

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>			JOB NUMBER <b>N1-026-05-11</b>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001			Date received 5-31-2005	
1. FROM (Agency or establishment) Department of Homeland Security			<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION United States Coast Guard				
3. MINOR SUBDIVISION United States Coast Guard Headquarters; CG-262				
4. NAME OF PERSON WITH WHOM TO CONFER Stuart White	5. TELEPHONE NUMBER (202) 267-2134	DATE 2/16/06	ARCHIVIST OF THE UNITED STATES <i>Allen Warrington</i>	
<b>6. AGENCY CERTIFICATION</b> I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,				
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.				
DATE <i>18 Nov 05</i>	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>		TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)	
1	The purpose of this request is to Add an items to the current schedules to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST 5212.12A, Information and Life Cycle Management Manual.  <u>SSIC 16700 COMMERCIAL VESSEL SAFETY</u>  <b>11. Ship Arrival Notification System (SANS)</b>  System Description: The Ship Arrival Notification System (SANS) is a database application that provides advance notice of arrival/departure information from shipping agents or shipmasters of flagged vessels that intend to port in the United States. The information is processed, screened and stored for use to verify crew on board, identify passengers, authenticate cargo manifests, and coordinate with the Captain of the Port (COTP) to have "Sea Marshal's" board "High Interest Vessels" (HIVs) prior to entry into a port.			

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>a. System Inputs - Vessel Notice of Arrival/Departure Report (NOA/D). Records consist of information received from vessel(s)' owner, operator, agent, charterer, etc. (entity acting on behalf of owner) relating to the arrival/departure of vessels in U.S. ports. Records may be received via email, fax, e-NOA/D (electronic Notice of Arrival/Departure, which includes website, InfoPath, or schema all providing XML format) formats, or telephone and retained in SQL server database.</p> <p><b>Destroy/Delete</b> when verification of data is complete.</p>		
2.	<p>b. Master File. Data includes details about vessels, reporting party, arrival/departure date/time group, voyage information, crew, passenger and cargo manifest, previous ports visited, ship security and safety certifications and version control information.</p> <p><b>Destroy/Delete</b> when no longer needed for reference, or when ten years old, whichever is later.</p>		
3.	<p>c. Outputs. Ad-hoc reports are generated for local and immediate use to provide operational planning to a variety of interested parties for example, Captain of the Port and Marine Safety Offices, Sea Marshals, Customs and Boarder Patrol, Immigration and Customs Enforcement. Examples of data usage includes setting up security zones, scheduling boarding and inspections activities, actions for non-compliance with regulation, and other activities in support of Coast Guard's mission to provide for safety and security of U.S. ports. Secondary use by investigation and enforcement entities within the Federal Government.</p> <p><b>Destroy/Delete</b> when no longer needed for reference, or when ten years old, whichever is later.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	11. GRS OR SUPERSEDED JOB CITATION	12. ACTION TAKEN (NARA USE ONLY)
4.	<p>d. Documentation. System specifications, technical file descriptions, data dictionaries, code books, record layouts, user and administrator guides and related materials that support the ship arrival notification system.</p> <p><b>Destroy or delete</b> when superseded or upon authorized deletion of related database master file.</p> <p>e. Electronic Mail and Word Processing System Copies</p>		
5.	<p>1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p><b>Delete</b> within 180 days after the recordkeeping copy has been produced.</p>		
6.	<p>2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p><b>Delete</b> when dissemination, revision, or updating is complete.</p> <p>JUSTIFICATION: These records are kept in an electronic database along with any attachments received with the submission. The ten year retention should be adequate for the information, unless the users determine that it is still needed for reference purposes.</p>		

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To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION United States Coast Guard			
3. MINOR SUBDIVISION United States Coast Guard Headquarters; CG-262			
4. NAME OF PERSON WITH WHOM TO CONFER Stuart White	5. TELEPHONE NUMBER (202) 267-2134	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM	TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	The purpose of this request is to Add an items to the current schedules to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST 5212.12A, Information and Life Cycle Management Manual.  <u>SSIC 16700 Ship Arrival Notification System (SANS)</u>  11. Notice of Arrival Report. Records consist of information received from vessel(s)' owner, operator, agent charterer, etc (entity acting on behalf of owner) relating to the arrival/departure of vessels in U.S. ports. Records may be received via email, fax, e-NOA/D (electronic Notice of Arrival/Departure, which includes website, InfoPath, or schema all providing XML format) formats, or telephone and retained in SQL server database.  a. Master File. Database used for receipt of notice of arrival information centrally, and providing that information to Captain of the Port zone(s)' for their mission to provide for safety and security of U.S. ports.  Destroy/Delete when no longer needed for reference, or when ten year old, whichever is later.		

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	<p>b. Documentation. System specifications, file specifications, and record layouts relating to the files.</p> <p>Destroy or delete when superseded or upon authorized deletion of related database master file.</p> <p>JUSTIFICATION: These records are kept in an electronic database along with any attachments received with the submission. The ten year retention should be adequate for the information, unless the users determine that it is still needed for reference purposes.</p>		

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-026-05-11</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>5.31.2005</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION United States Coast Guard			
3. MINOR SUBDIVISION First District			
4. NAME OF PERSON WITH WHOM TO CONFER Heather Lomeland	5. TELEPHONE NUMBER 617-223-8083	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>  1  </u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>25 May 05</i>	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>	TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	The purpose of this request is to Add an items to the current schedules to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST 5212.12A, Information and Life Cycle Management Manual.  <u>SSIC 16700 COMMERCIAL VESSEL SAFETY</u>  12. Commercial Vessel Arrival Report. Records consist of reports, summaries, and correspondence received from other units relating to the movement of commercial vessels. Records received in fax or electronic format and retained in paper. Data is entered into an Access database used for statistical purposes and retrieval, to track safety issues, violations trends, possible smuggling.  a. Master File. Database used for cargo, type of vessel, last and next port of call, number of times at port, and prior boarding or reports, etc.  Destroy/Delete when no longer needed for reference, or when ten year old, whichever is later.		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>b. Documentation. System specifications, file specifications, code books, record layouts, and final reports (regardless of medium) relating to the files.</p> <p>Destroy or delete when superseded or upon authorized deletion of related database master file.</p> <p>c. Vessel Arrival Reports. Input Records received from units in fax or electronic format but retained in paper.</p> <p>Destroy when two years old.</p> <p>d. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>d(1). Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p><b>Destroy/delete</b> within 180 days after the recordkeeping copy has been produced.</p> <p>d(2). Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p><b>Destroy/delete</b> when dissemination, revision, or updating is completed.</p> <p>JUSTIFICATION: These records are now being kept in an electronic database as well as in their original paper format. While the paper records should continue to have the two year retention indicated in the schedule, the electronic version, which was created for statistical purposes, should be retained longer, since it is more useful in tracking data on individual ships, tracing movements, prior problems, etc.. The ten year retention should be adequate for the information, unless the users determine that it is still needed for reference purposes.</p>		