leaves Coast Guard control.

131. Telephone line and cable number systems index.

DESTROY 6 months after superseded.

132. Correspondence files on acquisition and maintenance of CG land line right of way.

DESTROY 10 years after termination of agreement and discontinued use of the right of way. Transfer to FRC 3 years after termination of agreement and discontinued use of the right of way.

133. Acquisition, construction and improvement (AC&I) and operating expenses allotment files.

DESTROY when 5 years old.

134. Resource Change Proposals.

DESTROY 3 years after completion.

135. Reports developed from electronics installation, changes and maintenance systems (EICAM).

DESTROY when obsolete or superseded except equipment parts failure summary which is destroyed when 3 years old.

## Naval Engineering Records

136. Correspondence, reports and related materials on cutter/boat construction.

DESTROY 15 years after delivery of cutter/boat. Transfer to FRC 10 years after delivery of cutter/boat.

137. Correspondence, reports and related materials on cutter/boat repair and maintenance (routine).

DESTROY when 5 years old.

138. Reports of cutter dry-docking repairs ((CG-2926) or equivalent).

DESTROY when 20 years old. Transfer to FRC when 10 years old.

139. Quarterly report of hull and machinery (repairs).

DESTROY when 5 years old.

140. Technical manuals; material failure reports.

DESTROY 3 years after life of equipment.

141. Cutter/boat alteration records; case files.

DESTROY 1 year after life of cutter/boat class.

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Description of RecordsAuthorized Disposition

142. Cutter/boat evaluation/investigation case files, hull and machinery specifications.

a. For first and last cutter/boat of a class and modifications which significantly deviate from others in the class.

PERMANENT. Offer to NARS after disposal of the cutter/boat class.  
(ICFPY)

b. All others.

DESTROY 1 year after disposal of the cutter/boat class.

143. Cutter/boat plans and tracings and Booklet of General Plans, Line Drawings, etc.:

a. For first and last cutter/boat of a class and modifications which significantly deviate from others in the class.

PERMANENT. Offer to NARS after disposal of the cutter/boat class.  
(ICFPY)

b. All others.

DESTROY 1 year after disposal of the cutter/boat class.

144. Boat Records (CG-2580).

DESTROY 5 years after boat disposal.

145. Record of Cutters Characteristics.

DESTROY 10 years after life of cutter. Transfer to FRC after life of cutter.

146. Machinery allowance and repair lists.

DESTROY 10 years after life of cutter. Transfer to FRC 5 years after life of cutter.

147. Original as BUILT drawings (tracings) of aids to navigation equipment and minor structures, oceanographic and maritime environmental protection (MEP) equipment and sensor systems.

Permanent offer to NARS 5 years after obsolescence.

Ocean Engineering Records

148. Acquisition, construction, and improvement (AC&I) project files including budgeting, general procurement files and ledgers.

DESTROY at Headquarters 5 years after close of project or when superseded or obsolete.

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149. Original AS BUILT drawings (tracings) of buoys, buoy appendages. PERMANENT. Transfer to FRC after disposition of equipment or system. Offer to NARS 25 years after disposition. (1 CFY)
150. Copies of plans of marine science, MEP and short range aids to navigation equipment and structures. Permanent offer to NARS when superseded or cancelled.
151. Short range aids to navigation, MEP and marine science equipment investigations and evaluation case files.
152. Photographs of major aids to navigation structures (lighthouses)- the original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. PERMANENT. Offer to NARS when 20 years old. (1/10 CFY)
153. Photographs of minor aid structures, equipment and systems. DESTROY after completion of project and disposition of the equipment or system
154. Operating expense files; copies of procurement contracts, purchase orders, invoices of material shipped, shipment orders, acceptance and delivery reports and related material. DESTROY when 5 years old.
155. Resource Change Proposals. DESTROY at Headquarters 3 years after completion. if not funded, 3 years after fiscal year for which written.
156. Flasher Installation Cards. DESTROY at Headquarters when 5 years old.
157. Structural, Electronic, Large Navigational Buoys and Marine Environmental Protection Equipment alterations and cover sheets to forms (4-2-15)
158. Material Failure Reports. DESTROY at Headquarters after disposition of equipment.
159. Instruction books for marine DESTROY at Headquarters after dis-



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# DRAFT

## SECTION 6 FINANCIAL MANAGEMENT RECORDS

The records in this section relate to the management of the financial affairs of the Coast Guard, i.e. fiscal travel and supply procedures, accounting, payments and claims, supply logistics, supply services and procurement.

### Description of Records

### Authorized Disposition

170. Records created by the Office of Comptroller documenting the organizational development and administration of the Office of Comptroller consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Comptroller.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program.

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

171. Primary records containing formal policy and procedural issuances and developmental data on the planning and administration of the financial activities of the Coast Guard; case files of manuals, directives, regulations, standards etc.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (2CFPY)

Description of Records

Authorized Disposition

172. Background material and developmental data for publications covering fiscal procedures for appropriated funds and fiscal procedures for non-appropriated fund activities.

DESTROY. Destroy 20 years after close of FY in which issued. Transfer to FRC 5 years after close of FY in which issued.

173. General administrative correspondence, reports and related material (excluding primary records above) for the various activities of financial management not listed elsewhere.

DESTROY when 5 years old.

174. Correspondence files of a routine administrative or housekeeping nature.

DESTROY when 2 years old.

Accounting Records

175. Servicewide appropriations and allotment status reports.

DESTROY fiscal year ending reports 10 years after close of FY; all others 5 years after close of FY. Transfer to FRC 2 years after close of FY.

176. General Ledger Trial Balances.

DESTROY fiscal year ending trial balance 10 years after close of FY; all others 5 years after close of FY. Transfer to FRC 2 years after close of FY.

Description of Records

**DRAFT**

Authorized Disposition

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- 77. Accounting Reconciliation Statements and copies of supporting documents. DESTROY when 3 years old.
- 78. Consolidated Commissary reports and copies of stores statements received from Districts. DESTROY fiscal year ending reports or statements 10 years after close of FY; all others 3 years after close of FY. Transfer FY ending reports to FRC 3 years after close of FY.  
DESTROY fiscal year ending statements 10 years after close of FY; all others 3 years after close of FY. Transfer to FRC 2 years after close of FY.
- 79. CG Supply Fund Financial Statements.
- 80. Copies of Accounts Current and Statements of Transactions. DESTROY when 4 years old.
- 81. FHA mortgage insurance case files of terminated mortgages. DESTROY 4 years after case files are closed.
- 82. Reconciliation Statements for Treasury Cash (SF 654) and work papers. DESTROY when 4 years old.
- 83. Photostat copies of individual retirement records (SF 2806) for separated civilian personnel. DESTROY when 4 years old.
- 84. FICA wage credit and federal income tax listings of Military personnel. DESTROY when 50 years old. Transfer to FRC when 2 years old.
- 85. Allotment Statue Reports, Registers of Transactions Allotments, Obligations and Expenditures. DESTROY when 10 years old. Transfer to FRC when 3 years old.
- 86. General Ledger Accounts and Journal Vouchers. DESTROY when 10 years old. Transfer to FRC when 4 years old.
- 87. Closed Obligation documents. DESTROY records created prior to July, 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)
- 88. Closed Accounts Payable documents. DESTROY records created prior to July, 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3).

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- 189. Accounts Receivable documents** **DRAFT** DESTROY records created after July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years, 3 months after period covered by the account. Transfer to FRC after collection action is completed (NCI-217-76-3). DESTROY records created prior to July 2 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3).
- 190. Voucher Schedules with original invoices and supporting papers.** DESTROY records created prior to July, 2 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)
- 191. Statement of Transactions, SF-244 (Account Current) with copies of paid voucher schedules, schedules of cancelled checks, certificates of deposit, debt vouchers, allotment listings, payrolls and other supporting papers.** DESTROY records created prior to July, 2 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)
- 192. Accounts Current of State Department Disbursing Officers together with original invoices and supporting papers** DESTROY records created prior to July, 2 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975, 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)
- 193. Copies of contracts, purchase orders and related files on accounting data.** DESTROY 3 years after final action.
- 194. Household Goods Shipment Record (military) (copies).** DESTROY upon separation of member from Coast Guard.
- 195. Unit Commissary and Clothing Reports** Destroy when 4 years old.
- 196. Cross-Disbursing Statements of Transactions** Destroy when 6 years old.  
Transfer to FRC when 2 years old
- 197. Voucher copies supporting Cross-Disbursing Payments** Destroy when 6 years old.  
Transfer to FRC when 2 years old
- 198. Allotment Documents and Financial Plans** Destroy when 10 years old.  
Transfer to FRC when 4 years
- 199. Allotment Controls** Destroy when 10 years old.  
Transfer to FRC when 4 years old.
- 200. Cash Controls** Destroy when 10 years old.  
Transfer to FRC when 4 years old.
- 201. Accounting Posting Media** Destroy when 4 years old.  
Transfer to FRC when 2 years old.

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202. General subject files containing correspondence, reports and related matters on planning and administration of CG Supply Systems.

DESTROY when 4 years old.

203. Interservice Support Agreements between CG and other government agencies.

DESTROY 3 years after expiration date.

204. Host/Tenant Agreements between Coast Guard and other government agencies.

DESTROY 3 years after expiration date.

205. General subject files containing correspondence, reports and related matters on CG participation in the Controlled Materials Plan Program; District correspondence files.

DESTROY when 3 years old.

206. Contract and Procurement Files:

(a) Procurement files involving transactions of \$10,000 or less (except construction).

DESTROY 3 years after final payment.

(b) Procurement files involving construction of \$2,000 or less.

DESTROY 3 years after final payment.

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Description of Records

Authorized Disposition

(c) Contract files involving transactions over \$10,000 but less than \$25,000 (except construction).

<sup>+ 5 MONTHS</sup>  
DESTROY 6 years after final payment  
Transfer FY block to FRC after 2 years

(d) Contract files involving construction over \$2,000 but less the \$25,000.

<sup>AND 3 MONTHS</sup>  
DESTROY 6 years after final payment.  
Transfer FY block to FRC when 2 years old.

(e) Contract files involving transaction of \$25,000 or more.

<sup>6</sup> <sup>+ 3 MONTHS</sup>  
DESTROY ~~6~~ years after final payment  
Transfer FY block to FRC after 2 years.

207. Memorandum copies of Government Bills of Lading.

DESTROY when 4 years old.

208. Bills of Lading Registers.

DESTROY 4 years after final entry on register.

209. Issuing office memo copies of passenger transportation requests.

DESTROY 4 years after period covered by related account.

210. Passenger transportation records (correspondence, household applications, etc.).

DESTROY when 3 years old.

211. Transportation request registers.

DESTROY 4 years after all entries on records are cleared.

212. Reports of Excess Personal Property and Boards of Survey covering boats, vessels, aircraft and weapons.

DESTROY 20 years after disposal action completed. Transfer to FRC 3 years after disposal action completed.

213. Reports of Excess Personal Property and Boards of Survey except boats, vessels, aircraft, and weapons.

DESTROY 3 years after disposal action.

214. Unsolicited Contract proposal files.

DESTROY 3 years after final action.

215. Monthly Stores Statement.

DESTROY when 3 years old.

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DRAFT

- 216. Correspondence on policy matters affecting CG participation in Federal Cataloging program. DESTROY when 6 years old.
- 217. DOD Federal Supply Cataloging Material. DESTROY when superseded by revised edition.
- 218. Federal and Military Standards and Specifications Qualified Products List including CG MIL specifications and Purchase Descriptions. DESTROY when superseded or complete revision occurs.
- 219. Concurrences (with or without comments) on Standardization projects and simplification studies. DESTROY when CG is no longer registered as a user of the item.
- 220. Federal Item Identification Guides. DESTROY as superseded.
- 221. Title papers and easements for CG property. PERMANENT. Transfer to FRC 3 years after property leaves CG control. Offer to NARS 10 years after property leaves Coast Guard control.
- 222. Permits and licenses granted by the Coast Guard. DESTROY 1 year after expiration.
- 223. Permits and licenses granted to the Coast Guard. DESTROY 2 years after expiration.
- 224. Boards of Survey relating to real and related personal property (land and appurtenance).
  - (a) Land and/or appurtenances. DISPOSAL NOT APPROVED PERMANENT. Transfer to FRC 3 years after completed disposal. Offer to NARS 8 years after disposal (1CFPY) DESTROY 3 years after final endorsement.
  - (b) Appurtenances. Transactions of \$1,000 or less. DESTROY 3 years after final endorsement.
  - (c) Appurtenances. Transactions of more than \$1,000 and less than \$25,000 and over. DESTROY 3 years after final endorsement.
  - (d) Appurtenances. Transactions of \$25,000 and over. DESTROY 3 years after final endorsement.

DISPOSAL NOT APPROVED

Payroll and Pay Administration Records

Description of Record

Authorized Disposition

- 225. Workingfiles of directives and policy making material pertinent to payment and claims activities. DESTROY when obsolete or superceded.

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226. Jackets containing original allotment authorizations original or copies of forms approving and disapproving of dependency allotments paid to dependents of active duty military personnel and pertinent information.

227. Closed military pay records of separated members.

228. Claims files containing claims for military pay and allowances with supporting papers.

229. GAO Exception files.

230. Uncollectible over-payment files.

231. Supporting documents submitted by Navy Disbursing Officers and CG Authorized Certifying Officers.

232. Schedule of payments (comprehensive machine listings with related statistical information) for active and inactive duty for training of CG Reserve personnel

233. Reserve Pay files on deceased members (final Payment, date of death)

DESTROY records created prior to July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3).

DESTROY records created prior to July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-73-3).

DESTROY records created prior to July 2, 1975 10 years, 3 months after date of settlement. DESTROY records created after July 2, 1975 6 years, 3 months after date of settlement. Transfer to FRC 2 years after date of settlement (NCI-217-76-3)

DESTROY 5 years after completion of GAO waiver.

DESTROY records created prior to 2 July 1975 10 years, 3 months after date of determination of uncollectibility. DESTROY records created after July 2, 1975 6 years, 3 months after date of determination of uncollectibility. Transfer to FRC 2 years after date of determination (NCI-217-76-3)

DESTROY records created prior to July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)

DESTROY records created prior to July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1975 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3)

DESTROY records created prior to 2 July 1975 10 years, 3 months after date of settlement. DESTROY records created after 2 July, 1975 0 years, 3 months after date of settlement.

Transfer to FRC 2 years after date of settlement. (NCI-217-76-3)



Description of Record	Authorized Disposition
234. Memorandum copies of military payrolls, certification sheets and fiscal schedules involved in military payroll processing.	DESTROY when 4 years old.
235. TD Form W-4 "Employee Withholding Exemption Certificates."	DESTROY 4 years after Form is superseded or obsolete.
236 Control Registers and copies of change slips on retired payrolls (military).	DESTROY 2 years after issue date.
237. Retired Military Pay Case files.	DESTROY 25 years after termination of retirement status or payment of an annuity of beneficiaries under the provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. Transfer to FRC 2 years after termination of retirement or payment of annuity under RSFPP and SBP whichever is later.
238. Copies of Comprehensive Listings (civilian) covering a pay period.	DESTROY after 3rd pay period. (10CFR) Originals are kept by FAA Aeronautical Center, Okalahoma City, OK.
239. Copies of Employee Service Record Record Report.	DESTROY on receipt of subsequent listings.
240. New normal pay listings for retired military personnel.	DESTROY 6 years 3 months after issue date. Transfer to FRC 3 years after issue date.
241. Supporting documents submitted by HQ Authorized Certifying Officers.	DESTROY records created prior to July 2, 1975 10 years, 3 months after the period covered by the account. DESTROY records created after July 2, 1976, 6 years 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account (NCI-217-76-3).

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AUTOMATIC DATA PROCESSING RECORDS

Data Automation. This table covers documentation relating to objectives, concepts, policies and plans involving data automation, and the design of management and operational information systems, including equipment selection and evaluation.

Authorized Disposition

- |   |  |
|---|--|
| <p>242. Planning documents; master plan; feasibility studies with associated charts, and diagrams and supporting data.</p>  | <p>PERMANENT. Transfer to FRC 1 year after documents and/or systems are superseded. Offer to Archives 20 years after superseded. (2CFPY)</p> |
| <p>243. Documents relating to planning and preparing for acquisition of automatic data processing equipment, auxiliary equipment and attachments for existing equipment; system specifications, manufacturer's proposals and evaluations thereof; documents relating to installation of equipment reports of readiness reviews.</p> | <p>DESTROY 2 years after equipment is released.</p>  |
| <p>244. Performance evaluation reports.</p>   | <p>DESTROY 2 years after performance evaluation.</p>   |
| <p>245. Benchmark reports.</p>  | <p>DESTROY 2 years after installation of system.</p>   |
| <p>246.. Documentation relating to National, Federal, DOT and Coast Guard ADP standards.</p>  | <p>DESTROY when superseded or obsolete.</p>  |
| <p>247.. Documentation relating to establishment, review and approval of DOT/CG standard data elements and representations.</p>   | <p>DESTROY 2 years after cut-off or publication of data elements and representations.</p>  |

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Automatic Data Processing Systems And Procedures This table covers documentation relating to all aspects of application development operation. These include ADP systems specifications, applications program manuals, systems operating instruction and various management aids.

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<u>File designation</u>	<u>Consisting of</u>	<u>Which are</u>	<u>Then</u>
Data system specifications	Documents containing definitions of the system including functional requirements, data requirements, data requirements, system/subsystem specifications request for the system and authorized directives.	a) for a disapproved proposed system b) for an approved system for which all related magnetic data files are authorized for disposal c) for an approved system for which any related magnetic	dispose of one year after final action dispose of one year after termination of system maintain with related magnetic data file.

249

File specifications	definitions of the logical and physical characteristics of each record element or item of data in the file, including names and tags or labels relative position, form, format and size of data elements (record layout) specification of all codes used, cross reference code manual; security and privacy restrictions; integrity and validity characteristics; update and access conditions; recording medium and volume	a) for a system for which all related magnetic data files are authorized for disposal b) for a system for which any related magnetic data file is not authorized for disposal	destroy with final related magnetic data file maintain with related magnetic data file
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250

User guides	information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	handbooks, guides to date availability, and procedures for querying files	maintain with data systems specifications
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**DRAFT** which require retention of related data

**251** Report printed final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed

maintain one copy with related file specifications.

**252** Information retrieval routine Series of machine instructions designed to retrieve information from specific data systems

- a) general purpose programs
- b) special purpose programs for data files for which disposal is authorized
- c) special purpose programs for data files for which disposal is not authorized

dispose of when no longer needed  
dispose of with related data file.

maintain with related data file

Erasable Media. The term "erasable" media refers to tapes, drums disk packs, data cells, and other devicts that store data in an erasable form. The term "dispose of" is synonomous with the terms "scratch", "erased", and "blank."

**253** Scratch tape (blank tape) temporary magnetic tape used by the console operators or tape handlers to facilitate general computer runs such as sort and merge runs

new tape or tape not included in a tape library control or files whose retention dates have expired

available for immediate use or reuse

**254** Test tape magnetic tape used in testing a proposed system

a) used by programmer for individual run testing and not under library control

dispose of after system has been accepted or discontinued, whichever is sooner

b) system debugging test data or system acceptance test data

retain until related program is discontinued

**255** Initial data media containing data abstracted from source documents or other media and entered into system for first time

a) used for updating and required to support reconstruction of master file

dispose of after third update cycle

b) not required to support reconstruction of master file and/or used as input for one-time study, survey or experiment

dispose of after raw data is satisfactorily processed into final or reduced data.

c) officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document

dispose of in accordance with instructions applicable to the hare copy or other files documenting the same process, transaction, or case

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DRAFT

256 Intermediate data  
INPUT/OUTPUT

media containing output within or from one run to a subsequent run that manipulates, sorts, and/or moves data through the system; includes check-point, edit, correction, reject list, unmatched data eliminating error, and rerun files

used in updated system

dispose of after subsequent magnetic files that contain the accepted detail data have been created and proved satisfactory

b) used in a one-time study or survey

dispose of after master data file has been proven satisfactory

257 Information

media containing data created by the merging of prior master file with valid transaction data to create a new master file.

a) cumulative index to scientific and technical publications, and bibliographic and other non-record material

dispose of after third update cycle

258 Security backup

media that is identical in format to master file and retained as security in case master file is damaged or inadvertently erased

a) updated

disposed of after third update cycle

b) one-time study or survey

dispose of in accordance with standards for disposal of corresponding master file

259 Re-format-  
ted file

media containing essentially duplicate data from the master data file but which is created for use with other computer hardware

a) created for the specific purpose of information interchange

dispose of as provided for related master data file

b) of specific application for agency computer hardware systems

dispose of when determination is made that such format is unnecessary

DRAFT

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Nonerasable Media. Nonerasable media refers to ADP punched cards, paper tape, and other nonerasable machine readable media.

260 Source program deck and control cards contain source program.

Authorized Disposition  
DESTROY when no longer needed.

261 Program object decks and control cards.

DESTROY when no longer needed.

262 Job control cards.

DESTROY individual cards or sets of cards when no longer needed.

263 Punched cards or paper tape containing data abstracted from source documents.

Dispose of in accordance with user's published guidance.

264 Card files and nonerasable media which has been converted to erasable media.

DESTROY when no longer needed.

265 Punched cards that contain original entry data on film or written inserts. (Aperture cards)

Dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.

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Programs Division  
**DRAFT**

266. Budget Development System (BUDS). This system processes Resource Change Proposals (RCP's) into budget requirements, provides for the analysis and evaluation of specified needs, updates the file, and provides reports reflecting the status by each request, by summary form, and in various sequences.

Dispose of in accordance with user published guidance.

267. Personnel Allowance Listing (PAL). Produce reports for administering military personnel allowances; i.e., officer and enlisted billets by grade and specialty for all units. Assists three Personnel Divisions in furnishing personnel resources to meet their operational commitments.

Programs Division

Dispose of in accordance with user published guidance.

268. Program Budget-Vessel Aircraft, Shore Station. Provides "dollar data" that is matched with unit operational data to provide the Budget Division with operating costs for ships, aircraft, and shore stations.

Budget Division

Dispose of in accordance with user published guidance.

269. Classified Material Control System. Maintains a record of all classified material at Headquarters and produces a yearly inventory listing of all such material held by each Division.

Administrative Services Division

Dispose of in accordance with user published guidance.

**DRAFT**  
User

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<u>System Description</u>	<u>User</u>	<u>Disposition</u>
270. Motorboat Registration System. The system aids in administering the numbering of certain undocumented vessels which are required to be numbered by the Federal Boating Act of 1971. The file contains 150,000 records of boats registered in Alaska, New Hampshire, Washington, and American Samoa.	Management Support Staff	Dispose of in accordance with user published guidance
271. Motorboat Accident Statistics (MBA). System provides annual reports of statistical summaries on motorboat accidents. Boating accidents are categorized according to cause, number, people involved, type vessels involved, money involved, place occurred, and jurisdiction.	Management Support Staff	Dispose of in accordance with user published guidance.
272. Boating Safety Information System-Campaign Evaluation Share of Defect Notification Subsystem. System aids in monitoring defect notification campaigns being conducted by recreational boat manufacturers. The system produces campaign progress reports, campaign reference lists, and delinquency reports to facilitate the monitoring of manufacturer campaigns.	Boating Standards Division	Dispose of in accordance with user published guidance.

OFFICE OF ENGINEERING

<u>System Description</u>	<u>User</u>	<u>Disposition</u>
273. Electronic Installation Change and Maintenance (EICAM). Provides the status of equipment by CG Unit and failures by type of equipment.	Electronic and Naval Engineering Division	Dispose of in accordance with user published guidance.



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<u>System Description</u>	<u>User</u>	<u>Disposition</u>
274. Reporting of Federal Outlays by Geographic Location (OEG). Reporting of Federal Outlays by geographic location. Provide a semi-annual report to the Office of Economic Opportunity, which classifies Obligation and Fund Accounts by geographic location.	Financial Management Staff	Dispose of in accordance with user published guidance.
275. Financial Accounting Integration Data. Develops a primary source of financial information for accounting transactions involving governmental funds and resources.	Accounting Division	Dispose of in accordance with user published guidance.
276. Cost Target Reporting System. This system, an extension of the Financial Accounting Integrated Data System (FINAIDS), provides operating units and higher management with an analysis of actual costs incurred as compared to targets, and calculates measures of performance.	Accounting Division	Dispose of in accordance with user published guidance.
277. District Interim Accounting System (DIAS). This system mechanized the accounting procedure. Reports, printed on terminals are primarily for district use. Certain summaries are also sent to HQ to provide an overview of the unit's activity, to enable Coast Guard-wide reporting and reconciliation and to produce a historical record of all financial transactions processed.	Accounting Division	Dispose of in accordance with user published guidance.

System Description

User

Disposition

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DRAFT

278. Plant Property Reporting System. This system provides an interim plant property system for the Cape May and the Yorktown plant property officers. A master inventory plant property file is maintained.

Supply Logistics Division

Dispose of in accordance with user published guidance.

279. Supply Logistics-Phase II (Buoy Body Inventory System). Supplies an annual inventory of buoys by type for each buoy support base.

Supply Logistics Division

Dispose of in accordance with user published guidance.

280. Real Property System. Supplies an inventory and management type report on real property holdings owned by or leased to the Coast Guard.

Property and Resale Division

Dispose of in accordance with user published guidance.

281. Project Analysis and Control System (PAC). Provides a tool for management to control the cost of systems development and programming, measure performance, control all projects, report progress, analyze actual progress and costs in comparison to planned, maintain a history of projects and costs, determine work load and employee availability and take corrective measures.

Information Systems Division

Dispose of in accordance with user published guidance.

282. FIS Job Accounting System. Specific information about each system and its programs is maintained and presented via reports to enable the various levels of management to control and coordinate the day to day operation of the Information Systems Division.

Information Systems Division

Dispose of in accordance with user published guidance.

283. District Disbursement and Check-Writing System. This is an adjunct to the District Interim Accounting System. It provides facilities for monitoring and reporting disbursements and for printing vendor payment checks.

5TH District

Dispose of in accordance with user published guidance.

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System Description

<sup>User</sup>  
**DRAFT**

Disposition

284. District Plant Property. This system maintains control over personal property by custodian. Fields include unit, custodian, building number, room number, decal/ allowance/serial number, FSC, allowance quantity and item name.

5TH District

Dispose of in accordance with user published guidance.

285. District Subhead Managers Allotment/ Allotment by Quarters System. Provides facilities for maintaining an allotment by Quarters file.

5TH District

Dispose of in accordance with user published guidance.

286. Simplified Unit Requisitioning and Follow Up (SURF) System Support Program. The two support computer programs print MILSTRIP requisition data on form 1348.1 and interpret the Advice Status Code.

All District Comptrollers

Dispose of in accordance with user published guidance

287. District General Ledger. A sub-system of the District Interim Accounting System. It maintains each district's General Ledger by editing transactions, adding new accounts, changing descriptions and data elements, deleting accounts, updating the General Ledger with new transactions and producing a Monthly Trial Balance Report for the District and Headquarters.

Office of "f" in each District using a computer terminal

Dispose of in accordance with user published guidance.

288. District Milstrip reformat. The Military Standard Requisition and Issue Procedure is part of the Interim District System. It is the financial accounting procedure for bills received by the districts in their overall MILSTRIP operation.

Office of "F" in each District using a computer terminal

Dispose of in accordance with user published guidance.

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<u>System Description</u>	<u>User</u>	<u>Disposition</u>
<p>289. Standardized Aids to Navigation Data System (SANDS) Phase I. Designed to provide accurate and timely assistance in the administration and management of the aids to navigation mission. The primary objectives are to standardize aids to navigation equipment terminology, increase the amount of servicing data collected, and reduce the data entry effort on the part of the servicing units. It is a District oriented system, utilizing District data processing terminals.</p>	<p>Aids to Navigation Division</p>	<p>Dispose of in accordance with user published guidance.</p>
<p>290. Simplified Aids to Navigation Data System (SANDS). System for the administration and management of the aids to navigation mission of the Coast Guard districts. Information gathered includes unit work reporting, equipment failure, aid replacement data, aid station servicing data and equipment inventory.</p>	<p>Aids to Navigation Division</p>	<p>Dispose of in accordance with user published guidance.</p>
<p>291. Hazard Assessment Computer System (HACS). This system is the automated portion of the Chemical Hazard Response Information Systems (CHRIS). The system consists of a Chemical Properties File, an edit/update module, a series of hazard assessment models and a report generator.</p>	<p>Aids to Navigation Division</p>	<p>Dispose of in accordance with user published guidance.</p>
<p>292. Pollution Incident Reporting System II (PIRS). Generates a data base of pollution incident, response, and enforcement data. Satisfies the standard pollution information reporting requirements and provides a data base which can be used to study the effectiveness of the pollution enforce-</p>	<p>Marine Environmental Protection Division</p>	<p>PERMANENT.</p> <p style="margin-left: 40px;">a. Transfer any historical files of records, deleted from the data base to the National Archives when no longer needed.</p> <p style="margin-left: 40px;">b. Transfer the data base to the National Archives</p>

OFFICE OF PERSONNEL

**DRAFT**  
User

FEB 25 1977

System Description

Disposition

293. Civilian Personnel Accounting System. A personnel record is maintained for each civilian employee. All units submit copies of forms SF-52 and SF-50 to HQ where data is centrally coded for computer input. The file supplies the data needed to meet Department and minority personnel reporting requirements. Does not include the payroll function.

Civilian Personnel Division

Dispose of in accordance with user published guidance.

294. Military Personnel Accounting System (JUMPS) Contains comprehensive data for each active duty officer and enlisted member. The system will provide personnel management reports, payrolls, leave and earning statements, financial accounting and fund management reports, and other internal control and audit reports.

Personnel Support Division

Dispose of in accordance with user published guidance.

295. Retired Pay and Personnel Accounting System. Produces monthly pay checks for retired military personnel, tax data information on magnetic tape for the Internal Revenue Service, W-2 tax withholding information forms to members, payroll change slips, and personnel statistical reports.

Personnel Support Division

Dispose of in accordance with user published guidance.

296. FICA-W-2 Wage Reporting (FICA-W2). Provides a balancing and reporting system for active duty personnel at districts and HQ units; establishes direct input to the central FICA-W2 system; Provides FICA and income tax data; assists in adjusting payments made on estimated matching funds to the Social Security Administration; prepares magnetic tapes for the Social Security Administration, Internal Revenue

Personnel Support Division

Dispose of on accordance with user published guidance

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System Description

User

Disposition

297. Headquarters Military Payroll System. Produces the semi-monthly payroll and related accounting information for all military personnel whose pay records are maintained at HQ.

Personnel Support Division **DRAFT**

Dispose of in accordance with user published guidance.

298. Military Allotment System. Maintains a current file of authorized allotments for all active duty and retired members. Magnetic tape files are prepared monthly for the Treasury Department, where allotment checks and U.S. Savings Bonds are produced.

Personnel Support Division

Dispose of in accordance with user published guidance.

OFFICE OF OPERATIONS

System Description

User

Disposition

299. Operational Statistics (OPSTAT). Produces statistical reports on aircraft, boats, and cutters for each district. Reports reflect the activity within current Coast Guard programs and represent a bonafide method for planning, programming, and budgeting the program.

Plans and Programs Staff

Dispose of in accordance with user published guidance.

300. Operating Facilities Publication System. Maintains a master file of all units. System contains name, geographical location, city/state, OPFAC number, District/OPFAC, remarks, missions (coded), boats-aircraft allowance, geographic code and cutter specifications.

Plans and Programs Staff

Dispose of in accordance with user published guidance.

301. Investigative Case Control System. The data base is a five-year history file of all cases processed by the Intelligence Staff. The file is updated with cases being opened, closed, changed, or deleted. Reports consist of case listings according to certain selection criteria and case

Plans and Programs Staff

Dispose of in accordance with user published guidance.

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System Description

DRAFT

Disposition

302. Boat Administration and Management Report System (BAMS). Maintains a history of cost and maintenance data on all small boats. The cost data includes standard construction, and maintenance costs in three categories: hull, machinery, and electronics. Maintenance data includes maintenance cost and man-hours.

Search & Rescue Division

Dispose of in accordance with user published guidance.

303. Search and Rescue Statistics (SAR). Provides statistics for the Search and Rescue Division on three categories of data: Case, Response and Sortie. Source data is from the Assistance Reports in the Districts.

Search & Rescue Division

Dispose of in accordance with user published guidance.

304.

OFFICE OF MERCHANT MARINE SAFETY

System Description

User

Disposition

304. Merchant Marine Information System, Vessel Inspection Deficiency Subsystem. This system is to assure more effective cost beneficial examination of vessels subject to CG inspection.

Information and Analysis Staff

Dispose of in accordance with user published guidance.

305. Merchant Vessel Casualty System. Provides statistical data concerning the occurrences of vessel casualties, personnel injuries, death, or a combination of the above.

Merchant Vessel Inspection Division

Dispose of in accordance with user published guidance.

306. Merchant Seamen Locator System. Maintains files on active seamen and merchant vessels on active voyages.

Merchant Vessel Personnel Division

Dispose of in accordance with user published guidance.

DRAFT

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System Description

User

Disposition

307. Merchant Vessel Documentation System (MVD) Provides the capabilities of updating, maintaining, and publishing the Merchant Vessel Register (CG-408) on a timely basis and to integrate the information and data handled by this system into the Merchant Marine Information System.

Merchant Vessel Documentation Division

Dispose of in accordance with user published guidance.

OFFICE OF RESERVE

System Description

User

Disposition

308. Reserve Personnel Accounting System. A centralized file that is used by Headquarters for management of the Reserve officer and enlisted personnel.

Reserve Administration Division

Dispose of in accordance with user published guidance.

309. Reserve Pay and Point System. Maintains pay records and issues pay checks for drill duty to reservists. Also includes record-keeping functions to accumulate the member's points earned for retirement and promotion purposes based upon his performance (drills, active duty for training, and educational courses).

Reserve Administration Division

Dispose of in accordance with user published guidance.

310-320 RESERVED



DRAFT

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SECTION 7 CIVIL RIGHTS RECORDS

These records reflect civil rights activities in the Coast Guard covering implementation and evaluation of programs relating to the civil rights of civilian and military personnel and equal opportunity compliance as required by Title VI of Civil Rights Act of 1964 and Executive Order 11246, as amended.

Description of Records

Authorized Disposition

321. Records created by the Office of Civil Rights documenting the organizational development and administration of the Office of Civil Rights consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Civil Rights.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program.

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

322. General administrative correspondence, reports and related material (excluding primary records) for the various activities of civil rights.

Destroy when 5 years old.

323. Record material of a routine administrative or housekeeping nature.

Destroy when 3 years old.

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Description of Records

Authorized Disposition

324. Records pertaining to contract and Title VI compliance including mediation material case files and related material.

Destroy 15 years after subject contractor is no longer active. Transfer to FRC 5 years after inactive.

325. Records created in receipt and processing of complaints of discrimination by civilian employees and military members.

a. Civilian Employees

(1) Civilian Employees Official Equal Opportunity Case Files, as described by 5CFR 713.222

Original submitted to the Department of Transportation for resolution and disposal according to their instructions.

(2) Copies of case files submitted to DOT per above item.

Destroy 1 year after final adjustment of the case by DOT or USCSC

B. Military members case files and all background documents pertaining to the case.

Destroy 4 years after final adjustment of the case.

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326. Records of appeals and descisions in descrimination complaint cases.

Destroy 5 years after final adjustment.

327. Periodic reports on program review and minority group employment, etc.

DESTROY when 10 years old. Transfer to FRC when 5 years old.

328. Seminar Reports.

Destroy when 5 years old.

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SECTION 8 SAFETY PROGRAMS RECORDS

These records relate to the development, implementation and administration of a safety program to provide maximum practical degree of safety for personnel, equipment, and other resources for which the Coast Guard is responsible, embracing the fields of general safety, flight safety, surface vessel safety, fire safety, driver safety, and industrial safety.

Description of Records

Authorized Disposition

331. Records created by the Safety Programs Division documenting the organizational development and administration of Safety Programs consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Safety Programs.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

332. General administrative correspondence and related material (excluding primary records) for the various activities pertaining to the safety program.

DESTROY when 5 years old.

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Description of Records

Authorized Disposition

333. Routine correspondence of an administrative and housekeeping nature.

DESTROY when 3 years old.

334. Original accident reports and annual summaries relating to personal injury, motor vehicles and property damage cases.

DESTROY when 3 years old.

335. Aircraft accident and incident analysis reports.

DESTROY when 30 years old.  
Transfer to FRC when 5 years old.

336 thru 340 ~~Reserved~~

SECTION 9 MEDICAL AND DENTAL RECORDS

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The records described in this section relate to the development and administration of a medical care program for Coast Guard personnel and their dependents and the administration of a health service program for civilian employees.

Description of Records

Authorized Disposition

341. Records created by the Office of Health Services documenting the organizational development and administration of the Office of Health Services consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Health Services.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

342. General administrative correspondence, reports and related material (excluding primary records).

DESTROY when 3 years old.

343. Routine correspondence of an administrative and housekeeping nature.

DESTROY when 3 years old.

Military, Dependents and Retirees

344. Medical and dental appointment records (daily).

DESTROY when 6 months old.

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Description of Records

Authorized Disposition

345. General correspondence files relating to Physical Evaluation Boards.

DESTROY when 2 years old.

346. Case files of Physical Evaluation Board's proceedings (copies).

DESTROY 1 year after final action is directed by the Commandant.

347. Index card of Physical Evaluation Board cases.

DESTROY when 5 years old.

348. Medical Board Report

A. Original report filed in official HQ health record. Dispose of with official HQ health record.

B. DESTROY all other copies when 2 years old.

349. Reports of medical examination and reports of medical histories such as SF-88, SF-93.

A. Original report filed in HQ health record. Dispose of with health record.

B. DESTROY all other copies when 2 years old.

350. Laboratory Reports such as SF-545a through SF-557q.

A. Transcribe information on to SF-600 and file in individual's health record.

B. DESTROY all copies when 1 year old.

351. Laboratory records

DESTROY when 2 years old.

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352. Official military health record, includes the dental record.

Handle in accordance with Chapter 4, Medical Manual. Transfer to NPRC, (MPR) 9700 Page Boulevard St. Louis MO (6) months after separation.

353. Medical X-rays (70mm X-ray film)

File in individual's official HQ health record. Dispose of with official HQ health record.

354. Medical x-rays other than those covered above, x-ray logs or index records relating to military personnel and their dependents. These x-rays consist of photographic negatives made with aid of x-rays which are used in medical diagnosis to locate fractures, malformations and pathological conditions of tissue.

DESTROY when 20 years old by salvaging. Transfer to FRC when 5 years old.

354. Dependents' medical and dental record.

Transfer to NPRC (CPR) 111 Winnebago St., St. Louis, MO, 2 years after last activity. DESTROY 25 years from the date of the latest document in record.

355. International Certificate of Vaccination (PHS Form 731)

Upon final separation from Coast Guard deliver Certificate to individual.

356. Prosthetic case records such as NAVMED 952.

DESTROY when 1 year old.

357. Prescription files containing general alcohol, narcotics and barbiturates required by military personnel and their dependents.

DESTROY when 3 years old.

358. Alcohol prescription log, controlled drug log and narcotic prescription log.

DESTROY when 5 years old.

359. Records of Public Health Service officers detailed to Coast Guard.

Upon completion of CG assignment, transfer records to: Commission Personnel Operation Division, Parklawn Building, Rm: 4A-10, 5600 Fisher Lane, Rockville, MD, 20852 (PHS Disposal Schedules apply).

360. Health care and dental records for retired military personnel.

Transfer to NPRC (CPR) 111 Winnebago St., St. Louis, MO, 2 years after last activity. DESTROY 50 years from the date of the latest document in record.

361. Reports, logs, and forms not otherwise provided for and used for the administration of medical activities and in the treatment of patients.

DESTROY when 3 years old.

*see form 366*



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362. Log or registers of visits to dispensaries, first aid rooms, and Health Units.

A. Where information is summarized

DESTROY 3 months after last date on log or register.

B. Where information is not summarized elsewhere

DESTROY 2 years after date on log or register.

363. Health record case files comprising forms, correspondence and related papers documenting employee medical history.

DESTROY 6 years after date of last papers in the file.

364. Pre-employment physical examination Health Qualification Placement Records, disability retirement examination.

Becomes a part of the Official Personnel Folders (SF-66) upon separations from the service. May be maintained separately from the folder prior to separation. (see ch. 293 subchapter 3, of Federal Personnel Manual.)

365. Copies of statistical summaries and reports relating to employees health retained by reporting unit, and related papers.

DESTROY 2 years after date of summary or report.

366. Reports, logs and forms not otherwise provided for and used for the administration of medical activities and in the treatment of patients.

DESTROY when 3 years old.

*see item 361*

*367 thru 370 Reserve*

The records in this section relate to legal determinations of the Chief Counsel in support of Coast Guard programs and records relating to the Coast Guard legislative program, military justice, claims and litigation, enforcement of federal maritime laws and other laws affecting the Coast Guard and its personnel.

Description of RecordsAuthorized Disposition

371. Records created by the Office of Chief Counsel documenting the organizational development and administration of the Office of Chief Counsel consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Chief Counsel.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

372. Routine correspondence of a general administrative or housekeeping nature.

DESTROY when 3 years old.

373. Files covering claims for and against the United States incident to operations of the Coast Guard.

DESTROY 8 years after close of case. Transfer to FRC 1 year after close of case.

374. Files relating to all litigation by and against the United States in which the Coast Guard has an interest.

DESTROY 8 years after close of case. Transfer to FRC 1 year after close of case.

375. Formal Boards of Investigation. Includes significant (substantial loss or destruction of property or personal injury) Line of Duty Investigations-Boards of Survey, and Casualty Investigations resulting from motor vehicle, aircraft,

PERMANENT. Transfer to FRC 3 years after close of case. Offer to NARS 20 years after final action is taken. (3CFPY)

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Description of Records

Authorized Disposition

376. Administrative reports including exhibits and final action sheets relating to incidents of minor importance.

DESTROY 4 years after close of case.  
Transfer to FRC after close of case.

377. Applications for patents by CG personnel and recommendations by the Chief Counsel and related correspondence and background papers, for which patents not issued.

DESTROY. Destroy 20 years after legal opinion rendered. Transfer to FRC 10 years after legal opinion rendered.

378. Legal opinions as rendered by the Chief Counsel.

a. Major opinions concerning substantive decisions which have far reaching effect or precedential value

PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old (1 CFPY)

b. Opinions other than those covered in a., above.

DESTROY 10 years after <sup>final</sup> opinion is rendered or when usefulness for reference or research is served, whichever is later.

379. (Reserved).

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Authorized Disposition

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Description of Records

380. Legislative and regulatory files.

- a. Legislative history of CG proposed legislation.
- b. CG prepared comments on other legislation.

- c. Background material on items published in the Federal Register and Code of Federal Regulations.

381. Merchant Seaman Appeals. Originals of final agency actions consisting of Commandant's appeal decisions in suspension and revocation proceedings against merchant seamen's documents. See Section K for related data.

382. Civil penalty appeals case files.

383. Navigable waters determinations and research materials provided by District Staffs.

384. Courts-Martial Case Files

- a. All General Courts-Martials, and Special Courts involving Bad Conduct Discharge.

- b. Special Courts-Martials other than those involving Bad Conduct Discharges

- c. Summary Courts-Martial Files.

- (1) Courts convened after 5 May 1950

- (2) Courts convened prior to 5 May 1950.

385. Court of Military Review

386. Contracts appeals case files.

- a. PERMANENT. Transfer to FRC 5 years after date of final action. Offer to NARS 10 years after final action. (2 CFPY)
- b. DESTROY. when 20 years old. Transfer to FRC 1 year after applicable Congress adjourns
- c. Maintain at agency as an active working file. Destroy when inactive.

Maintain at agency (G-IMI) as an active working file. Destroy when inactive.

DESTROY 10 years after close of case. Transfer to FRC 5 years after close of case.

Maintain at agency (G-IMI) as an active working file and as documentation of further jurisdictional determinations

PERMANENT. Transfer to FRC 2 years after date of final action. Offer to NARS 10 years after final action (6 CFPY)

DESTROY. 10 years after date of final action. Transfer to FRC 2 years after date of final action.

DESTROY. 10 years after date of final action. Transfer to FRC 2 years after date of final action.

PERMANENT. Transfer to FRC 2 years after date of final action. Offer to NARS 10 years after date of final action.

Upon completion of review transfer to appropriate case file and dispose of accordingly.

DESTROY 10 years after close of case  
~~TRANSFER to FRC~~ after close of case

ESTERHOOD RESERVE

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These records relate to the organization and administration of the Coast Guard Commercial Vessel Safety Program with ultimate responsibility for the enforcement of navigation and vessel inspection laws and laws governing safety on structures subject to the provisions of the Outer Continental Shelf Lands Act. The records reflect relations with maritime industry, including seamen's organizations, ship operators, shipbuilders and manufacturers of equipment, etc. on safety matters.

Description of RecordsAuthorized Disposition

401. Records created by the Office of Merchant Marine Safety documenting the organizational development and administration of the Office of Merchant Marine Safety consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Merchant Marine Safety.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

402. General administrative correspondence, reports and related material (excluding primary records) from various activities of Merchant Marine Safety.

DESTROY when 2 years old.

403. Record material of a routine administrative or housekeeping nature.

DESTROY when 1 year old.

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Description of Records

Authorized Disposition

404

RESERVED

405. Merchant Seaman Appeals. Copies of final agency actions consisting of Commandant's appeal decisions in suspension and revocation proceedings against merchant seamen's documents. Included are cross reference files and background material.

Maintain at agency as an active working file (2 ~~EPY~~) Destroy when inactive.

406. Merchant Marine Industry Training Program records. Contains correspondence between student and Office Chief either direct or via the industry training facility.

- A. Hold so long as individual remains on active duty. When inactive status takes place, withdraw final report and transfer it to FRC. DESTROY when 30 years old.
- B. DESTROY remainder of file.

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Description of Records

Disposition

407. Traveling Inspectors records consisting of correspondence, reports and other data related to inspection activities of Merchant Marine Safety

Transfer to commercial vessel case files on completion of inspection or related action. See items 10 and 20. DESTROY with related file.

408. Extra copies of Intergovernmental Maritime Consultative Organization (IMCO) documents relating to technical meetings at which the United States is represented on matters such as fire protection, subdivisions and stability, fishing vessels, bulk cargos, tonnage measurement, carriage of hazardous materials and other technical areas for which IMCO is responsible.

Maintain at agency as an active working/reference file. DESTROY when superseded or obsolete or usefulness has been served, which ever is later.

409. Merchant Marine Safety Project Files.

DESTROY 3 years after completion of project.

410. Commercial Vessel Case Files.

a. Correspondence and forms relating to individual merchant vessels on alteration, construction, conversion, design, equipment and inspection, plans, some "type" approval and dangerous articles data.

(1) Case files which have been microfilmed.

DESTROY after vessel case file is micro-filmed and quality content edit of microfilm is completed. DESTROY micro-film 1 year after vessel is listed as lost, abandoned, destroyed, or scrapped (IADS). Microfilm in accordance with FPMR 101-11.5 applying standards for non-permanent records to be held for 10 years or more.

(2) Case files which have not been microfilmed.

DESTROY 1 year after vessel is lost, abandoned, destroyed or scrapped.

b. Loadline certificates calculations, annual inspection reports.

(1) Loadline certificates/calculations.

Separately maintain the certificates and calculations in the CFA. DESTROY 1 year after vessel is lost, abandoned, destroyed or scrapped.

(2) Annual inspection reports.

Maintain the annual inspection reports in the CFA. DESTROY 1 year after vessel is lost, abandoned, destroyed or scrapped.

c. Admeasurement case files containing plans, forms, related data, excluding Subchapter T Vessels.

Separately maintain paper copy in CFA. Subchapter T admeasurement case files remain at MIO's. DESTROY 1 year after vessel is lost, abandoned, destroyed or scrapped.

411. RESERVED  
412.

413. Plans and correspondence for "type" approval equipment for merchant vessels. Included but filed separately are:

a. Life Saving Equipment (CG-190, 160 Series)

DESTROY 15 years after termination of approval. Transfer to FRC 3 years after termination of approval.

b. Electrical Equipment (CG-190, 161 Series)

DESTROY 5 years after termination of approval. Transfer 2 years after termination of approval.

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## DESCRIPTION OF RECORDS

## AUTHORIZED DISPOSITION

- A-11-2*
- c. Engineering Equipment (CG-190, 162 Series) DESTROY 15 years after termination of approval. Transfer to FRC 3 years after termination of approval.
- d. Materials (CG-190, 164 Series) DESTROY 15 years after termination of approval. Transfer to FRC 3 years after termination of approval.
- e. Acceptable Hydraulic Components (CG-190) DESTROY 5 years after listing is terminated (i.e., becomes a standard).
- f. Watertight Doors (Letter of Approval) (CG-190, 163 Series) DESTROY 20 years after manufacturer discontinues design. Transfer to FRC when manufacturer discontinues design.
- g. Nuclear Pressure Vessels (Plans and Letter of Approval) DESTROY 20 years after nuclear vessel is deactivated. Transfer to FRC when nuclear vessel is deactivated.
- A.R.* Boiler Drawings (Plans and Letters of Approval)" "MICROFILM after vessel, or last vessel of a class has been completed. DESTROY microfilm after vessel or last vessel of a class has been officially listed as lost, scrapped, destroyed or abandoned."
- i. Pressure Vessels (Plans and Letter of Approval) DESTROY 5 years after last activity.
- J.D.* Welding and Nondestructive Examination Procedures Maintain at agency as an active working file. Destroy when inactive.
- k. Electrical Equipment Listing (CG-293) DESTROY when cancelled from listing.
- L.M.* Affidavits for valves, fittings, flanges (Form CG-935A). DESTROY 2 years after termination.
- m.a.* Manufacturers' Plan File (alphabetical by manufacturer and chronological by date of plan review; consists of plan(s) of pressure vessels and piping system(s) component(s). DESTROY 5 years after review date.
- n.e.* Affidavited Manufacturers Catalog (CG-190) DESTROY after 5 years or on receipt of new catalog.
- o.D.* Unfired Pressure Vessel Data Report (Manufacturers' Certification) CG-2936. DESTROY 15 years after receipt from marine inspection office (20 years from date of approval)."
414. Correspondence of dimensions and design with builders and naval architects for proposed ship building. DESTROY 5 years after initial submission of design if project is cancelled. Merge with commercial vessel case file if project is developed. See item 10. DESTROY with related file.



415. Automated Commercial Vessel Casualty File - Automated system containing data relating to vessel casualties as defined by 46 CFR 4.05.

Updated annually. Tape maintained at agency for life of Agency.

416. Automated Vessel File. Automated system containing certain data elements which appear on a vessel's Certificate of Inspection.

Updated monthly. Tape maintained at agency for life of the Agency.

Merchant Marine Technical Records

417. RESERVED.

418. a. Equipment Approval (5x8 cards)

White cards: DESTROY on receipt of white renewal or blue termination card.  
Blue cards: DESTROY on receipt of white renewal statement card.

b. CGHQ-10030 flimsy (advance copy)

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

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

PERMANENT. Transfer to FRC after 2 fiscal years. Offer to NARS 20 years after event. (1 CFPY)

Merchant Vessel Inspection Records

420. Merchant Vessel Inspection Files. Active certificates of Inspection Amendments, Applications for waiver of navigation laws and waiver orders and Division Inspection records. Permits to carry excursion party passenger ship

a. Maintain active records in G-MVI CFA.  
b. Transfer inactive records to FRC ~~unless~~ <sup>when</sup> vessel becomes inactive. DESTROY one year after vessel is lost, abandoned, destroyed or scrapped.

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Safety Certificates, Report of Structural Failure on Inspected Vessel, Report of Equipment Failure on Inspected Vessel, Cargo Ship Safety Certificates, Report of Traveling Inspectors and related papers, letters reporting change of status of vessels.

421. Reports of Material Inspection, Forms CG-2801.

DESTROY when 1 year old.

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

DESTROY when 10 years old.

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

DESTROY when 1 year old.

424. Letter reports of loss, theft, or transfer of custody to another office of boiler sealing plier dies.

DESTROY when 1 year old.

425. Casualty Board case files set up to investigate major marine disasters including papers such as those pertaining to organization of the Board, proceedings, hearing, decisions, and the investigative report and the Action of the National Transportation Safety Board (NTSB), together with inquiries, exhibits, photographs and ADP print-outs.

a. Record copy of investigation report maintained at agency as active reference file  
b. Case File-DESTROY 25 years after report is published. Transfer to FRC 1 year after report is published.

426. Casualty case files of investigations of marine casualties including personal injuries containing reports of marine casualties and records including transcripts of testimony, inquiries, exhibits, photographs and ADP print-outs.

Transfer to FRC when 5 years old. DESTROY when 10 years old.

427. Miscellaneous Vessel Casualties.

DESTROY when 5 years old.

Merchant Vessel Personnel Records

(Custodian of record copy of history of endorsements and shipment and discharge of merchant seamen).

Description of Records

Authorized Disposition

**428.** Seaman's personnel jackets and indexes thereto.

Transfer to FRC 3 years after last discharge is added to jacket or evidence of death is received **whichever is sooner**

DESTROY 50 years after last discharge or evidence of death is received, **whichever is sooner**

**429.** Original Card Records of licenses issued to merchant marine officers containing date and place of birth, citizenship, type and serial number of license and where and when issued, suspension, revocation, restoration, renewal, notice of failure in examination and, record of endorsement on license.

DESTROY 30 years after license expires. Transfer to FRC 12 years after license expires.

**430.** Original of Shipping Articles containing agreements between seaman and masters and/or companies.

DESTROY when 50 years old. Transfer to FRC when 3 years old.

**431.** Coast Guard Administrative Law Judges Decision and Orders.

PERMANENT. Transfer to FRC 5 years after final administrative action. Offer to NARS 20 years after final administrative action (2CFPY)

**432.** Merchant seaman suspension and revocation appeal files. Record copy of transcript of proceedings and related correspondence.

→ Transfer to FRC when 1 year old. DESTROY when 25 years old.

**433.** Disciplinary record cards.

Transfer to seaman's jacket upon notice of death. (See item 28). Otherwise retain in CFA.

**434.** Statistical reports of marine investigations, hearings, shipment and discharges containing records of merchant vessel personnel actions with related summaries.

DESTROY when 10 years old.

**435.** Record copy of National Appeal Board Security Hearing wire records, stenographic tapes or notes in all cases which have resulted in continued denial for Port Security Card or Mariners Document.

Transfer to FRC after Commandant notifies holder of document or applicant for document that appeal is denied. DESTROY 25 years after appeal is denied.

**436.** Certificate of Discharge to Merchant Seaman (CG-715A) and Records of Entry in Continuous Discharge Book (CG-7120).

DESTROY when information is transferred to Certificate of Seaman's Service (CG-723). See item 28.

437. File folders (covering currently documented vessels) labeled with current vessel name, filed alphabetically, and containing documentation pertaining to designation of home port and correspondence relating to the specific vessel.

PERMANENT. Transfer to FRC 2 years after vessel has been removed from documentation. Offer to NARS 20 years after removal from documentation. (3 CFY)

438. Files containing background material used in preparation of procedures on documentation, including build and rebuild, title and ownership, mortgaging, home and hail port, change of name, service and use of vessels, issuance of documents, collection of fees, assessment of penalties.

DESTROY when 10 years old or when usefulness has been served whichever is sooner.

439. General correspondence files concerning requests for procedures in effect and information concerning documentation.

a. Precedent files containing unique cases and specific legal decisions.

Maintain at Headquarters as an active working file. DESTROY when inactive.

b. All others

DESTROY when 2 years old.

440. Original reports of Monthly Documentation Transactions.

DESTROY when 5 years old.

441. Marine Documents (License, enrollment and license, or Register) filed numerically by official number and containing a copy of the award of official number, original of last surrendered document and a copy of the current marine document.

PERMANENT. Transfer to FRC 2 years after vessel has been removed from documentation. Offer to NARS 30 years after vessel has been removed from documentations. (3 CFY)

442. Card index of official numbers awarded, showing history of vessel.

Maintain at Headquarters as an active working file. DESTROY when inactive.

443. Card index of history of vessels by name which have been withdrawn from documentation.

Maintain at Headquarters as an active working file. DESTROY when inactive.

#### Hazardous Materials Records

444. Rules, regulations and directives case files containing background material used in preparation of rules and

DESTROY 30 years after publication.  
Transfer to FRC 10 years after publication.

Description of Records

**DRAFT** Authorized Disposition

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445. Chemical Engineering files containing correspondence, reports and related materials on general policies for transporting chemicals and other hazardous materials.

DESTROY when administrative needs have been met.

446. Certifications for dangerous articles, as ships stores and supplies including pertinent correspondence, "type" approval case files (CG-190).

DESTROY 10 years after expiration of approval.

447. Special exemptions (letter of exception) for explosives and other dangerous articles including correspondence (case file).

DESTROY 10 years after permit is expired or revoked. Transfer to FRC when permits expire or are revoked.

448. Copy of Department of Transportation Exemption with concurrence by Coast Guard and related correspondence.

DESTROY when expired or revoked.

*449 thru 450 cancelled*

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**SECTION 12 OPERATIONS AND READINESS RECORDS**

**FEB 25 1977**

**These records describe the operational responsibilities of the Coast Guard as they relate to search and rescue, marine sciences, military readiness, intelligence and communications activities.**

Description of Records

Authorized Disposition

451. Records created by the Office of Operations documenting the organizational development and administration of the Office of Operations consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Operations.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

452. General administrative correspondence, reports and related material (excluding primary records) for the various activities of operation.

DESTROY when 10 years old.

453. Correspondence files of a routine administrative or housekeeping nature.

DESTROY when 3 years old.

454. Special programs project files consisting of correspondence, reports, etc. on administrative matters such as budget, coordinating operation-activities.

DESTROY record material from case files when 3 years old.

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Description of Records

Authorized Disposition

456. Annual Inventory of Operational statistical report of Cutters , Boats and A/C.

PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old. (1 CFPY)

457. RESERVED

458. RESERVED

459. Operating Plans with Change Orders

DESTROY when 20 years old. Transfer to FRC when 5 years old.

460. Longterm impact or policy studies with related material pertaining to operational plans.

DESTROY when 30 years old. Transfer to FRC when 12 years old. (1CFPY)

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Description of Records

DRAFT

Authorized Disposition

Intelligence Records

461. Intelligence files (personnel-type folders consisting of various intelligence data including correspondence, reports of investigations on military and civilian personnel, (merchant seaman and waterfront workers previously sent to FRC) pursuant to EO 10173 and 10450 with alphabetical index thereto.

DESTROY 20 years from date of transfer to FRC. Transfer to FRC 1 year after date of last action. Transfer will be held in abeyance for any individuals still on active duty in the Coast Guard.

462. 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.

PERMANENT. Transfer to FRC when 3 years old. Offer to NARS ~~when~~ 15 years old. (2CFPY)

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

DESTROY superseded cards 10 years from date of issue.

464. Records of Port Security Cards issued (CG-3177).

DESTROY 10 years from date of issue/denial.

Communications Records

465. Communications Summary.

DESTROY when 2 years old.

466. Inventories, reports such as transfer and destruction reports and related papers on registered publications used as controls over security of classified records held throughout the Coast Guard.

DESTROY in accordance with effective editions of CMS-4.

467. Communication Center copy of messages sent and received.

DESTROY when 6 months old.



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Description of Records

Authorized Disposition

Search and Rescue Records

DRAFT

468. Flag Plot duty officers logs of daily operations. PERMANENT. Transfer to FRC when 5 year old. Offer to NARS when 20 years old. (.5 CFPY)
469. Correspondence files containing inquiries from congressional and civilian personnel about current operational activities. DESTROY when 10 years old. Transfer to FRC when 2 years old.
470. Copies of International Civil Aviation Organization files (ICAO) consisting of manuals published by the organization, preparation for meetings, records of significant meetings, etc. DESTROY as superseded.
491. Copies of meetings of Interagency Group for International Aviation (IMCO). DESTROY when 2 years old, after removal of items of historic value. (CG policy input)
492. Copies of Intergovernmental Maritime Consultative Organization (IMCO) SAR documents and correspondence. DESTROY when 5 years old, after removal of items of historic value. (CG policy input)
493. Master files of Interagency Committee on Search and Rescue (ICSAR) Meetings, Establishment and Membership. PERMANENT. Transfer to FRC when 15 years old. Offer to NARS when 20 years old. (.5 CFPY)
494. Flag Plot Search and rescue case files consisting of correspondence and reports on specific cases which have been retained for their importance for historical reasons or otherwise. PERMANENT. Transfer to FRC when 3 years old. Offer NARS when 20 years old. (.5 CFPY)
495. Message Situation Report Files. DESTROY when 2 years old. Remove those to be filed with SAR case files.
496. Assistance Reports. (CG-3272) DESTROY when 10 years old. Transfer to FRC when 1 year old.

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Description of Records

Authorized Disposition

Aviation Records (SAR)

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477. Aircraft records concerning status, assignments, overhauls, IRAN and deployment. DESTROY 3 years after aircraft leaves CG control.
478. Copies of Aircraft accident and incident reports submitted in accordance with CG-405. DESTROY when 3 years old.
479. Aircraft disposal documents and attached history card. DESTROY when 7 years old.
480. Aircraft Inventory Reports. DESTROY when 20 years old. Transfer to FRC when 10 years old.
481. Semi-annual Pilot and Qualification Reports. DESTROY when 3 years old.
482. Executive Flight Schedules. DESTROY when 3 months old.
483. Executive Flight Requests and Passenger Manifests. DESTROY when 3 months old.

Surface Facilities Records (SAR)

484. SAR Cutter files consisting of action documents giving brief operational and biographical history of each ship with information on building, acquisition, commissioning, alterations, movements and actions. PERMANENT. Transfer to FRC when vessel leave CG control. Offer to NARS 5 years after vessel leaves CG control. (2 CFPY)
485. Shore SAR units, Group offices and facilities files with copies of correspondence, pictures and related materials on the operation of each SAR unit or Group office from establishment to disestablishment. PERMANENT. Transfer to FRC when 2 years old. Offer to NARS when 20 years old. (.2CFPY)
486. Small boat case files containing construction and alteration records for small boats used by Coast Guard. DESTROY 3 years after boat leaves Coast Guard control.
487. Files containing correspondence with districts and units on use and allowances of small boats. DESTROY when 3 years old.

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Description of Records

Authorized Disposition

Marine Sciences Records

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488. Reports of oceanographic operations and statutory patrol (includes International Ice Patrol Bulletins and CG Oceanographic Reports). PERMANENT. Transfer to FRC 20 years after date of report. Offer to NARS 20 years after date of report. (1CFPY)
489. Marine Science Cognizance Report. DESTROY when 3 years old.
490. International Civil Aviation Organization forms and reports. DESTROY when 5 years old.
491. CG originated operations plans and orders for all special patrols and operations. PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 10 years old. (1 CFPY)
492. Non-CG originated plans and orders for all special patrols and operations. DESTROY when 5 years old.
493. Ship files (oceanographic) documenting construction, acquisition, commissioning, alteration, movements and other actions. PERMANENT. Transfer to FRC when ship is no longer a CG facility. Offer to NARS 10 years after transfer to FRC (1CFPY)

Enforcement of Laws and Treaties

494. High Endurance Cutter Ship allowance files containing requests, authorization and related papers on equipment allowances for housekeeping and operational needs. DESTROY when 10 years old.
495. High Endurance Cutter Ship allowance memorandums, lists to individual ships and listings issued to entire Service relating to approved equipment allowances for various types of ships. DESTROY 6 months after obsolete or superseded.

6. High Endurance Cutter Ship records and characteristics cards documenting status and movement.

DISPOSAL NOW  
APPROVED

~~PERMANENT. Transfer ship files to FRC when ship is no longer a CG Facility. Offer to NARS 10 years after transfer to FRC. (ICFPY)~~

7. Enforcement of Laws and Treaties incident report and Data report.

PERMANENT. Transfer to FRC 25 years after date of report. Offer to NARS 20 30 years after date of report. (ICFPY)  
SC 4-13-78

### Military Readiness Records

8. Periodic inventory, status, training and competition report concerning ordnance and munitions (including loss), weapons systems, unit training and achievement and similar reports readiness training. Reports of leakage or loss of radiac sets and operational test sources.

DESTROY when 3 years old.

9. Reports on mobilization of retired regular and reserve personnel.

DESTROY when 2 years old.

10. Summaries of Gunnery and ASW training Exercises.

DESTROY when 5 years old.

11. Monthly summaries of operations in Vietnam.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old.

### Ice Operations

12. Ships, files (Icebreakers) as in ELT section above.

PERMANENT. Transfer to FRC when ship is no longer a CG facility. Offer to NARS 10 years after transfer to FRC. (ICFPY)

13. Icebreaker Cruise Reports.

PERMANENT. Transfer to FRC when ship is no longer a CG facility. Offer to NARS 10 years after transfer to FRC. (ICFPY)

14. Icebreaking Report.

DESTROY when 5 years old.

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SECTION 13 MARINE ENVIRONMENT AND SYSTEMS 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.

Description of Records

Authorized Disposition

511. Records created by the Office of Marine Environment and Systems documenting the organizational development and administration of the Office of Marine Environment and Systems consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Marine Environment and Systems.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

512. General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities.

DESTROY when 3 years old.

513. Correspondence files of a routine administrative or housekeeping nature.

DESTROY when 3 years old.

514. Reports, summaries and routine correspondence from other agencies

DESTROY when 2 years old.

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515. Message reports of vessel movement.

DESTROY when 6 months old.

516. Aids to navigation master files consisting of applications and authorities granted to them by the Commandant with supporting papers, charts and photographs for establishment, change or discontinuance of aids to navigation.

a. Major Aids

PERMANENT. Transfer to FRC when <sup>3</sup>20 years old. Offer to NARS when 20 years old (1 CFY).

~~b. Minor Aids~~

~~PERMANENT. Transfer to FRC when 3 years old. Offer to NARS when 20 years old (1 CFY).~~

517. DMAHC Notices to Mariners concerning changes to aids to navigation.

DESTROY when 10 years old.

518. Local Notices to Mariners concerning changes in aids to navigation forwarded from CG Districts.

DESTROY when 5 years old.

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Description of Records

Authorized Disposition

519. Monthly reports furnishing technical data, etc. on loran stations and compilations. DESTROY when 1 year old. FEB 25 1977
520. Monthly compilations of reports on loran stations. DESTROY when 1 year old.
521. <sup>EXTRA COPIES OF</sup> Light lists of aids to navigation; bound copy. DESTROY when 25 years old.
522. Light lists of aids to navigation, loose-leaf master light list with sources of information for correction. PERMANENT. Transfer to FRC when 15 years old. Offer to NARS when 25 years old. (2 CFPY)  
20
523. Copies of reports of International Marine Pollution Prevention Convention Violations. DESTROY when 3 years old.
524. Permits for bridges across navigable waters (case files). PERMANENT. Transfer to FRC 1 year after completion of the project. Offer to NARS 10 years after completion of project (3CFPY)
525. Drawbridge operation regulations (case files). Destroy 2 years after bridge is made a "fixed bridge" or bridge is removed from waterway. Transfer to FRC when 5 years old.
526. Obstructive Bridge (case files). DESTROY 2 years after bridge is removed from the waterway. Transfer to FRC 10 years after alteration.
527. Deepwater Port License Applications. PERMANENT. Transfer to FRC 1 year after termination of license. Offer to NARS 5 years after termination of license (1 CFPY)
528. Deepwater Port Licenses. PERMANENT. Transfer to FRC 1 year after termination of license. Offer to NARS 5 years after termination (1/10 CFPY)
529. Copies of American Bureau of Shipping Classification for Single Point Moorings at Deepwater Ports. DESTROY 3 years after port license is terminated.
530. Proof of Bonding for Removal of Deepwater Port Components. DESTROY after port components removed.
531. Deepwater Port Environmental Impact Statement. DESTROY 3 years after termination of license.
532. Annual report to Congress on Deepwater Port Act. PERMANENT. Transfer to FRC when 5 years old. (1/20 CFPY) Offer to NARS when 20 years old.

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Description of Records

Authorized Disposition

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533. Report of Deepwater Port Oil Throughput.

DESTROY when 3 years old.

534. Report of Deepwater Port Casualty or Accident

DESTROY when 5 years old.

535. Report of Sabotage or Subversive Activity at a Deepwater Port.

DESTROY when 5 years old.

536. Letters of Personnel Qualifications for Deepwater Ports.

DESTROY 3 years after termination of employment.

537. Deepwater Port Operations Manual.

PERMANENT. Transfer to FRC 1 year after port license terminated. Offer to NARS 5 years after termination. (1CFPY)

538 then 540 resolved



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The records described in this section relate to the planning and administration of personnel programs for military (Coast Guard and Coast Guard Reserve) and civilian personnel. The items are grouped as follows: Military Personnel Records (General)- Military Training and Education Records - Military Personnel Services Records - Civilian Personnel Records) - Military Recruitment Records.

Description of RecordsAuthorized Disposition

541. Records created by the Office of Personnel documenting the organizational development and administration of the Office of Personnel consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

b. Studies/Surveys conducted by the Office of Military Personnel.

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

(b) Which are not forwarded to or published by a higher authority.

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

DESTROY when 5 years old or when usefulness has been served, whichever is later.

542. General administrative correspondence (excluding primary records above), covering personnel administrative activities.

DESTROY when 10 years old.

543. Routing correspondence of an administrative or housekeeping nature.

DESTROY when 3 years old.

544. Studies, estimates, reports and related material on the administration of funds.

DESTROY when 10 years old.

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Description of Records

Authorized Disposition

545. Proceedings of officer personnel boards for promotion/demotion with related papers. (Selection Boards Investigations) PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old. (5 CFY)
546. Records pertaining to the administration of the Permanent Uniform Board and maintenance of Regulations. PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old. (5 CFY)
547. Military personnel service records including medical folders and fitness report folders, service record cards. Transfer to NPRC (MPR) St. Louis 3 to 6 months after discharge, death or retirement.
548. Personnel rosters showing location and status of personnel at Coast Guard units.
- a. PMIS source documents and roster created subsequent to 1 October 1974 DESTROY- Transfer to FRC 1 year after date. DESTROY 5 years after run date. (~~DESTROY~~)
549. Service number index logs and registers. Maintain at agency as an active work file. Destroy when inactive.
550. Identification cards for military personnel and dependents with related Application Forms (CG-4011 and DD 1172). DESTROY "turned-in" ID cards upon issue of new card. File Forms DD-1172 in military personnel files and dependents' case file.

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581. Record of Identification Cards Issued (CG-3133) (Military).

DESTROY when 6 years old.

582. Original eligibility lists and authorizations for advancement in rating and proficiency pay.

DESTROY when 25 years old. Transfer to FRC when 5 years old.

583. Servicewide examination results with supporting documentation for career advancement.

DESTROY when 25 years old. Transfer to FRC when 5 years old.

DESTROY of CG Reserve (inactive) results when 2 years old.

584. Listings and related material on approved personnel retirement.

DESTROY when 3 years old.

585. Enlisted Transfer Orders issued by Headquarters.

DESTROY when 5 years old or earlier if needs have been met.

586. Officer Summary Records (CGHQ-4255) on individual officers.

DESTROY when member is removed from active duty.

587. Records and related correspondence relative to the Reserve Awards Programs.

DESTROY when 5 years old.

588. Correspondence documenting personnel action on appointment, promotion, retirement etc.

DESTROY when 5 years old.

Training and Education Records

589. Training and course materials related materials (case files) including Volunteer Training Unit and Aviation Training records

DESTROY when 5 years old.

590. Requests for end-of-course examination

DESTROY when 1 year old.

591. School and training files containing correspondence, reports and related papers on CG and Navy schools, the Institute, training aids and courses.

DESTROY when 5 years old.

592. Individual applications for post-graduate, petty officer and other refresher or short courses.

Transfer to service record on non-selection or completion of training.

593. Records of Boards of Visitors to the Coast Guard Academy.

PERMANENT. Offer to NARS when 20 years old. (1/10 CFPY)

594. Records of CG Advisory Committee to the Academy consisting of minutes, correspondence, reports, lists of personnel and related materials

PERMANENT. Offer to NARS when 20 years old. (1/10 CFPY)

565. Officer Educational Record (CG-4082).

File original in service record.  
DESTROY office copy when 2 years old.

566. Requests for Procurement of materials and services for officer and enlisted training and procurement.

DESTROY after 2 years for off-duty training; 5 years for full time resident training; 3 years for personnel procurement requirements.

567. Conformed copies of Navy Postgraduate School Contracts.

DESTROY after 3 years if utilized by CG; end of FY for others.

568. SF-1080 copies with supporting papers covering reimbursements for all types of aviation training.

DESTROY when 3 years old.

569. Copies of requests for reimbursement for monies expended for required tests, copies of University invoices for books and supplies, approval correspondence, etc.

DESTROY when 3 years old.

Military Personnel Services Records

570

RESERVED

571. Claims files of correspondence and related papers pertaining to decedent affairs of deceased military and former Lighthouse Service personnel.

DESTROY 5 years after death of member or death of survivor receiving Retired Serviceman's Family Annuity.

572. Claims files of correspondence and related papers on military personnel reimbursement claims.

DESTROY 5 years after date of claim.

573. Card file containing summaries of claims processed by the office.

DESTROY when disestablished.

574. Agenda and minutes and general documentation of CG Board of Awards.

PERMANENT. Retain at HQ. Offer to NARS when 20 years old. (5 CFPY)

575. Case files of copies of individual citation and awards, actions by Board of Awards and the Commandant; general documentation information.

DESTROY upon separation from CG or CGR.

576. Register of recipient of Lifesaving Medals.

PERMANENT. Offer to NARS when 20 years old. (1 CFPY)

577. Case files on approved plans, policies, programs, projects and procedures concerning military discipline including clemency, mental incompetency appointment of trustee/guardian, and remission of indebtedness. DESTROY when disestablished.
578. Interagency agreement and case files on approved plans, policies, programs and procedures concerning dependents' identification cards, recreation and morals, movies and inter-service sports competition. DESTROY 5 years after disestablished
579. <sup>Washington file</sup> Case, subject, planning and control and legislative history files on military and civilian personnel security boards, programs, policies and procedures. DESTROY 20 years after obsolescence. Transfer to FRC 5 years after obsolescence.
580. Significant and substantive information in individual civilian and military personnel security files. DESTROY 5 years after termination of employment or retirement except DISPOSE of investigating and non-significant information in accordance with DOT Order 1630.2.
581. Atomic Energy Commission Clearance Record Cards. DESTROY 1 year after termination of clearance.
582. Case, subject, planning and control files on approved family housing projects with correspondence and memorandums concerning the program, other than items contained in item 1 of this section. DESTROY at Headquarters when 20 years old.
- Military Recruitment Records
583. Officer candidate file containing copies of application in the appointment in the Coast Guard, interview reports, medical examination reports and related papers.
- Selected Applicants-File in Official Personnel Folder.
  - Non Selected Applicants-Destroy 6 months after deadlines date for class which applicant is made.
584. Direct Commission Programs, Application Files containing copies of application for appointment in the Coast Guard, interview reports and related papers.
- Selected Applicants-File in Official Personnel Folders.
  - Non Selected Applicants-Destroy 1 year from date of board by which considered.
585. Used examinations and answer sheets with qualification tests. DESTROY by burning or shredding when 2 years old.

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Description of Records

Authorized Disposition

- 586 Correspondence files with the public on officer procurement programs.
- 587 General information files on recruiting and enlistment.
- 588 Periodic reports of enlistments received from districts.
- 589 Reports and forms used by examiners in accounting for examination books or certifying that examinations were given in accordance with instructions.

- DESTROY when 1 year old.
- DESTROY when 2 years old.
- DESTROY when 3 years old.
- DESTROY when 3 years old.

590 RESERVED

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SECTION 15 MARINE SAFETY COUNCIL

These records relate to the Coast Guard regulatory system, administered by the Marine Safety Council, and include items of a public and non-public nature.

Description of Records

Authorized Disposition

591. Records created by the Marine Safety Council documenting the organizational development and administration of the Marine Safety Council consisting of the following:

a. Official record copy of each directive/publication issued by the office with significant background material.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

b. Studies/Surveys conducted by the Office of Marine Safety Council

(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program.

(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.

DESTROY, 5 years after publication of the study by higher authority or when usefulness has been served whichever is later.

(b) Which are not forwarded to or published by a higher authority.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (.5CFPY)

(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.

DESTROY when 5 years old or when usefulness has been served, whichever is later.

592. General administrative correspondence, reports and related material (excluding primary records).

DESTROY when 3 years old.

593. Record material of a routine administrative or housekeeping nature.

DESTROY when 1 year old.

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Description of Records

Authorized Disposition

*in separate files - n*

594. Rules, regulations and directives files with background material used in preparation of rules and regulations published in the Federal Register and/or CG issuances.

DESTROY when 20 years old. Transfer when 5 years old.

595. Records and transcripts of public hearings held by Marine Safety Council and written comments received concerning proposed regulations.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old. (1.5 CFPY)

596. Records of meeting of Marine Safety Council.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when

597. Records of Marine Safety Council Advisory Committee consisting of decision making correspondence, Committee Agenda & Minutes of meetings

*20 years old.*  
PERMANENT. Transfer to FRC when 3 years old. Offer to NARS when 20 years old. (2 CFPY)

598. Printers' copy, galleys and page proofs of CG marine safety publications.

DESTROY at time of next revision of publication or when declared obsolete.

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## SECTION 16

### Civilian Personnel Records

Coast Guard civilian personnel records relate to the supervision over and management of Federal Civilian Employees. This Schedule covers the disposition of all official personnel folders of civilian employees and all other record relating to civilian personnel.

#### DESCRIPTION OF RECORDS

#### AUTHORIZED DISPOSITION

601. **RESERVED**
602. Correspondence and subject files relating to the administration and operation of personnel functions at District offices or Headquarters units level. DESTROY when 3 years old.
603. Correspondence, reports and related material on civilian training and service awards programs. DESTROY when 3 years old.
604. Individual employee files on training. DESTROY 2 years after completion of training.
605. Certificate files (requests for certificates and certificates of eligibles). DESTROY after inspection requirements (by Civil Service Commission or Coast Guard) have been met.
606. Notification of personnel actions-Journal. DESTROY when 3 years old or after inspection requirements have been met.
607. Health improvement and health benefits programs and reports. DESTROY when 3 years old.
608. Personnel folders excluding (a) folders or groups of folders selected by the National Archives; (b) folders covering periods of employment terminated prior to January 1, 1921; and (c) papers on the left or the so-called "temporary" side of the folder, which are authorized for disposal by General Records Schedule 1, item 10. (a) See Chapter 293, Subchapter 2, Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the Federal Personnel Manual, transfer folder to NPRC, (CPR), St. Louis, Missouri, 30 days after separation.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

(b) (CONT) DESTROY 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years.

609. Service Record Card (Standard Form 7 or its equivalent)

a. Cards for employees separated or transferred on or before December 31, 1947.

Transfer to NPRC, (CPR), St. Louis, Missouri.

b. Cards for employees separated or transferred on or after January 1, 1948.

DESTROY 3 years after year of employee's separation or transfer to another agency.

610. Correspondence, letters, and telegrams offering appointments to potential employees.

(a) If appointment is accepted; destroy immediately.  
(b) If appointment is declined:  
(1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles;  
(2) File inside application, if offered as a result of application for temporary or excepted appointment and dispose of in accordance with provisions in item 15; (3) All others; dispose immediately.

611. Certificate files, consisting of:

a. Requests for certificates of eligibles.

DESTROY 2 years after date of certificates.

b. Certificates of eligibles.

DESTROY 2 years after date of certificates.

612. Employee record cards used for informational purposes outside personnel offices (such as SF 7-2).

DESTROY or transfer to another agency or bureau or on separation of employee.

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## DESCRIPTION OF RECORDS

## AUTHORIZED DISPOSITION

613. Position descriptions. DESTROY one copy 5 years after position is abolished or description is superseded; (b) DESTROY other copies when position is abolished description is superseded.
614. Employee interview records. Place in inactive file on transfer or separation of employee and start a new inactive file every 6 months; DESTROY inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, DESTROY records 6 months after transfer or separation of employee.
615. Duplicate case files of performance rating boards of review, copies of which have been forwarded to the Civil Service Commission. DESTROY 1 year after completion of case.
616. All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual, Chapter 293, and Supplement 293-31. DESTROY on transfer to another agency (except in a transfer of functions), separation of the employee, or when 1 year old providing purpose has been served.
617. Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied. DESTROY when position is canceled or new strip is prepared.
618. Incentive awards case files. After closing case transfer to inactive closed file and destroy 2 years after closing.
619. Reports pertaining to the incentive awards program. DESTROY when 3 years old.
620. Notifications of personnel action, exclusive of those in Official Personnel Folders.
- a. Chronological file copies, including face sheets. DESTROY when 2 years old.
- b. All other copies. DESTROY when 1 year old.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

621. Applications for employment and related papers, excluding (a) records relating to appointments and requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder (covered in item 1 of this schedule).

DESTROY upon receipt of Coast Guard report of review inspection or when 2 years old, whichever is earlier, providing the requirements of Chapter 333, Section A-4 of the Federal Personnel Manual are observed.

622. Statistical reports in the operating personnel office.

DESTROY when 3 years old or after next program review whichever is later.

623. Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions.

DESTROY when action is completed.

b. Retention registers (including card files and related papers) from which reduction-in-force actions have been taken.

DESTROY when 2 years old.

c. Retention registers (including card files and related papers) from which no reduction-in-force actions have been taken

DESTROY when superseded.

d. All other correspondence forms.

DESTROY 6 months after file is closed or 6 months after date of document

624. Copies of document duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.

DESTROY 6 months after file is closed

625. Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related

DESTROY 3 years after separation of employee or 3 years after after rescission of authorization to operate Government-owned vehicle, whichever is the earlier.

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626. Records created in receipt and processing of complaints of discrimination by employees or applicants for employment with Federal Civil Service.

a. Official Equal Employment Opportunity Case Files, as described by 5 CFR 713.222:

- 1) When case is resolved within agency or origin
- 2) When case is resolved by U.S. Civil Service Commission; or a U.S. Court;

DESTROY 4 years after final final adjustment.

The official case file is retained by USCSC according to their records control schedule.

b. All other copies of EEO complaint case files or duplicates of documents pertaining to case files which are included in files retained under Item 26(a) above;

DESTROY 1 year after final adjustment.

c. All background documents pertaining to the case but not included in case files retained under Item 26(a) above;

DESTROY 3 years after final adjustment.

627. Position Management Studies.

DESTROY when 5 years old.

628. Inspection Reports of Position Management.

DESTROY when 5 years old.

629. Position Classification Appeals.

DESTROY 5 years after position is abolished. Transfer to FRC 3 years after close of case.

*See Item 315*

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