

DEPARTMENT OF TRANSPORTATION**Coast Guard****Privacy Act of 1974: Annual Publication of Systems of Records**

AGENCY: Coast Guard (USCG), Department of Transportation (DOT).

ACTION: Notice of minor changes to systems of records notices.

SUMMARY: In accordance with Office of Management and Budget Circular A-130, Appendix I "Federal Agency Responsibilities for Maintaining Records About Individuals," DOT is publishing minor changes to its notices of systems of records.

EFFECTIVE DATE: October 31, 1996.

FOR FURTHER INFORMATION CONTACT: Crystal M. Bush, U.S. Department of Transportation, 400 7th Street, SW., Washington, DC 20590, 202-366-9713.

SUPPLEMENTARY INFORMATION: DOT has completed the annual review of its systems of records and is publishing minor changes.

Dated: October 21, 1996.

Crystal M. Bush,
Privacy Act Coordinator.

The following lists all currently active USCG Privacy Act Systems.

DOT/CG 501**SYSTEM NAME:**

Auxiliary Management Information System (AUXMIS).

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-OPB), United States Coast Guard (CG), Office of Boating Safety, 2100 2nd Street, SW, Room 3112, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All present Coast Guard Auxiliarists. All Auxiliarists disenrolled since 1974.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personal information (name, address, birth date, Social Security Number (SSN), phone number).

Auxiliary qualifications information (Instructor, Examiner, Specialty).

Auxiliary activities information (patrols conducted, classes taught).

Information on boats, radio stations or aircraft owned by Auxiliarists.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Cumulative unit and individual activity summaries for use as a management tool by all Auxiliary units.

Identification cards for all Auxiliary members. Alphabetical nationwide

cross-reference listing for use by headquarters and district office staffs.

Mailing labels for district mailings to auxiliarists. An annual member summary of all information on each member which is mailed directly to the member concerned.

Used by:

District Directors of Auxiliary.
Chief Director of Auxiliary.

All elected and appointed officers of the Auxiliary. See Department of Transportation Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

AUXMIS master records contain personal and activity information concerning USCG Auxiliarists and Director of Auxiliary (DIRAUX). Each person's record consists of 500 characters. The approximately 50,000 records which are stored in the system presently are stored on both magnetic tape and magnetic disk.

RETRIEVABILITY:

The current AUXMIS master file residing on magnetic disk is retrieved by number and name of the individual and can be accessed by those Directors of Auxiliary with access to the AMDAHL mainframe system at any time. Those DIRAUX without access to the AMDAHL mainframe can request inquiries to be done at the central site by the Auxiliary, Boating, and Consumer Affairs Division (G-NAB) of Office of Navigation Safety and Waterway Services (G-NAB).

SAFEGUARDS:

The master files cannot be accessed without the proper control cards. All DIRAUX and Chief, Director of Auxiliary have the means available to access the master files.

RETENTION AND DISPOSAL:

Retention of weekly tape files is 180 days at which time they are erased. Retention of disk files is 1 week, and then updated. Retention of the year-end tape file is permanent.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-OPB), United States Coast Guard, Chief, Office of Boating Safety (G-OPB), 2100 2nd Street, SW., Washington, DC 20593-0001.

Written request must be signed by the individual.

NOTIFICATION PROCEDURE:

Commandant (G-SII-2), United States Coast Guard Headquarters, Program Support Division, 2100 2nd Street, SW., Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Individuals in the Auxiliary have their record available on a quarterly basis in the Flotilla Roster produced for their flotilla. All information except the Social Security Number and date of birth is on the Flotilla Roster. On an annual basis, the member receives a personal report concerning himself only which contains all elements of his record. At any time during the year, members of the Auxiliary can request through the DIRAUX where attached for access to their member's jacket retained by DIRAUX or can request a report in the annual report format.

CONTESTING RECORD PROCEDURES:

Record content can be contested at any time, and if error is found all DIRAUX have the means to correct individual records. Members are provided the means to correct their own address, SSN's, name and phone numbers and occupations.

RECORD SOURCE CATEGORIES:

All records pertaining to Auxiliarists are derived from forms which are filled out by the individuals involved on a voluntary basis.

DOT/CG 503**SYSTEM NAME:**

Motorboat Registration.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-OPB), United States Coast Guard (CG), 2100 2nd Street, SW., Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Boat owner registering for the issuance of boat identification numbers for boats recorded in the States of Washington, Alaska, and New Hampshire and in America Samoa.

CATEGORIES OF RECORDS IN THE SYSTEM:

Tapes; (Computer listings on disk with information on boat owner: name, address, and boat information). Printouts—Same. Office files—Same.

ROUTINE USES OF RECORDS MAINTAINED THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by:

Authorized Coast Guard Personnel involved in the Coast Guard boating safety program, to renew old registrations to issue new number to all motorboats. The purpose of the numbering system is for identification of recreational boats in case of accident, loss, theft, or abandonment.

See Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

All records are maintained in file cabinets.

RETRIEVABILITY:

By name/number.

SAFEGUARDS:

Only authorized office personnel have access to subject files. All personnel screened prior to allowing access. Building secured and guarded after duty hours.

RETENTION AND DISPOSAL:

Records are retained permanently.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Boating Safety (G-OPB), Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:**Contact:**

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by the individual whose records are being requested.

RECORDS ACCESS PROCEDURES:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII-2), 2100 2nd Street, SW, Washington, DC 20593-0001.

CONTESTING PROCEDURES:

Same as "Records Access Procedures"

RECORD SOURCE CATEGORIES:

Individual applicant.

DOT/CG 505**SYSTEM NAME:**

Recreational Boating Law Enforcement Case Files.

SYSTEM LOCATION:

Department of Transportation, United States Coast Guard (CG), Coast Guard District Offices and Headquarters unit offices for records of incidents in their localities.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Owners/operators of vessels found in violation of Federal recreational boating laws or regulations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Case files containing names of violators, their addresses and social

security numbers, together with descriptions of boats and notations of the alleged violations of Federal boating laws, and copies of correspondence relating to the disposition of any penalty involved.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information contained in this system is used by authorized Coast Guard employees in performance of their duties to determine the appropriate enforcement action to be taken by the Coast Guard in individual cases as well as providing a record of repeated offenders.

See DOT Prefatory Statement of General Routine Uses.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 U.S.C. 552(b)(12). Disclosures may be made from this system to consumer reporting agencies (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Information in this system is maintained on index cards, in logbooks, and file folders.

RETRIEVABILITY:

Information is retrieved by name of individual in alphabetical file, or by civil penalty case number.

SAFEGUARDS:

Information available only to authorized personnel. Files maintained in office in building which is secured during non-working hours and which has a roving guard patrol.

RETENTION AND DISPOSAL:

Records in system maintained for three years before disposal by mutilation or burning. Records on reported warnings are destroyed after 1 year (paper files).

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-OPB), Chief, Office of Boating Safety, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States

Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting the local Coast Guard District or Unit where incident occurred. Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document is considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Notification Procedure."

RECORD SOURCE CATEGORIES:

Information obtained from reports of Coast Guard boarding officers and marine safety investigations as well as from reports by citizens concerning possible violations of law or regulation.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(2) which provide in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 507**SYSTEM NAME:**

Coast Guard Supplement to the Manual of Courts Martial Investigations.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-L) United States Coast (CG), Office of the Chief Counsel, 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Military and civilian employees of the Coast Guard and other individuals who may be involved in any Coast Guard investigation.

CATEGORIES OF RECORDS IN THE SYSTEM:

Investigations into injuries to Coast Guard personnel, mishaps involving vessels, aircraft and vehicles.

Incidents involving explosions, for loss or destruction of classified material. Circumstances involving equipment failures and property damage, loss or destruction.

Circumstances involving violation of standards of conduct personnel.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by authorized Coast Guard personnel in connection with the performance of their official duties which include, but are not limited to: Accident prevention, payment of disability benefits.

Reports are used in connection with the resolution of claims against the Coast Guard as well as claims asserted by the government. Reports are transmitted to the Veterans Administration to assist that agency in determining entitlement to benefits administered by it.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained in storage cabinets in division files for three years and then forwarded to the Federal Records Depository.

RETRIEVABILITY:

Card index maintained permitting access to individual investigations by listing identifiable data such as name of person, vessel or other facility involved in investigation.

SAFEGUARDS:

Authorized personnel are granted access to these records in connection with the performance of their official duties. Records are disclosed to members of the public under the provisions of the FOIA. These requests are considered on a case-by-case basis.

RETENTION AND DISPOSAL:

Records are maintained in division files for three years and then forwarded to Federal Records Depository.

SYSTEMS MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-L), U.S. Coast Guard Office of the Chief Counsel, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Written request must be signed by the individual. Write or visit:

Department of Transportation, Commandant (G-SII-2) United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

All individuals whose conduct is the subject of these investigations are designated at the outset as parties to these investigations and accorded their rights as such. Following completion of the investigative reports, parties will be provided with copies upon request.

At all subsequent times parties may have access to the investigative records by writing to or visiting Commandant (G-SII-2), at the address in 'Notification Procedure' above or the local unit to which assigned.

Proof of identity may be required prior to release of records. Military identification, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

A party has the right to make argument and/or submit statements on his own behalf during the course of an investigation or subsequent to its conclusion. Write or visit locations as indicated in "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Coast Guard investigating officers, military and civilian personnel.

DOT/CG 508

SYSTEM NAME:

Claims and litigation.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-L), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals, corporations, insurance companies, estate administrators.

CATEGORIES OF RECORDS IN THE SYSTEM:

Suits and claims for and against the Coast Guard.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by cognizant Coast Guard personnel, and attorneys handling cases, for review purposes and determination as to the validity of claims.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File cabinets.

RETRIEVABILITY:

Two card index files, one alphabetic and one numeric, maintained for cross reference.

SAFEGUARDS:

Access is limited to Coast Guard and civilian employees of the Claims and Litigation Division granted in connection with official duties.

RETENTION AND DISPOSAL:

Records maintained for five years and then forwarded to the Federal Records Center. Card index files retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-L), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Written request must be signed by the individual. Write or visit:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at address in "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information obtained from Coast Guard military and Civilian personnel, members of the public, and Coast Guard investigating officers.

DOT/CG 509

SYSTEM NAME:

Non-Judicial Punishment Report.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-L), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Coast Guard military personnel who have been subject to non-judicial punishment proceedings under Article 15, Uniform Code of Military Justice.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records of Proceedings under Article 15, Uniform Code of Military Justice.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by Coast Guard, in connection with military justice administration. Records provide statistical data concerning the number of proceedings held, units holding proceedings, offenses committed, punishments imposed, and background data of individuals concerned. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File cabinets.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Records are made available to authorized personnel. Records are maintained in building with limited access during non-working hours and with roving security patrol.

RETENTION AND DISPOSAL:

New system. Disposal procedures not as yet established. Back-up material disposed of after introduction into system.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-L), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Written request must be signed by the individual. Write or visit:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at address in "Notification Procedure" above or local Coast Guard District Office in the area in which the individual assigned to duty.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information obtained from individual service records and from proceedings conducted.

DOT/CG 510**SYSTEM NAME:**

Records of trial: Special, General and Summary Courts-Martial.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-L), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Any individual who is tried by court martial in the Coast Guard.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records of trial.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These are public records available to anyone. Review.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Maintained in file cabinets.

RETRIEVABILITY:

Filed alphabetically by name of individual.

SAFEGUARDS:

Maintained in file cabinets in building with limited access during non-working hours and with roving security patrol.

RETENTION AND DISPOSAL:

Retained permanently. Maintained for two years, reviewed by System Manager and then transferred to Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-L), Office of the Chief Counsel, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at address in "Notification Procedure" above.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Trial proceedings and subsequent statutory reviews—Court of Military Review, Court of Military Appeals and Chief Counsel of the Coast Guard.

DOT/CG 511**SYSTEM NAME:**

Legal Assistance Case File System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-L), United States Coast Guard (CG), 2100 2nd street, SW, Washington, DC 20593-0001.

System is also located at: United States Coast Guard District Legal Offices and Legal Offices of Coast Guard Units. See Appendix I for addresses of the District and other legal offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Clients of officers assigned to render legal assistance regarding the personal affairs of Coast Guard military members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records contain information concerning the matters handled by these officers for clients.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

The information is used on behalf of clients in providing legal assistance. These records are also used to prepare statistical reports concerning a legal officer's time utilization.

The DOT Prefatory Statement of Routine Uses applies to records in this system only to the extent that their disclosure would not constitute a violation of the judicially recognized privilege attaching to attorney-client communications and of the ethical and professional responsibilities of lawyers under the American Bar Association's Code of Professional Responsibility.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Normally, written records kept in file folders.

RETRIEVABILITY:

Alphabetical indexes by name of member.

SAFEGUARDING:

Kept in office space or filing cabinets which are normally locked during non-working hours. Building patrolled by roving security guards after duty hours.

RETENTION AND DISPOSAL:

Records retained as long as needed to serve client or as long as deemed necessary by the legal officer. Disposal is by whatever means considered appropriate by the legal officer, depending on contents of the record involved.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-L), Office of the Chief Counsel, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

District or unit legal offices:

Senior Counsel, for records maintained at the particular location (see Appendix I for addresses).

NOTIFICATION PROCEDURE:

Requests for determination whether this system contains records concerning an individual should be made in writing or in person to:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

These records are available in the Office of Chief Counsel at Coast Guard Headquarters or within the legal offices in the various Coast Guard districts or units, dependent on where legal assistance was rendered. A military identification card or other comparable identification will be required to be shown by persons seeking access to their legal assistance records.

CONTESTING RECORD PROCEDURES:

The agency's rules for contesting the content of these records or for appealing initial determinations by the custodian thereof not to disclose any part of these records shall be controlling. These rules may be obtained by writing: Commandant (G-SII) at the address listed in "Notification Procedure."

RECORD SOURCE CATEGORIES:

Information in this record system is obtained from the client involved and as a result of any subsequent investigation by the legal officer on behalf of the client.

DOT/CG 516**SYSTEM NAME:**

Coast Guard Military Discrimination Complaints.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-H), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

Records are also maintained at:

Each District and Headquarters Unit.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Coast Guard Military Personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

Files contain discrimination complaints filed by Coast Guard

military personnel or their representatives and correspondence resulting therefrom.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Department of Transportation, Office of Civil Rights: Used for investigations of complaints and arriving at decisions for resolution of complaints.

Coast Guard Headquarters Military Personnel Office:

Used for information in making personnel administration decisions.

Coast Guard Headquarters, Commandant, Vice Commandant,

Congressional Liaison: Used to answer correspondence being sent to Congressional representatives, federal and state officials, and nationally recognized organizations who are representing the individual.

Coast Guard Headquarters, Office of Civil Rights and the Military Equal Opportunity division:

Used to take care of discrimination complaints and the correspondence precipitated therefrom and maintained a file on it.

All Coast Guard Commands:

Used to bring a complaint to a satisfactory conclusion, where possible.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders kept in file cabinets.

RETRIEVABILITY:

System is kept by alphabetical file, service number and/or social security number, rank/rate, Coast Guard unit.

SAFEGUARDS:

During normal working hours access to records is controlled by office personnel; during non-working hours the building is guarded by a roving security patrol.

RETENTION AND DISPOSAL:

Files are kept permanently.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Civil Rights, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification

Procedure" or the local officer where the record is filed.

Prior written notification of personal visits is required to insure that the records will be available at the time of visit. Proof of identity will be required prior to affording access to records. A military identification, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

From individuals or their representatives submitting complaints, congressional correspondence, personnel service, records, Coast Guard Headquarters, and Coast Guard units correspondence, individuals and organizations volunteering information pertinent to complaints.

DOT/CG 517**SYSTEM NAME:**

Complaints of Discrimination.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-H), United States Coast Guard (CG), Office of Civil Rights, 2100 2nd Street, SW, Washington, DC 20593-0001. Each District and Headquarters Unit.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Civilian employees (including non-appropriated funds employees) and applicants for employment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Various memoranda, letters, statement statistics and other information related to the situation which prompted the person to allege discrimination.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Investigating and processing complaints of discrimination by personnel in Office of Civil Rights, Investigatory, Hearing Examiners, Employee Representatives, Coast Guard Officials. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM: STORAGE:

Typed, hand-written, printed material stored in folders in metal filing cabinets.

RETRIEVABILITY:

Index by name and Coast Guard installation.

SAFEGUARDS:

Screening of personnel, need to know basis. After duty hours, building is secured and roving security guards are on duty.

RETENTION AND DISPOSAL:

Maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-H), Chief, Office of Civil Rights, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Contact the following office in person or in writing:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing or visiting the Commandant (G-SII) at the address in "Notification Procedure" or the local activity where the complaint was filed. Prior written notification of personal visits is required to insure that the records will be available at the time of visit. Proof of identity will be required prior to release of records. A military identification card, drivers license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Interviews with complainants, employees, management officials; personnel records, internal Coast Guard memoranda.

DOT/CG 526**SYSTEM NAME:**

Adjudication and Settlement of Claims System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard, 2100 2nd Street, SW, Washington, DC 20593-0001.

Partial systems are located at Coast Guard Districts and Units.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty military members, Reserve military members, Retired military members, Civilian employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Claims arising out of disputes concerning amounts of pay received.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

To reach a final decision as to entitlement of claimants. To use as precedent setting data in the resolution of similar questions in the future. Used by authorized Coast Guard officials and officials of the IRS, GAO, and the Civil Service Commission, as required.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored manually in file folders.

RETRIEVABILITY:

Claims in the file are filed and retrieved by claimant name.

SAFEGUARDS:

Access is limited to authorized officials by screening of personnel. Maintained in Government building having roving security guards after duty hours.

RETENTION AND DISPOSAL:

After adjudication and settlement, most submissions are retained for precedent setting value, as required.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WP), Chief, Office of Personnel Management, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or Unit administrative officer for the area in which an individual's duty station is located. See Appendix I for locations.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Sources include: The individual, CG payroll offices, legal staff, investigators,

Office of Personnel, Comptroller General (GAO) and congressional correspondence.

DOT/CG 528**SYSTEM NAME:**

Centralized Reserve Pay and Retirement System.

SYSTEM LOCATION:

Department of Transportation (DOT), United States Coast Guard (CG), Pay and Personnel Center (PPC), 444 S.E. Quincy St., Topeka, KS 66683-3591. System is also located at District Offices and other Field Units. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

United States Coast Guard Reserve Members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Master Pay and Retirement Point Credits Record. Master Personnel Data Accounting Record.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used to prepare monthly payroll and all associated listings.

Used also:

For preparation of budgets.

For accounting purposes.

To compute pay and points.

The compilation of data.

Permanent pay and points records (retirement data). W-2 wage and federal tax reporting to report earnings to state and city taxing authorities. Used by authorized Coast Guard, IRS, GAO, and other Agency Officials as required.

See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosure pursuant to 5 U.S.C 552a(b)(12). Disclosures may be made from this systems to "Consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Microfilm of payroll retained in Reserve Pay Branches and Districts. Records are filed manually in filing cabinets.

RETRIEVABILITY:

Records are indexed alphabetically by name of Reservist and CG Unit Number. Records are retrieved by name/number.

SAFEGUARDS:

Access is limited to user staff members. Records are stored in secured building after duty hours.

RETENTION AND DISPOSAL:

Microfilm and records are retained until member is discharged or retired. Three years subsequent to retirement or discharge, records are transferred to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or Unit administrative office for the area in which an individual's duty station is located. Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Sources include:
The District Commander and Office of Reserve. The Individual.
Unit Commanding Officers.
District Commanders.
Office of the Reserve.

DOT/CG 533**SYSTEM NAME:**

Retired Pay and Personnel System.

SYSTEM LOCATION:

Department of Transportation (DOT), United States Coast Guard (CG), Pay and Personnel Center (PPC), 444 S.E. Quincy St., Topeka, KS 66683-3591.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Annuitants.

Lighthouse Keeper Retirees.
Honorary Retirees.
USCG Retirees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Pay and personnel data of military retirees, annuitants, lighthouse keepers and retirees. Personnel data of honorary retirees. Accounts receivable and accounts payable.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Produce various listings and reports provided to USCG offices. Produce checks. W-2 wage and federal tax reporting to the Internal Revenue Service. Reports of earnings to state and city taxing authorities. Listing of currently retiring officers, home addresses and mailing labels used by authorized USCG and USCG affiliated organizations. Reports and information exchanged with the Veterans Administration, Civil Service Commission, Social Security Administration, the Department of Defense and the Red Cross.

See DOT Prefatory Statement of General Routine Uses.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 USC 552a(b)(12): Disclosures may be made from this system to "consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are filed manually in file folders. Microfilm is stored in the retired pay branch. Check tapes are filed in tape library.

RETRIEVABILITY:

Records and microfilm are indexed alphabetically, check tapes are indexed by tape number. Retrieved by name/number.

SAFEGUARDS:

Access is limited to user staff members under supervisory control. Stored in government building having roving security guard after duty hours.

RETENTION AND DISPOSAL:

Records are retained in the Retired Pay Branch for 3 years subsequent to retiree's or annuitant's death, then forwarded to a Federal Records Center.

Magnetic tapes are retained 18 months, microfilm for 6 years (required by GAO) then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure."

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

The individual.
Coast Guard personnel offices.
Coast Guard payroll offices.

DOT/CG 534**SYSTEM NAME:**

Travel and Transportation of Household Effects.

SYSTEM LOCATION:

Department of Transportation (DOT), United States Coast Guard (CG), Commandant (G-WP), U.S. Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

System is also located at each District Office and Headquarters units.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty military members, retired military members, and civilian employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Travel claims, transportation claims, government bills of lading, application for shipment of household effects.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Vouchers submitted for payment of claims, for audit of claims for payment, to account for cost of moving household goods, advice of shipment of household goods for reporting of funds expended, and for payment of household and transportation claims. Used by

authorized Coast Guard personnel and personnel of the General Accounting Office (GAO) in connection with the performance official duties.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Filed manually in file folders.

RETRIEVABILITY:

Records are retrieved by schedule numbers and/or individual name:

SAFEGUARDS:

Access is limited to user staff members.

Stored in a building which is secured after duty hours.

RETENTION AND DISPOSAL:

Records are kept for 3 years, then transferred to a Federal Records Center. Exception: Schedule 98-Ts (Freight and Transportation) are forwarded to the General Accounting Office (GAO) after 3 months.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or unit office for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

The individual who is the subject of the record. Ground freight and transportation carriers and agents. Airline companies.

Personnel offices.

Other responsible agencies.

DOT/CG 535

SYSTEM NAME:

Coast Guard Exchange System (CGES) and Morale, Welfare and Recreation (MWR) Program.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

System is also located at:

CG Districts, Maintenance and Logistics Commands and Headquarters Units. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Civilian employees, Active duty military members, Retired military members, Military dependents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Payroll records.
Accounting records for CGES/MWR loans.
Listing of bad checks.
Job applications.
Correspondence.
Membership applications.
Accounts receivable.
Investigatory reports involving abuse of facilities.
Accounting records for CGES/MWR.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Payroll for CGES/MWR employees.
Personnel actions.
Accounting purposes
Budget and inventory controls.
Used by members and employees of USCG in the performance of their official duties related to the management, supervision and administration of CGES/MWR.
Billing and fund control.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Automated records may be stored on tape, disc, drums and punched cards. Manual records may be stored in file folders and/or credit ledgers, card files, and notebooks.

RETRIEVABILITY:

Records are indexed alphabetically.

SAFEGUARDS:

Access is limited to authorized personnel. Building is secured after duty hours.

RETENTION AND DISPOSAL:

Records are retained until usefulness has expired and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District/MLC or unit office for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

The individual, Previous employees, Employment agencies, Civilian and military investigative reports, General correspondence.

DOT/CG 536

SYSTEM NAME:

Contract and Real Property File System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-CFM), United States Coast Guard Headquarters, Chief of Staff, 2100 2nd Street, SW, Washington, DC 20593-0001.

Systems are also located at Various District and Headquarters Units.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals or companies doing business with the Coast Guard.

Employees of prime and sub-contractors. Individuals requiring use of CG property.

Military members and civilian employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Contracts and related files.
Real property and leased family housing files. Bidders list.
Minority compliance records.
Payment schedule files relating to Admiralty and Tort claims. Personnel claims.
Collection register.
Open purchase order file.
Correspondence files and vendor lists.
Information on employees of contractors, job level and pay of these employees.
Permits, licenses and easement.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used to determine compliance of contractors with minimum wages for certain skills and trades on government contracts.

Used to aid in record keeping of payments and collection. Used to determine potential for contracting with the government. Used to record issuance of personal property and maintain inventories.

Used to determine contractor responsibilities and liability. Used by Coast Guard officials of the General Accounting Office (GAO) in performance of duties.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Manually filed in file folders, Maintained on tape/card three ring binders, and in hard cover books.

RETRIEVABILITY:

Retrieved by individual/company name, number, construction job, and/or location.

SAFEGUARDS:

Access restricted to authorized personnel only, some records in locked safe and/or filing cabinet.

Maintained in building having roving security guard after duty hours.

RETENTION AND DISPOSAL:

Some records retained indefinitely; some retained 3, 4 or 6 years, then destroyed or forwarded to a Federal Records Center for an additional 7 years.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-CFM), United States Coast Guard Headquarters, Chief of

Staff, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or Unit office for the area in which the contract was submitted or property is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as above "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Individuals.
Contractors.
Contract employees.
Bidders.
Financial institutions.
Insurance companies.
Community associations.
Other agencies.
Bills.
Letters.
Collection receipts.
Electronic accounting machine listings.

DOT/CG 537

SYSTEM NAME:

FHA Mortgage Insurance for Servicemen.

SYSTEM LOCATION:

Department of Transportation, (DOT), Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

U.S. Coast Guard Military Personnel who have applied for Federal Housing Administration Mortgage Insurance.

CATEGORIES OF RECORDS IN THE SYSTEM:

Selected aspects of FHA Mortgage Insurance Records for military personnel, including copies of Form DD-802, "Request for and Certificate of

Eligibility" and Form DD-803, "Certificate of Termination."

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used to enable management to verify that billings from FHA are correct, and payable from Coast Guard funds. Users are authorized Coast Guard personnel.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are filed manually in closed file cases.

RETRIEVABILITY:

Folders are filed by named individual, alphabetically. Copies of documents are filed chronologically in the folders together with a record of payment.

SAFEGUARDS:

Access is limited to user staff members. After duty hours the building is patrolled by roving security guards.

RETENTION AND DISPOSAL:

Files are maintained as long as a member is covered by an insured mortgage loan; 3 years after, files are forwarded to Federal Records Center. Destroyed 4 years after case files are closed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Contact Commandant (G-SII), U.S. Coast Guard Headquarters, 2100 2nd Street SW, Washington, DC 20593-0001.

The written request should include the requesters name in full and signature.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing Commandant (G-SII), at the address above, or by visiting the Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001. Proof of identity will be required prior to affording an individual access to his records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

From individual concerned and the Federal Housing Administration.

DOT/CG 561**SYSTEM NAME:**

Port Safety Reporting System
Individual Violation Histories.

SYSTEM LOCATION:

Department of Transportation (DOT),
Commandant (G-M), United States
Coast Guard Headquarters, Chief, Office
of Marine Safety, Security, and
Environmental Protection, 2100 2nd
Street, SW, Washington, DC 20593-
0001.

System is also located at:
Offices of the District Commanders in
Appendix.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Masters, operators, owners, agents,
shippers, charterers, and/or pilots of
commercial vessels and barges, reported
for violations of United States port
safety regulations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Computerized listings, by name,
giving specific violations, date, place
and penalty assessed.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Determining penalties to be assessed
by Coast Guard hearing officers;
execution of judgements by U.S.
attorneys as necessary.

See DOT Prefatory Statement of
General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Magnetic tape or disc.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Restricted access data processing area.
Program access by password.

Source documents and printouts are
stored in locked rooms or file cabinets.

RETENTION AND DISPOSAL:

Disposed of 3 years after final
disposition of case.

Paper files destroyed by mutilation,
shredding or burning. Magnetic tapes
are obliterated by writing over magnetic
surface till content is rendered useless
and unreadable.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Marine Safety,
Security, and Environmental Protection,
Department of Transportation, United
States Coast Guard Headquarters, 2100
2nd Street, SW, Washington, DC 20593-
0001.

NOTIFICATION PROCEDURES:

Department of Transportation,
Commandant (G-SII-2), United States
Coast Guard Headquarters, 2100 2nd
Street, SW, Washington, DC 20593-
0001.

RECORDS ACCESS PROCEDURES:

Procedures may be obtained by
writing to or visiting Commandant (G-
SII-2) at the address in "Notification
Procedure" above or the local Coast
Guard District where the violation
occurred.

CONTESTING RECORDS PROCEDURES:

Same as "Record Access Procedures".

RECORD SOURCE CATEGORIES:

Report of Violation, Form CG 2636,
prepared by Coast Guard officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of the system may be exempt
from disclosure under the provisions of
5 U.S.C. 552a(k)(2), which provide in
part, that investigatory material
compiled for law enforcement purposes
may be withheld from disclosure to the
extent that the identity of the source of
the information would be revealed by
disclosing the investigatory record, and
the source has received an express
guarantee that his or her identity would
be held in confidence or, prior to the
effective date of this section, if the
source received an implied promise that
his or her identity would be held in
confidence.

DOT/CG 571**SYSTEM NAME:**

Physical Disability Separation
System.

SYSTEM LOCATION:

Department of Transportation (DOT),
Commander, U.S. Coast Guard
Personnel Command, 2100 2nd St., SW,
Rm. 1412, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

USCG active duty personnel and
USCG personnel separated or retired for
physical disability.

CATEGORIES OF RECORDS IN THE SYSTEM:

Central Physical Evaluation Board
files. Formal Physical Evaluation Board
files. Physical Review Council files.
Physical Disability Appeal Board files.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Coast Guard officials in connection
with physical disability separation and
retirement proceedings.

Department of Veterans Affairs for
assistance in determining the eligibility
of individuals for benefits administered
by that agency and available to USPHS
or DOD medical personnel in
connection with the performance of
their official duties.

See DOT Prefatory Statement of
General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders, microfilm, magnetic tape,
punched cards, machine lists, discs, and
other computerized or machine readable
media.

RETRIEVABILITY:

Records are retrieved through indices
and cross indices of all individuals and
relevant physical disability(ies) data.
Types of indices used include, but are
not limited to: Name, social security
number, and the diagnosis or
International Classification of Diseases
(ICD) code.

SAFEGUARDS:

Records are maintained in locked
filing equipment in controlled access
rooms. Records are accessible only to
authorized personnel. Computer
terminals are located in supervised
areas, with access controlled by
password or other user code system.

RETENTION AND DISPOSAL:

Retained two years after disposition
then transferred to Federal Records
Center, St. Louis, MO.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation,
Commander, U.S. Coast Guard,
Personnel Command, 2100 2nd St., SW,
Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURES:

Notarized written requests should
contain the full name and social
security number of the member and be
addressed to:

Commandant (G-SII-2), United States
Coast Guard Headquarters, 2100 2nd
Street, SW, Washington, DC 20593-
0001.

RECORD ACCESS PROCEDURES:

Same as Notification procedures.

CONTESTING RECORD PROCEDURES:

Same as "Notification Procedures."
Information in records developed
through proceedings of administrative
bodies listed in "Categories of Records"
above.

DOT/CG 572**SYSTEM NAME:**

USCG Military Personnel Health Record System.

SYSTEM LOCATION:

At member's unit or the Coast Guard health care facilities at which the member or dependents receive treatment.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty, reserve, and retired members of the uniformed services and their dependents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records of medical and dental treatment, including x-rays.

Physical Examinations.

ADP Records containing due date for physical/dental and eye examinations, inoculations, screening tests and results of actions required by Coast Guard or other federal state or local government or agency.

Records concerning line of duty determination and eligibility for disability benefits.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. Provided to the Department of Defense to determine suitability of members for overseas assignments and to develop automated information relating to medical readiness in wartime and contingency operations.

b. Provided to federal, state, or local governments and agencies to compile statistical data for research and auditing; to provide quality assurance; to report medical conditions and other data required by law; to aid in preventive health and communicable disease control programs.

c. Provided to the Joint Commission on Accreditation of Healthcare Organizations to evaluate health care provided, personnel and facilities for professional certification and hospital accreditation; to provide quality services.

d. Records of communicable disease are provided to the Department of Defense to analyze the results, to ensure uniformity of record keeping, and to centralize production of reports for all uniformed services.

e. Provided to the Department of Defense or other federal, state, or local governments and agencies for casualty identification purposes.

f. Provided to the Social Security Administration and Veterans Administration for use in determining an individual's entitlement to benefits administered by those agencies.

g. Proved to the Public Health Service, Department of Defense, or Veterans Administration medical personnel or to personnel or facilities providing care to eligible beneficiaries under contract in connection with medical treatment of individuals.

Records are provided to the Department of Health, Education and Welfare for purposes of the Federal Medical Care recovery set. Records are available to the Public Health Service or DOD medical personnel in connection with medical treatment of individuals at USPHS or DOD facilities.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Individual files are in folders. Portions of records are automated at some units.

RETRIEVABILITY:

Name or social security number of member or dependents.

SAFEGUARDS:

Room or cabinets in which records are located are locked when unattended. Access limited to these records at all times by personnel screening.

RETENTION AND DISPOSAL:

a. Active Duty Personnel: Individual medical files are retained at the members' unit or medical administration office for so long as individual is assigned to the particular area. When the member is reassigned, the individual medical file is transferred to the new duty station upon reassignment of member. Upon separation or retirement, the individual medical file is incorporated into the Official Officer Service Records System (DOT/CG 626) or Enlisted Personnel Records System (DOT/CG 629), as appropriate.

b. Retired Personnel: Individual medical files are retained at the medical facility for a period of 4 years from date of last activity. Transferred to National Personnel Records Center (Military Personnel Records), 9700 Page Blvd., St. Louis, MO 63132, 4 years after last report.

c. Dependents: Individual medical files are retained at the medical treatment facility for period of 4 years from date of last activity. Transferred to new duty station of sponsor upon written request of dependent. Records not transferred are forwarded to National Personnel Records Center (CPR) 111 Winnebago, St. Louis, MO 63118, 4 years after last activity.

d. Reserve Personnel: Individual medical files are retained in custody of the reserve group or unit, or district commander(s) for so long as the reservist is assigned to the particular area. When the member is reassigned, the individual medical file is transferred to the new reserve group or unit or district commander as appropriate. Upon separation or retirement, the individual medical file is incorporated into Official Coast Guard Reserve Service Record System (DOT/CG 676)

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WK), United States Coast Guard Headquarters, Chief, Office of Health and Safety, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

a. Active Duty personnel: Write or visit the health care facility where the record is located, or write Commandant (G-SII-2) at the address in the "Notification Procedure"

b. Retired Personnel and all Dependents: Write or visit the health care facility where the record is/was located. If unable to locate records, write:

(Retired) National Personnel Records Center, (Military Personnel Records) 9700 Page Blvd., St. Louis, MO 63132.

(Dependents) National Personnel Records Center (CPR), 111 Winnebago Street, St. Louis, MO 63118.

Reserve Personnel: Write or visit reserve group or unit or district commander of the district where command is located, or write: U.S. Coast Guard (G-SII-2), 2100 2nd Street, SW., Washington, DC 20593-0001-0001.

The decision to release medical records directly to the individual shall be made by medical practitioner per 49 CFR 10.35(c).

CONTESTING RECORD PROCEDURES:

Same as "Notification Procedure."

RECORD SOURCE CATEGORIES:

a. Medical facilities where beneficiaries treated or examined.

b. Investigations resulting from illness or injury.

c. From the individual.

DOT/CG 573**SYSTEM NAME:**

U.S. Public Health Services (PHS) Commissioned Officer Corps Staffing and Recruitment Files.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WK), United States Coast Guard Headquarters, Chief, Office of Health and Safety, 2100 2nd Street, SW., Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Personnel records of PHS commissioned officers assigned to duty with the Coast Guard.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personnel records, assignment preference, reference questionnaires, background information.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used to assist administrators in assigning personnel to area requiring their specific skills.

Used to monitor career development of personnel assigned to program.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders.

RETRIEVABILITY:

By name of individuals.

SAFEGUARDS:

During working hours access is controlled by office personnel; during non-working hours building is patrolled by roving security patrol.

RETENTION AND DISPOSAL:

Records are retained during period of an individual's assignment to the Coast Guard. Thereafter, records are destroyed by shredding.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WK), Chief, Office of Health and Safety, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII-2) at the address in "Notification Procedure."

Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Previous employers, educational institutions, references, Coast Guard Medical Administrators and the individual.

DOT/CG 576**SYSTEM NAME:**

USCG Non-Federal Invoice Processing System (NIPS).

SYSTEM LOCATION:

Department of Transportation, Commandant (G-WK), U.S. Coast Guard, 2100 Second Street, SW., Washington, DC 20593-0001.

Commander, Maintenance and Logistics Command Atlantic, Health Services Division, Governor's Island, Building 400, New York, NY 10004-5100.

Commander, Maintenance and Logistics Command Pacific, Health Services Division, Coast Guard Island, Alameda, CA 94501-5100.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty, reserve, and retired members of the uniformed services and their eligible dependents, and non-Federal health care providers that have rendered services to eligible beneficiaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

a. Records containing correspondence, memoranda, and related documents concerning potential and actual health care invoices for processing by NIPS.

b. Copies of medical and dental treatment records provided to the individual that are the subject of an invoice for non-federal health care provided to an eligible beneficiary.

c. Automated data processing (ADP) records containing identifying data on individuals including: Units of assignment and address, home address, and information necessary to process and monitor bills for payment.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. Records may be disclosed to health care professionals, auditing, utilization, and peer review organizations for review of cost data and appropriateness of care.

b. Medical information, including records of health care and medical invoices may be disclosed to health care professionals, auditing, utilization and peer review organizations to support a government claim.

c. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Storage of individual files are in folders. Portions of records are extracted in an ADP data base. ADP data will be maintained in hard disk and magnetic tape storage.

RETRIEVABILITY:

a. Name or Social Security Number of member or dependents sponsor.

b. Name of Member's Unit.

c. Name or tax identification number of non-Federal health care providers.

SAFEGUARDS:

Room and cabinets in which records are located are locked when unattended. There are roving guard patrols during non-duty hours. Access to records is limited to those directly involved in managing claims. Records in the ADP data base are retrievable only by those with authorized access to ADP equipment and the data base is protected by standard ADP security measures including the use of passwords.

RETENTION AND DISPOSAL:

Records are retained at Maintenance and Logistics Commands (MLCs) for 1 year; transferred to a Federal Record Storage Facility and retained for an additional 5 years 3 months for a total of 6 years 3 months and destroyed thereafter.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WK), Chief, Office of Health and Safety, Department of Transportation, U.S. Coast Guard Headquarters, 2100 Second Street, SW., Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Send a written request with patient's name, sponsor's name and social security number, to the System Location for the MLC where care was rendered. The request must be signed by the

individual, or if a minor dependent, by the parent or guardian.

Commander, Maintenance and Logistics Command Atlantic, Health Services Division, Governor's Island, New York, NY 10004-5100.

Commander, Maintenance and Logistics Command Pacific, Health Services Division, Coast Guard Island, Alameda, CA 94501-5100.

RECORD ACCESS PROCEDURES:

Write or visit the appropriate Commander, MLC at the address given in "Notification Procedure" responsible for where the care was received.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

a. From the individual, individual's spouse, parent or guardian.

b. Medical facilities (U.S. Coast Guard, Department of Defense, Uniformed Services Treatment Facility, or non-Federal, provider) where beneficiaries are treated.

c. For Active Duty personnel—the Official Officer Service Records System (DOT/CG 626), and the Enlisted Personnel Record System; (DOT/CG 629).

d. For Reserve personnel—the Official Coast Guard Reserve Service Record System (DOT/CG 676).

e. Investigations resulting from illness or injury.

DOT/CG 577

SYSTEM NAME:

USCG Federal Medical Care Recovery Act (FMCRA) Record System.

SYSTEM LOCATION:

Department of Transportation (DOT), Office of Health and Safety, U. S. Coast Guard, 2100 2nd Street, SW, Washington, DC, 20593-0001-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty, reserve, and retired members of the uniformed services and their eligible dependents.

CATEGORIES OF RECORDS IN THE SYSTEM:

a. Records containing all correspondence, memoranda, and related documents concerning potential and actual FMCRA claims, and copies of medical and dental treatment provided to the individual that is the subject of the claim, and copies of medical bills associated with civilian care provided at government expense.

b. Automated data processing (ADP) records containing identifying data on individuals, unit of assignment and address, home address, the amount of

the claim, the amount paid to the government on the claim, dates of correspondence sent, due dates of reply, claim number, date claim opened, and date claim closed.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. All information will be used in managing, processing, and collecting claims for the government. Information may be disclosed to attorneys and insurance companies involved in settling and litigating claims.

b. Information may be disclosed to the Department of Justice when necessary to take final action on claims.

c. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Storage of individual files are in folders. Portions of records are extracted in ADP data base. ADP data base will be maintained in hard disk and magnetic tape storage.

RETRIEVABILITY:

Name or social security number of member, retiree or dependent.

SAFEGUARDS:

Room and cabinets in which records are located are locked when unattended. Roving guard patrol during non-duty hours. Access to records limited to those directly involved in managing claims with a need to know. Records in ADP data base retrievable only to those with authorized access to ADP equipment and data base is protected by standard ADP.

RETENTION AND DISPOSAL:

Records are retained at USCG Headquarters for 1 year; transferred to a Federal Records Storage Facility and retained for an additional 5 years, 3 months for a total of 6 years, 3 months and destroyed thereafter.

SYSTEM MANAGER(S) AND ADDRESS:

Office of Health and Safety, United States Coast Guard, Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001-0001.

NOTIFICATION PROCEDURE:

Send a written request with the client's name, sponsor's name and social security number to the system manager. The request must be signed by the individual, or if a minor dependent, by the parent or guardian.

RECORD ACCESS PROCEDURES:

Write or visit: Commandant (G-WK), U. S. Coast Guard, Attn: FMCRA Section 2100 Second Street, SW, Washington, DC 20593-0001.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

a. From the individual, or if a minor, the parent or guardian.

b. Medical facilities (U. S. Coast Guard, Department of Defense, Uniformed Services Treatment Facility, or Civilian Facility) where beneficiaries are treated.

c. Injury investigations.

d. Attorneys and insurance companies involved in the claim.

e. For Active Duty personnel—the Official Officer Service Records System; (DOT/CG 626), and the Enlisted Personnel Records System; (DOT/CG 629).

f. For reserve personnel—the Official Coast Guard Reserve Service Record System (DOT/CG 676).

DOT/CG 586

SYSTEM NAME:

Chemical Transportation Industry Advisory Committee.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-M), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Committee members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Address, phone number.

Biographical sketch.

Committee information.

Minutes of meetings.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Arranging meetings, keeping records of committee business, determine committee membership.

Used by Coast Guard personnel in the performance of official duties.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders.

RETRIEVABILITY:

By committee name/individual name.

SAFEGUARDS:

Personnel screening prior to granting access.
Building has roving security after hours.

RETENTION AND DISPOSAL:

Permanently retained.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-M), United States Coast Guard Headquarters, Chief, Office of Marine Safety, Security and Environmental Protection, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII-2) at the address in "Notification Procedure." Proof of identity will be required prior to granting access. A military identification card, driver's license or similar document is considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

From the individual of record.

DOT/CG 587**SYSTEM NAME:**

Investigation of Violations of Marine Safety Laws or Regulations.

SYSTEM LOCATION:

District Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons who have violated or who are suspected of violating marine safety or related laws or regulations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Reports of violation and supporting documents.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Evaluation by Coast Guard personnel for law enforcement purposes. Evaluation by other agencies, state, local and foreign governments for purposes of law enforcement, and other purposes which the agency may deem necessary for their mission.

For use in civil litigation.
For insurance purposes.
Use by the general public.
See DOT Prefatory Statement of General Routine Uses.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this systems to "consumer reporting agencies" (collecting on behalf of the U.S. Government.) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders.

RETRIEVABILITY:

Records pertaining to violations of law or regulation are retrieved by individual name or vessel name.

SAFEGUARDS:

Destroyed three years after case is closed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-M), Chief, Office of Marine Safety, Security and Environmental Protection, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII-2), United States Coast Guard Headquarters, 100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting (G-SII-2) at the address in "Notification Procedure" or the local Coast Guard District for the area in which the alleged violation occurred.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Coast Guard investigating records compiled as a result of vessel casualty. Investigations by other law enforcement agencies.

Vessel operator complaints.

Deficiencies noted during Coast Guard inspections.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system may be exempt from disclosure under the provisions of 5 U.S.C. 552a(K)(2) which provide in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 589**SYSTEM NAME:**

U.S. Merchant Seamen's Records.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-M), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

Portions of these records may be located at the Marine Inspection Office or the Marine Safety Office where the seaman was documented.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

U.S. Merchant Seamen.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personnel File.
Shipping Articles.
Locator List.
Log Books.
Seamen's License Records.
Fingerprint Records.
Disciplinary Records.
Security Records.

ROUTINE USES OF THE RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by Coast Guard officials in administering the Commercial Vessel Safety Program to determine qualifications for the issuance of licenses, documents, and certifications determine disciplinary action; to provide duplicate records of service or documents to the seaman, his next of kin or his agent; to provide information to other Federal Agencies, such as the Veterans' Administration, the Social Security Administration, etc. in connection with benefits and services administered by those agencies; to provide information to private organizations when considered beneficial to the seaman; to provide information to Federal, State, and local investigative and law enforcement officials as provided for by law.

See DOT Prefatory Statement of General Routine Use.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 USC 552a(b)(12). Disclosures may be made from this systems to "consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The personnel file will be stored on updatable microfiche and limited personal data will reside on computer disks and magnetic tapes. The above media will be continuously updated as new or additional data is received. The remainder of the records will be stored in filed folders in paper form.

RETRIEVABILITY:

The personnel file on microfiche will be accessed from its storage cabinet by a coded identifier of the location of the record within the cabinet. The data on the computer record will be retrieved by direct terminal access with the selection of data elements determined by the authorized user. Retrieval will be by name and cross indexed under ID (i.e. "Z", "BK", or Social Security Number).

SAFEGUARDS:

Personnel files on microfiche are stored in the locked retrieval cabinet. The data on the computer file can be retrieved only via "password" identifier with users being permitted access only to that portion of the overall file that has previously been determined as meeting their needs. The file folders are maintained in locked rooms.

RETENTION AND DISPOSAL:

Personnel files are held 3 years for unlicensed personnel and 10 years for licensed personnel after last activity, then transferred to a holding area where they are considered historical data and are not destroyed. Disciplinary Records are maintained in paper form. Administrative Law Judge's Decisions and Orders and Appeal File are transferred to a Federal Records Center after 5 years. Commandant's Decision on Appeal and National Transportation Safety Board Decisions and Orders are retained. Disciplinary Record Cards are destroyed upon notice of death.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-M), United States Coast Guard Headquarters, Chief, Office of Marine Safety, Security and Environmental Protection, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW Washington, DC 20593-0001. In order to determine if a record for an individual exists, it is necessary that the applicant furnish the complete name in which the document was issued, the serial number of the document (i.e., "Z", "BK," and/or Social Security Number), and his date and place of birth. A written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing Commandant (G-SII) or visiting at the address in "Notification Procedure" or the Marine Inspection Office or Marine Safety Office where the document was issued locally maintained portions.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Personnel File—Date furnished by the seamen, U.S. Coast Guard officials, other Federal Agencies and employer. Shipping Articles Vessels' operators, seamen, masters of vessels, State Department, and Coast Guard officials. Disciplinary Records—Furnished by the Investigating Officers at the various Marine Inspection and Marine Safety Offices.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a (k)(2), which provide, in part that investigatory record, and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 591

SYSTEM NAME:

Merchant Vessel Documentation System (Manual and Automated).

SYSTEM LOCATION:

Automated system is located at:

Department of Transportation, Commandant (G-M), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Manual systems are located at: Coast Merchant Vessel Documentation Offices, (See section E.W., Standard Distribution List—COMDTNOTE 5605 for office locations).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Vessel owners.
Mortgagees.
Vessel buyers and sellers.
Lien claimants.
Vessel builders.

CATEGORIES OF RECORDS IN THE SYSTEM:

Vessel owner information.
Vessel information.
Instruments of record (bills of sale, mortgages, etc.).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Establishing eligibility for documentation of vessels. Issuance of marine documents.
Recordation of bills of sale, mortgages, etc.

Publication of the annual MERCHANT VESSELS OF THE UNITED STATES.

Publication of the monthly supplement to MERCHANT VESSELS OF THE UNITED STATES.

Used by:
Coast Guard.
Other Governmental agencies.
Financial institutions and other money lenders. Anyone having business with or an interest in a documented vessel.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Index of owners maintained by Commandant (G-M). All other records maintained at home port of vessel by vessel name.

RETRIEVABILITY:

Upon furnishing name of vessel owner to Commandant (G-M), vessel name is established and request for information referred to appropriate home port. Records retrieved at home port by use of vessel name.

SAFEGUARDS:

Personnel screening.

RETENTION AND DISPOSAL:

Listings of vessel owners constantly updated by additions and deletions (automated).

Field office vessel folders transferred to Federal Records Center 2 years after change of vessel's home port or 2 years after removal of vessel from documentation (manual).

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-M), Chief, Office of Marine Safety, Security and Environmental Protection, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by the individual whose records are the subject.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing or by visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District Office.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Vessel owners, Mortgagee, Lien claimants, Vessel sellers and buyers, Coast Guard admeasures and vessel builders.

DOT/CG 592**SYSTEM NAME:**

Registered/Applicant Pilot Eligibility Folder.

SYSTEM LOCATION:

Department of Transportation (DOT), Commander, Ninth Coast Guard District, Great Lakes Pilotage Staff, 1240 East Ninth St., Cleveland, OH 44199-2060.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

United States registered pilots and applicant pilots suitable registered to perform pilotage duties aboard foreign vessels on the Great Lakes.

CATEGORIES OF RECORDS IN THE SYSTEM:

Application for registration, renewal of registration, annual report of physical examination, Coast Guard license data, and examination for registration.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by Department of Transportation, U.S. Coast Guard, FBI,

pilot associations and corporations. Used for pilot registration, training program needs, retirements, statistical compilations, and negotiations with Canadian authorities to assure equitable participation by U.S. registered pilots with Canadian registered pilots. See DOT Prefatory Statement of General Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and pilot registration number.

SAFEGUARDS:

Screened by office personnel prior to use. Locked in cabinets during non-working hours.

RETENTION AND DISPOSAL:

Records will be maintained permanently.

SYSTEM MANAGER(S) AND ADDRESS:

Commander, Ninth Coast Guard District, Great Lakes Pilotage Staff, 1240 East Ninth Street, Cleveland, OH 44199-2060.

NOTIFICATION PROCEDURE:

Same as "System Manager" above.

RECORD ACCESS PROCEDURES:

Same as "System Manager" above.

CONTESTING RECORD PROCEDURES:

Same as "System Manager" above.

RECORD SOURCE CATEGORIES:

Individual's original application for U.S. Pilot's registration and individual's yearly report of medical examination.

DOT/CG 611**SYSTEM NAME:**

Investigative Case System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-OIS), United States Coast Guard (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

Systems are also located in Coast Guard District Offices at the addresses listed in Appendix I.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

U.S. Coast Guard military personnel, merchant marine personnel, port and dock workers, and persons under investigation for violations of laws and regulations administered by the Coast Guard.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personnel security investigations, national agency check results, criminal investigation, counterintelligence investigations, computerized case control system.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by authorized Coast Guard personnel for:

Security clearances.

Actions by commanders under the Uniform Code of Military Justice. Career advancement of U.S. Coast Guard military personnel. Approval of merchant seamen documents.

Access of individuals to port facilities.

Used by: Appropriate federal, state or local agencies for criminal law enforcement and prosecution by the United States government. National Agency Checks and background investigations.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Investigative dossiers and 3x5 card retrieval system.

RETRIEVABILITY:

By name and/or case number.

SAFEGUARDS:

Alarm controlled spaces, locked and/or limited access file cabinets and office spaces. Using receipt control, automatic data processing (ADP) system cannot be penetrated for data through terminals, or otherwise, located outside the U.S. Coast Guard computer center without use of proper administrative controls. Release of dossiers to accredited personnel on "need-to-know" basis only.

Release of dossiers to accredited personnel on 'need-to-know' basis only.

RETENTION AND DISPOSAL:

Dossiers retained 50 years from date of birth.

Deceased, retirees and others separated are held one year from separation.

Dossiers are retired to the Washington National Federal Records Center for further retention of 30 years.

3x5 Cards are annotated to recall retired dossiers if necessary. Computer printouts are retained for 10 years then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-O), Chief, Office of Operations, Department of

Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to, or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District Office, location in Appendix I, for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

National Agency Checks, background investigations, criminal investigations, interviews, records checks, observations, statements.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a (k)(2), which provides in part that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent the identity of the source of the information would be revealed by disclosing the investigatory record, and the source has received an express promise that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5) which provides, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of the source who furnished information to the Government under an express promise that the identity of the source would be

held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a (k)(7), which provide, in part that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 612

SYSTEM NAME:

Port Security Card System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-OIS), United States Coast Guard Headquarters (CG), 2100 2nd Street, SW, Washington, DC 20593-0001.

Records also located at each District Office. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons regularly employed on vessels and water front facilities, or persons having regular public or private business with the operation, maintenance, or administration of vessels and cargoes or waterfront facilities.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications for port security cards awaiting processing. Processed applications indicating those granted or denied port security cards.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by Authorized Coast Guard officials to determine eligibility for issuance of Port Security Cards. See Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper files, 3x5 cards.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Maintained in file cabinets in secure areas. Personnel are screened prior to granting access.

RETENTION AND DISPOSAL:

Retained for 8 years, then destroyed by mutilating, shredding or burning.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-OIS), Chief, Office of Operations, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in 'Notification Procedure' or the local Coast Guard District or unit office for the area in which the application was filed.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Individual applications.
National Agency checks.
Other records already at Coast Guard Headquarters, if any.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(2), which provide, in part, that investigatory material compiled for law enforcement purposes may be withheld from disclosure to the extent that the identity of the source of the information would be revealed by disclosing the investigatory record and the source has received an express guarantee that his identity would be held in confidence, or, prior to the effective date of this section, if the source received an implied promise that his identity would be held in confidence.

DOT/CG 622

SYSTEM NAME:

Military Training and Education Records.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

Records are also located at District and Headquarters Units. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Coast Guard Military Personnel (Commissioned Officers, Commissioned Warrant Officers, Cadets, and Enlisted Personnel).

CATEGORIES OF RECORDS IN THE SYSTEM:

General Service Correspondence Course. Off-Duty Education Records. Professional Training Records. Non-traditional Educational Support Records. Achievement and Aptitude Test Results. Academic Performance Records. Correspondence Course Rate Advancement Records. Military Performance Records. Admissions Processing Records. Grade Reporting Records. Cadet Academic Status Records. Transcript Maintenance Records. Cadet Discipline Status Records. Military Personnel Records. Military Training Schedules Records.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Evaluation and measurement of training performance. Statistical summaries. Input to personnel records. Partial criteria for selection and admission to service/professional schools. Partial criteria for selection to postgraduate education programs. Criteria for admission to the Coast Guard. Criteria for retention in service Schools. Criteria for promotion. The above information is used by authorized Coast Guard personnel in the performance of Official duties. See Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders stored in file cabinets. Portions are stored on ADP equipment.

RETRIEVABILITY:

Retrieved by name, rate, class number, cadet code number, and Social Security Number.

SAFEGUARDS:

Records are kept in file cabinets in offices that are locked during off-duty hours. Those records stored in ADP

equipment may only be accessed through use of a user access code.

RETENTION AND DISPOSAL:

Personal History, Service History and School Conduct and Military Performance records are kept for one year. Academic and Correspondence Course records are kept for five years. Aptitude and Achievement Test results, as a part of Training and Education records, are kept for five years. Records are destroyed by mutilating, shredding or burning.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard, Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting (G-SII) at the address in "Notification Procedure," or by visiting the local activity where assigned for training. Prior written notification of personal visits is required to insure that the applicable a record will be available. Proof of identity is required prior to release of records. A military identification card, driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Official military personnel records, test results, instructors and supervisors.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of the source would be held in confidence or,

prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(6), which provides, in part, that testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of a source would be held in confidence, or prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 623**SYSTEM NAME:**

Military Pay and Personnel System.

SYSTEM LOCATION:

Department of Transportation (DOT), a. U.S. Coast Guard (CG), Department of Transportation Computer Center, 400 7th Street, SW, Washington, DC 20590-0001.

b. U.S. Coast Guard Pay and Personnel Center, 444 S.E. Quincy Street, Topeka, KS 66683-3591.

c. U.S. Coast Guard, 2100 2nd Street, SW, Washington, DC 20593-0001.

d. Decentralized data segments are located at the unit maintaining the individual's pay and personnel record and permanent duty unit.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

a. All Coast Guard military personnel, active duty and reserve.

b. Retired reserve Coast Guard military personnel waiting for pay at age 60.

c. Active duty National Oceanic and Atmospheric Administration (NOAA) officers.

d. Personnel separated from service in all the preceding categories.

CATEGORIES OF RECORDS IN THE SYSTEM:

All categories of records are electronic and/or paper, and may include identifying information, such as

name(s), date of birth, home residence, mailing address, social security number, payroll information, and home telephone number. Records reflect:

a. Work experience, educational level achieved, and specialized education or training obtained in and outside of military service.

b. Military duty assignments, ranks held, pay and allowances, personnel actions such as promotions, demotions, or separations.

c. Enrollment or declination of enrollment in insurance programs.

d. Performance evaluation.

e. The individual's desires for future assignments, training requested, and notations by assignment officers.

f. Information for determinations of waivers and remissions of indebtedness to the U.S. Government.

g. Information for the purpose of validating legal requirements for garnishment of wages.

AUTHORITY FOR MAINTENANCE OF SYSTEM:

Title 37 U.S.C. as implemented in GAO Manual for Guidance of Federal Agencies, Title 2 GAO, Title 6 GAO and Title 14 U.S.C. 92(i).

ROUTINE USE OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. To the Department of Treasury for the purpose of disbursement of salary, U.S. Savings Bonds, allotments, or travel claim payments.

b. To government agencies to disclose earnings and tax information.

c. To the Department of Defense and Veterans Administration for determinations of benefit eligibility for military members and their dependents.

d. To contractors to manage payment and collection of benefit claims.

e. To the Department of Defense for manpower and readiness planning.

f. To the Comptroller General for the purpose of processing waivers and remissions.

g. To contractors for the purpose of system enhancement, maintenance, and operations.

h. To federal, state, and local agencies for determination of eligibility for benefits connected with the Federal Housing Administration programs.

i. To provide an official of another federal agency information needed in the performance of official duties to reconcile or reconstruct data files in support of functions for which the records were collected and maintained.

j. To an individual's spouse, or person responsible for the care of the individual concerned when the individual to whom the record pertains is mentally incompetent, critically ill or

under other legal disability for the purpose of assuring the individual is receiving benefits or compensation they are entitled to receive.

k. To a requesting government agency, organization, or individual the home address and other relevant information on those individuals who, it is reasonably believed, might have contracted an illness, been exposed to, or suffered from a health hazard while a member of government service.

l. To businesses for the purpose of electronic fund transfers or allotted pay transactions authorized by the individual concerned.

m. To credit agencies and financial institutions for the purpose of processing credit arrangements authorized by the individual concerned.

n. To other government agencies for the purpose of earnings garnishment.

o. To prepare the Officer Register and Reserve Officer Register which is provided to all Coast Guard officers and the Department of Defense.

p. To other federal agencies and collection agencies for the collection of indebtedness and outstanding travel advances to the federal government.

q. The home mailing addresses and telephone numbers of members and their dependent/s to duly appointed Family Ombudsman and personnel within the Coast Guard for the purpose of providing entitlement information to members or their dependents.

See Prefatory Statement of General Routine Uses, 3 and 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The storage is on computer disks, magnetic tape microfilm, and paper forms in file folders.

RETRIEVABILITY:

Retrieval from the system is by name or social security number and can be accessed by employees in pay and personnel offices and other pay and personnel employees located elsewhere who have a need for the record in the performance of their duties.

SAFEGUARDS :

Computers provide privacy and access limitations by requiring a user name and password match. Access to decentralized segments are similarly controlled. Only those personnel with a need to have access to the system are given user names and passwords. The magnetic tape backups have limited access in that users must justify the need and obtain tape numbers and volume identifiers from a central source

before they are provided data tapes. Paper record and microfilm records are in limited access areas in locking storage cabinets.

RETENTION AND DISPOSAL:

Leave and Earnings Statements, and pay records are microfilmed and retained on site four years, then archived at the Federal Record Center, and destroyed when 50 years old. The official copy of the personnel record is maintained in the Official Officer Service Records, DOT/CG 626 for active duty officers, the Enlisted Personnel Record System, DOT/CG 629 for active duty enlisted personnel or the Official Coast Guard Reserve Service Record, OST/CG 576 for inactive duty reservists. Duplicate magnetic copies of the pay and personnel record are retained at an off site facility for a useful life of seven years. Paper records for waivers and remissions are retained on site six years, three months after the determination and then destroyed. Paper records to determine legal sufficiency for garnishment are retained on site six years, three months after the member separates from the service or the garnishment is terminated and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

a. All information on Coast Guard members other than b., c., and d. below: AFLAC Incorporated, WITN-TV, Inc. and AFLAC Broadcast Partners107

(1) For active duty members of the Coast Guard: Chief, Office of Personnel, Department of Transportation, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

(2) For Coast Guard inactive duty reserve members and retired Coast Guard reservists awaiting pay at age 60: Chief, Office of Readiness and Reserve, Department of Transportation, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

b. For Coast Guard Waivers and Remissions: Chief, Personnel Services Division (G-PMP), Office of Personnel, U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20590-0001.

c. For records used to determine legal sufficiency for garnishment of wages and pay records: Commanding Officer (LGL), U.S. Coast Guard Pay and Personnel Center, 444 S.E. Quincy Street, Topeka, KS 66683-3591.

d. For data added to the decentralized data segment the commanding officer, officer-in-charge of the unit handling the individual's pay and personnel record, or Chief, Administrative

Services Division for individuals whose records are handled by Coast Guard Headquarters.

e. For NOAA members: National Oceanic and Atmospheric Administration, Commissioned Personnel Division, 11400 Rockville Pike, Rockville, MD 20852.

NOTIFICATION PROCEDURE:

Inquiries should be directed to: a. For all information on Coast Guard members other than b., c., and d. Below: Department of Transportation, U.S. Coast Guard Headquarters (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

b. For records used to determine legal sufficiency for garnishment of wages and pay records: Commanding Officer, U.S. Coast Guard Pay and Personnel Center, 444 S.E. Quincy Street, Topeka, KS 66683-3591.

c. For data added to the decentralized data segment the commanding officer, officer-in-charge of the unit handling the individual's pay and personnel record, or Chief, Administrative Services Division for individuals whose records are handled by Coast Guard Headquarters. Addresses for the units handling the individual's pay and personnel record are available from the individual's commanding officer.

d. For all information on NOAA members: National Oceanic and Atmospheric Administration, Commissioned Personnel Division, 11400 Rockville Pike, Rockville, MD 20852.

RECORD ACCESS PROCEDURES:

Contact the addressee under notification procedures and specify the exact information you desire. Requests must include the full name and social security number of the individual concerned. Prior written notification of personal visits is required to ensure that the records will be available at the time of visit. Photographic proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Contact the addressee under notification procedures and specify the exact information or items you are contesting and provide any documentation that justifies your claim. Correspondence contesting records must include the full name and social security number of the individual concerned.

RECORD SOURCE CATEGORIES:

a. The individual's record from the following systems of records:

(1) Official Officer Service Records, DOT/CG 626.

(2) Enlisted Personnel Record System, DOT/CG 629.

(3) Official Coast Guard Reserve Service Record, DOT/CG 676.

b. Information is obtained from the individual, Coast Guard personnel officials, National Oceanic and Atmospheric Administration personnel officials, and the Department of Defense.

DOT/CG 624

SYSTEM NAME:

Personnel Management Information System (PMIS).

SYSTEM LOCATION:

Commanding Officer Pay and Personal Center (PPC), 444 S.E. Quincy St., Topeka, KS 66683-3591.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All regular Coast Guard personnel on active duty. All reserve Coast Guard personnel on extended active duty and Reserve personnel on initial active duty for training.

CATEGORIES OF RECORDS IN THE SYSTEM:

A single computer record which currently contains about 450 data elements on each member. Some data elements are used only for enlisted, others only for officers. The file contains personal information such as name, place of birth, rank, location, etc. The file also contains pay date elements which will form the basis for deriving pay entitlements for Coast Guard military personnel under the Joint Uniform Military Pay System (JUMPS).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

The file is used to produce a number of reports used throughout the Coast Guard. Types of reports are:

Locator Listing for Headquarters and Districts,

Personnel Roster for the unit to assist in verifying information, Number of personnel pay grades for advancement levels and budget expenditures,

Current reports for this system of records are listed in the Reports Distribution Manual generated by the Coast Guard for this system.

Queries and batch processing are used to recruitment levels,

Various Coast Guard offices receive the locator listing and management reports,

Government agencies other than Coast Guard categories see DOT Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 USC 552a(b)(12). Disclosures may be made from this systems to 'consumer reporting agencies' (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The storage is on computer disks with tape backups. The file is updated once a week. Once a month the file is dumped to a tape file for historical purposes.

Decentralized segments are maintained at each District Office and at Personnel Support Centers. See Appendix #1 for locations.

RETRIEVABILITY:

Retrieval from the system is by use of name or Social Security Number or a combination of personal and non-personal characteristics.

Users retrieve information direct from the file through card input or direct terminal access. Data elements to be retrieved and method of use are selected by the user.

An extract file containing summary records is produced monthly for use on a "time sharing" system. Retrieval of information from this extract is by direct terminal access only. Data elements to be retrieved and method of use are selected by the user.

SAFEGUARDS:

The computer provides privacy and access limitations by requiring a user name and password match. In addition each element of the file has its own level of accessibility which must be held by the user. Only those staff components at Headquarters with a need to have access to the file are given user names and passwords. Access to the "Time Share" extract is similarly controlled. The backup tapes and monthly dumps also have limited access in that users must justify the need before they are provided the tape numbers.

RETENTION AND DISPOSAL:

End-of-Year system backup tapes and day to day transaction tapes are retained indefinitely. Statistical and other report extract tapes are recycled into the system and consequently destroyed. Paper working files are disposed of in accordance with current record disposal instructions.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Inquiries should be directed to:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure". Prior written notification of personal visits is required to insure that the records will be available at the time of visit. Proof of identity will be required prior to release of records. Military identification card, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

The data to update the file comes from copies of official service record entries prepared by field units. The data is entered on tape for update of the computer files.

DOT/CG 625**SYSTEM NAME:**

Officer Selection and Appointment System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commander, U.S. Coast Guard, Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

Records are also located at each District and Headquarters Unit.

Use Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for Coast Guard Officer Candidate School or direct commission programs of the Coast Guard.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information in the system is supplied by applicants and also by persons, other than the applicants, who submit information pertinent to the suitability of the applicants for commissioned service in the Coast Guard.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Officials and employees of the Coast Guard in the performance of their duties in managing and contributing to the recruitment and appointment of men and women for officer programs in the regular and reserve components of the Coast Guard.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies.

Official employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

See DOT Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Paper records are stored in file folders.

RETRIEVABILITY:

Retrievability The system is indexed alphabetically by name of applicant and is retrieved by name.

SAFEGUARDS:

Records kept in file cabinets locked after working hours.

Buildings have 24-hour security guards and limited access.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

Application files for non-selected officer candidate applicants are destroyed after six months and non-selected applicants for direct commission are destroyed after one year. Files for all selected applicants are placed in the selectee's officer personnel folder.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commander, U.S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters,

Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedure may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or to the applicable Coast Guard District Office.

A letter request should contain full name, address, social security number, approximate date of application, and signature. Proof of identification will consist of military identification card, driver's license or other official identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Coast Guard recruiting personnel and employee processing application. Medical personnel conducting physical examination and private physicians providing consultations or patient history. Character and employer references named by applicants. Educational institutions, staff and faculty members. Selective Service Commission.

Local state and Federal law enforcement agencies. Prior or current military service record. Commanding officer of Coast Guard unit, if active duty. Coast Guard offices charged with personnel security clearance functions.

Other Coast Guard officials and employees in the performance of their official duties and as specified by current instructions and regulations promulgated by competent authority.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed

services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 626**SYSTEM NAME:**

Official Officer Service Records.

SYSTEM LOCATION:

Department of Transportation (DOT), Commander, U.S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

Certain records in the system are maintained at:

National Personnel Records Center, 9700 Page Boulevard, St. Louis, MO 63112.

Portions of the official service record, e.g., health record, security status jacket and leave record are maintained at the officer's unit.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All Commissioned officers of the Coast Guard on active duty, permanent or disability retired lists. Regular officers who resign and do not accept a Reserve commission.

CATEGORIES OF RECORDS IN THE SYSTEM:

General file and service record card.
Fitness File and Officer Summary Records.
Medical File.
Medical history for officers on the Temporary Disability Retired List.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Fulfillment of normal administrative procedures including assignment, promotion, training, etc.

Physical Evaluation Boards.
Board for Correction of Military Records.

Answering of Congressional and personal inquiries initiated by the individual whose record is concerned.

Preparation of forms, statements compilations, and computations necessary in the daily personnel administration of each individual entering, reentering or leaving the Coast Guard. (Routine personnel administration requires copies of this and other service record material to be included in administrative files physically separated from the record;

however, the original of this material will be included in the official service record maintained at Coast Guard Headquarters).

Furnishing of information (authorized and specified by the individual concerned) normally concerned with employment, educational or veteran benefits, claims or applications. Furnishing specified material in an officer's service record pursuant to the order of a court of competent jurisdiction. Used by:

Authorized Coast Guard Personnel. Personnel from other Federal Agencies in the conduct of official business, as authorized by the Chief, Officer Personnel Division or his designated representative.

See DOT Prefatory Statement of General Routine Uses, 3 through 5 do not apply.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 USC 552a(b)(12). Disclosures may be made from this systems to "consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 USC 1681a(f) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are maintained on paper and are assembled and filed in one official service record per member and stored on open shelf files in a room with controlled access.

RETRIEVABILITY:

Individual records are indexed and retrievable by name and/or last four digits of member's service number.

SAFEGUARDS:

During working hours physical access to records is controlled by the Officer Records Branch. Records are maintained in a central storage area locked behind two separate doors during non-working hours in the building, which has roving and static security patrols.

RETENTION AND DISPOSAL:

Each individual record is maintained at Coast Guard Headquarters until three months after retirement/resignation, after which is shipped to the:

National Personnel Records Center (Military Personnel Records), 9700 Page Boulevard, St. Louis, MO 63132.

After the separation documents are received, records of Reserve Officers released from active duty and Regular

Officers who resign and accept Reserve Commissions are sent to the Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commander, U.S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Inquiry requests for a determination as to whether this system contains records on an individual should be made by that individual, in person or in writing to Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Requesters in person will be required to show a valid ID card. Written request must include the member's name, rank, Social Security Number, and period of service.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local activity to which assigned for locally maintained portions of subject records.

Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Personal interview and voluntary submissions by individuals.
Training/Educational Reports.
Fitness Reports.
USCG District Offices and other operating units of the Coast Guard.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be

held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 627**SYSTEM NAME:**

Enlisted Recruiting Selection Record System.

SYSTEM LOCATION:

Primary System:
Department of Transportation (DOT), Commander, U. S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

Decentralized segments are maintained at:

Coast Guard District offices and Coast Guard recruiting offices. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Records and correspondence pertaining to prospective applicants, applicants for regular and reserve enlisted programs, and any other individuals who have initiated correspondence pertaining to enlistment in the United States Coast Guard.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records and correspondence in both automated and non-automated forms concerning personal history, education, professional qualifications, mental aptitude, physical qualifications, character and interview appraisals, National Agency Checks and certifications, service performance and congressional or special interests.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Officials and employees of the U.S. Coast Guard in the performance of their duties in managing and contributing to the recruitment program of the Coast Guard Reserve.

The Comptroller General or any of his authorized representatives, upon

request, in the course of the performance of duties of the General Accounting Office relating to the management or quality of military recruitment. The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies.

Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management or quality of military recruitment.

Officials and employees of the Veterans Administration and Selective Service System in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Such contractors and their employees as are or may be operating in accordance with an approved official contract with the U.S. Government.

See DOT Prefatory Statement of General Routine Uses; 3 through do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Automated records are stored on magnetic tape. Paper records are stored in file folders.

RETRIEVABILITY:

Alphabetically by name of subject and social security number.

SAFEGUARDS:

Records are accessible only to authorized personnel within the Coast Guard recruiting organization and are handled with security procedures appropriate for documents marked "For Official Use Only."

RETENTION AND DISPOSAL:

Records are normally maintained for two years and then disposed of by mutilating, shredding, or burning.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commander, U. S. Coast Guard, Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII-2), United States

Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to, or visiting, Commandant (G-SII) at the address in "Notification Procedure" or the appropriate local office where the record, or portion thereof, is filed. Prior written notification is required to insure that records will be available at time of visit.

Proof of identity will be required prior to affording access to records. A military identification card, driver's license, or similar document, will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Coast Guard recruiting personnel and administrative staff.

Medical personnel or private physicians providing consultations or patient history.

Character and employer references. Educational institutions, staff and faculty members. Selective Service System.

Local, state, and Federal law enforcement agencies. Prior or current military service records. Members of Congress.

Other officials and employees of the Coast Guard, Department of Defense and components thereof, in the performance of their duties and as specified by current instructions and regulations promulgated by competent authority.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualification of Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(7), which provide, in part, that evaluation material used to determine for promotion in the

armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 628**SYSTEM NAME:**

Officer, Enlisted, and Recruiter Selection System File.

SYSTEM LOCATION:

Department of Transportation (DOT), Commander, U.S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Civilian or military personnel who have taken the following tests:

U.S. Navy Officer Qualification (OQT), U.S. Navy and U.S. Marine Corps Aviation Selection (AST), U.S. Navy Basic Test Battery (BTB) (retests), The Cooperative Tests for Advanced Electronic Training (AET TESTS).

The 16 Personality Factor Test used for screening of enlisted personnel for recruiting duty.

Professional Examination for Merchant Mariners.

CATEGORIES OF RECORDS IN THE SYSTEM:

Card files, answer sheets.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

The records are kept to provide the test results if an applicant (civilian or military) applies for an officer program or is already in military and interested in certain training programs.

Internal users:

Officer Recruiting, Enlisted Recruiting, Enlisted Personnel, Training Programs, Merchant Marine, Commanding Officer, Enlisted Personnel District, Personnel offices, Training Centers and Academy.

Other Government Agencies:

U.S. Navy Recruiting, U.S. Marine Corps, U.S. Navy Bureau of Medicine and Surgery.

See Prefatory Statement of General Routine Uses: 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders, case files.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Combination—type safe, locked files. Test results are given only on a need to know basis to authorized personnel.

Only custodian of safes and alternate custodian have access.

RETENTION AND DISPOSAL:

Test answer sheets are destroyed after 2 years.

Card file—destroyed after 4 years.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commander, U.S. Coast Guard, Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address "Notification Procedure." Proof of identity will be required prior to release of records. A military identification card, driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Individuals concerned and United States Coast Guard recruiting officials. U.S. Marine Corps officials. U.S. Navy Recruiting officials, U.S. Navy Bureau of Medicine Surgery officials.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Systems exempted from disclosure under the provisions of 5 U.S.C. 552a(k)(6), which provides, in part, that testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process.

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified

information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(7), which provides, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 629**SYSTEM NAME:**

Enlisted Personnel Record System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commander, U. S. Coast Guard Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

Decentralized segments of the system are located at each District office and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All enlisted members of the Coast Guard now serving on active duty (including enlisted members of the Reserve on extended active duty), and members who have been temporarily or permanently retired or discharged.

CATEGORIES OF RECORDS IN THE SYSTEM:

Enlisted contract package, record of emergency; data, leave records, performance ratings, administrative remarks, medical records.

All other requisite Coast Guard personnel forms, and pertinent miscellaneous correspondence.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For use in formulating all Coast Guard personnel actions including, but not limited to, assignment, promotion, reenlistment, retirement, discharge, determination of entitlement to pay allowances, correction of records, and disciplinary actions.

Data is provided to the Veterans Administration for determination of an individual's eligibility for benefits administered by that agency and to medical facilities maintained by the Department of Health, Education and Welfare in conjunction with medical treatment afforded an individual.

See DOT Prefatory Statement of General Routine Uses: 3 through 5 do not apply.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 USC 552a(b)(12). Disclosures may be made from this system to "consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 USC 1681a(f)) or the Federal Claims Collection Act of 1982 (31 USC 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained in enlisted files record jackets and stored in file cabinets.

RETRIEVABILITY:

Records are retrievable by name of individual or the last three digits of the individual's social security number.

SAFEGUARDS:

Records maintained at Coast Guard Headquarters are located in a central storage area, locked behind two separate doors during non-working hours, in a building with a roving security patrol.

Records at field units are maintained in Government office buildings with off-duty hours security.

During working hours, access to records is controlled by office personnel.

RETENTION AND DISPOSAL:

Individual records are maintained at CG Headquarters until six months after an enlisted member is discharged, permanently retired for physical disability, or retired for years of service, after which records are transmitted for permanent storage to the:

National Personnel Records Center (Military Personnel Records), GSA, 9700 Page Boulevard, St. Louis, MO 63132.

In the case of members transferred to the Reserve, their records are sent to Commandant (G-WT) after separation documents are received.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commander, U.S. Coast Guard, Personnel Command, 2100 2nd St., SW, Rm. 1412, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001. Written request must be signed by individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to, or visiting, Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or unit administrative officer for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is obtained from the individual, and Coast Guard officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 U.S.C. 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 630

SYSTEM NAME:

Coast Guard Family Housing.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments are maintained at: Each District and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Military and civilian personnel of all pay grades who made application for government and/or government leased housing. Military personnel who make applications in locating community housing, married officers and married E-3 or above (over 2 years service).

Certain government employees occupying government housing. Military or civilian personnel who have corresponded with the President, a Congressman, or the Commandant concerning family housing.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applicant's name, pay grade, marital status, current address and dependent information maintained for the Coast Guard Housing Administration Information and Liaison (HAII) System. Includes family housing survey; computer data summaries are maintained for the family housing survey.

Copies of correspondence from an individual to the President, a Congressman or the Commandant, inquiry sheets, and replies maintained for congressional correspondence files.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For use by authorized Coast Guard employees in performance of their duties in placing the applicant in government owned or leased housing or community housing. Assessing housing needs of District and Headquarters Units. Answering inquiries from individuals, Congressmen or the Commandant concerning family housing. Preparing Budgets. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folder.

RETRIEVABILITY:

By name of individual, Coast Guard District and date received.

SAFEGUARDS:

Records are maintained in locked file cabinets and desk file drawers.

RETENTION AND DISPOSAL:

Records are maintained until the applicant is placed in housing and then destroyed.

Records concerning congressional correspondence are maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001. Written request must be signed by individual whose record is being requested.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District Office. See address in Appendix I.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is obtained from applicant, individuals who complete family housing survey forms, initiate correspondence concerning family housing and Coast Guard officials.

DOT/CG 631**SYSTEM NAME:**

Family Advocacy Case Record System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), U. S. Coast Guard Headquarters, 2100 2nd St. SW, Washington, DC 20593-0001.

Decentralized segments may be maintained at the District, Maintenance and Logistics Command (MLC), or Headquarters Unit Social Worker's office, at the duty station of the sponsor, and at selected medical facilities. Decentralized segments may also be maintained at the duty station of the District, MLC, or Headquarters Unit Family Advocacy Representative (FAR) under whose jurisdiction an incident occurred.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty, reserve and retired personnel and dependents entitled to care at Coast Guard or any other military medical and dental facility whose abuse or neglect is brought to the attention of appropriate authorities, and persons suspected of abusing or neglecting such beneficiaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records of suspected and confirmed cases of family member abuse or neglect, investigative reports, correspondence, family advocacy committee reports, follow up and evaluation reports, and any other supportive data assembled relevant to individual family advocacy program files.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. To Federal, State and Local government or private agencies for coordination of family advocacy programs, medical care, mental health treatment, civil or criminal law enforcement, and research into the causes and prevention of family domestic violence.

b. To individuals or organizations providing family support program care under contract to the Federal Government.

c. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records may be stored in file folders, microfilm, magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

RETRIEVABILITY:

Records are retrieved through indices and cross indices of all individuals and relevant incident data. Types of indices used, but not limited to include: Name, social security number, and types of incidents.

SAFEGUARDS:

Records are maintained in various kinds of locked filing equipment in specified monitored or controlled access rooms or areas. Records are accessible only to authorized personnel. Computer terminals are located in supervised areas, with access controlled by password or other user code system.

RETENTION AND DISPOSAL:

a. Records will be maintained at a decentralized location until the case is closed or the sponsor is separated.

b. Upon case closure or separation of the sponsor, the record will be transferred to Commandant (G-PMP). The record will be retained for 5 years from case closure or date of last action. At the end of 5 years the record will be destroyed, except for information concerning certain minor Coast Guard dependents who were victims or suspected victims of child abuse, neglect or sexual abuse will be retained until the dependent attains majority.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WP), Chief, Office of Personnel Management, Department of Transportation, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

a. Central location: Notarized written requests should contain the full name and social security number of the member and be addressed to: Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

b. Decentralized locations: Notarized written requests should contain the full name and social security number of the member and be addressed to the MLC, district, or unit where the individual is assigned.

RECORD ACCESS PROCEDURES:

Access may be obtained by writing to Commandant (G-SII) at the address in "Notification Procedure."

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Reports from medical personnel, educational institutions, law enforcement agencies, public and private health and welfare agencies, Coast Guard personnel and private individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Part of this system may be exempt under 5 U.S.C. 552a(k) (2) and (5) which provide in part the exemption of investigatory material compiled for law enforcement purposes or solely for the purposes of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure would reveal the identity

of a source who furnished information to the Government under an express promise of confidentiality.

DOT/CG 632**SYSTEM NAME:**

Uniformed Services Identification and Privilege Card Record System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Dependents of U.S. Coast Guard personnel (active, retired, reserve and deceased).

Former Coast Guard personnel who have been rated by the Veterans Administration as one-hundred percent disabled and their eligible dependents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications for Uniformed Service Identification and Privilege Card (DD-1172).

Verification for eligibility to possess the Identification and Privilege Card (DD-1173). Pertinent miscellaneous correspondence.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used by authorized Coast Guard employees to verify that applicant is entitled to be issued an Identification and Privilege Card. Verification provided to other Armed Forces authorized personnel as required. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Maintained in file folders.

RETRIEVABILITY:

Alphabetical by name.

SAFEGUARDS:

Maintained in file cabinets. During working hours access to records is controlled by office personnel. During non-working hours building is patrolled by roving security guards.

RETENTION AND DISPOSAL:

Retained for 10 years after which they are destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), Chief, Office of

Personnel Management, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must contain, full name, social security number (SSN) and be signed by individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to, or visiting, Commandant (G-SII) at the address in "Notification Procedure."

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is supplied by the sponsor and/or his dependents.

DOT/CG 633**SYSTEM NAME:**

Coast Guard Civilian Personnel Security Program.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments are located at: Each District Office and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Coast Guard Civilian Personnel. Applicants for civilian positions.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records of civilian security clearance granted. Correspondence and requests concerning civilian personnel security actions.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For uses in determining eligibility for access to classified information under Executive Order 11652 and suitability for sensitive positions.

Categories of users include use by Coast Guard employees in performance of official duties and use by investigative agents of other federal agencies.

See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folder—3x5 Index cards.

RETRIEVABILITY:

Records are retrieved by name of individual.

SAFEGUARDS:

Records are kept in locked cabinets and safes. Individual identification is required for users of records.

RETENTION AND DISPOSAL:

Upon termination of employment investigative files for civilians, which serve as a basis for security clearances, are returned to the Civil Service Commission.

A name record of type of investigation is kept for 5 years and then destroyed by burning.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard, Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by the individual whose record is being requested.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local office or unit. See addresses in Appendix I.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Civilian Personnel: Civil Service Investigative Reports, Personnel Security Clearance requests and forms SF-85, SF-86 and SF-171.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the

provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provide, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of a source would be held in confidence, or prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

DOT/CG 634**SYSTEM NAME:**

Child Care Program Record System.

SYSTEM LOCATION:

At the facility where the care was provided or is being provided.

CATEGORIES OF INDIVIDUALS COVERED BY SYSTEM:

- a. Children enrolled in a U.S. Coast Guard child care program.
- b. Children being cared for in U.S. Coast Guard family quarters. Eligible children of active duty members of the Uniformed Services and children of Federal employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

- a. Information about the family;
- b. Medical history of child;
- c. Authorization for emergency medical care;
- d. Permission for field trips;
- e. Authorization to release child to someone other than parent;
- f. Establishment of eligibility for participation in State or Federally sponsored programs;
- g. Communication between the care provider and parents about child; and,
- h. Other necessary records to protect health and safety of children.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

- a. Provided to Federal, State, or local governments and agencies to report medical conditions and other data required by law; to aid in preventive health and communicable disease control problems.
- b. Provided to Department of Agriculture for use in determining eligibility to participate in the Child Care Food Program.
- c. Records for children provided care in U.S. Coast Guard programs will be in the custody of and disclosed to the care provider.
- d. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Maintained on forms in file folders or in computer file.

RETRIEVABILITY:

Name of child.

SAFEGUARDS:

- a. Files are maintained in a secured filing cabinet. Access is limited to authorized center staff.
- b. Files for child care in U.S. Coast Guard family quarters are maintained in a cabinet or drawer in the quarters.

RETENTION AND DISPOSAL:

Child's record file is destroyed 3 years after date of last action. Registration/medical forms may be sent to another facility if child transfers. CCFP eligibility records are transferred to an audit file at the end of each year where they are not retrieved by child's name. Audit records are destroyed after 3 years or after audited, whichever is sooner.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WP), Chief, Office of Personnel Management, Department of Transportation, United States Coast Guard Headquarters, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

- a. Written request or personal visit to the child care facility which provided care.
- b. Written request to: Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.
Proof of identity may be required prior to permitting access to records. Written request should include full name of the individual requester and the full name of the child whose records are requested.

RECORD ACCESS PROCEDURES:

Same as "Notification Procedure."

CONTESTING RECORD PROCEDURES:

Same as "Notification Procedure."

RECORD SOURCE CATEGORIES:

Parents or medical personnel familiar with the child's medical history.

DOT/CG 636**SYSTEM NAME:**

Personal Affairs Record System Coast Guard Military Personnel.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments at: Each District and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty and retired Coast Guard military personnel who have been subject to damage arising out of domestic relations disputes, alleged personal indebtedness, and claims of alleged paternity.

CATEGORIES OF RECORDS IN THE SYSTEM:

Case files containing complaint concerning alleged personal indebtedness, complaints arising out of domestic relations disputes, claims of alleged paternity.

Files contain correspondence including investigative steps, response to complaints and follow up correspondence on recurring complaints. Index card files contain summary of material contained in case file for each reference.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For use in attempting to resolve complaints in an expeditious manner.

For reference in development of future policy. Information is used by: Authorized Coast Guard employees in performance of the duties. Complainant and/or authorized representatives.

See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Case file and card index file.

RETRIEVABILITY:

Alphabetical listing.

SAFEGUARDS:

Kept in locked filing cabinet. Personnel are screened prior to granting access.

RETENTION AND DISPOSAL:

Maintained for 5 years after action completed and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW., Washington, DC 20593-0001.

Written requests must be signed by the individual whose record is being requested.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District Office or unit for the area in which an individual's duty station is located. See Appendix I for addresses. Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is obtained from complainants, their legal representatives and Coast Guard officials.

DOT/CG 637**SYSTEM NAME:**

Appointment of Trustee or Guardian for Mentally Incompetent Personnel.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001.

Decentralized segments are located at: Each District and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty and retired Coast Guard military personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

Case files containing information relating to the mental incompetency of certain Coast Guard personnel. Records used to assist Coast Guard Officials in appointing trustees for mentally incompetent Coast Guard persons.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Authorized Coast Guard employees in performance of their duties, prospective appointees, including but not limited to relatives, lawyers, physicians or other designated representatives. Veterans Administration upon request for the determination of eligibility for benefits administered by that agency. See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Locked file cabinet.

RETRIEVABILITY:

Alphabetical listing.

SAFEGUARDS:

Stored in locked file cabinets. Access restricted to representatives of incompetent. Identification required, such as, a military identification card, valid state driver's license, or other picture identification card.

RETENTION AND DISPOSAL:

Maintained for 5 years after action is complete then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001.

Written request must be signed by trustee or guardian.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District office or unit having custody of the records. See Appendix I for addresses.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Coast Guard officials, legal representatives of individuals and/or individuals concerned and complainants.

DOT/CG 638**SYSTEM NAME:**

USCG Alcohol Abuse Prevention Program Record System.

SYSTEM LOCATION:

- Commander, Atlantic Area, U.S Coast Guard, Governors Island, Building 125, 2nd Floor, New York, NY 10004-5000
- Commander, Pacific Area, U.S. Coast Guard (PCS), Coast Guard Island, Alameda, CA 94501-5100

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty Coast Guard personnel receiving alcohol rehabilitation treatment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Alcohol rehabilitation particulars which include: Name, Social Security Number, Prior Service, Rate/Rank, Date of Birth, History of Alcohol Abuse, Treatment Center, Dates of Treatment, Notes on Aftercare, and Final Disposition and Type.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are maintained on file cards (3" x 5") and/or a computer data base.

RETRIEVABILITY:

Records are retrieved by the name of the individual.

SAFEGUARDS:

File cards are maintained in locked filing cabinets. The computer data base is protected by password access limited to Alcohol Program Managers.

RETENTION AND DISPOSAL:

Records will be destroyed three years after last activity.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WK), United States Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001-0001.

NOTIFICATION PROCEDURE:

Written inquiries shall be submitted to the Alcohol Program Manager in the

area in which the member most recently received treatment, at the following addresses:

- a. Commander, Atlantic Area, U.S. Coast Guard, Governors Island, Building 125, 2nd Floor, New York, NY 10004-5000
- b. Commander, Pacific Area, U.S. Coast Guard (PCS), Coast Guard Island, Alameda, CA 94501-5100

RECORD ACCESS PROCEDURES:

Access may be obtained by writing to, or visiting Commander, U.S. Coast Guard Maintenance and Logistics Command, Atlantic, or U.S. Coast Guard Maintenance and Logistics Command, Pacific, at the addresses in "System location". Written requests must be signed by the member. An individual visiting the Maintenance and Logistics Command must provide identification to obtain access to records. A military identification card, a driver's license, or similar document will be considered suitable identification.

a. For individuals undergoing treatment, the record is maintained at the Coast Guard Maintenance and Logistics Command responsible for the geographic region where the member is permanently assigned.

b. For individuals who have completed treatment, the record is maintained at the Coast Guard Maintenance and Logistics Command responsible for the geographic region where treatment was completed.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

- a. Personnel records.
- b. Medical records.
- c. Security records.
- d. Treatment facility reports.
- e. Post treatment aftercare reports.

DOT/CG 639

SYSTEM NAME:

Request for Remission of Indebtedness.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments are located at: Each District and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active Duty Enlisted Coast Guard Personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

Files containing correspondence, requests with endorsements, research material, paneling action, Commandant's decisions.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For use in making determinations based on the best interests of the individual and the Government.

Categories of users are Coast Guard Officials in performance of their official duties.

See DOT Prefatory Statement of General Routine Uses: 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Locked filing cabinets.

RETRIEVABILITY:

Alphabetical listing.

SAFEGUARDS:

Locked filing cabinets.

RETENTION AND DISPOSAL:

Retained for 5 years after decision is made, then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the local Coast Guard District or unit for the area in which an individual's duty station is located.

Proof of identity will be required prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is obtained from individual and Coast Guard Officials.

DOT/CG 640

SYSTEM NAME:

Outside Employment of Active Duty Coast Guard Personnel.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments are located at: Each District Office and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active Duty and Reserve Coast Guard Personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

Correspondence relating to individual's request for part time employment.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

For use by Coast Guard officials in determining in questionable cases whether an individual should hold a particular job or position. Both the legality and the propriety of the request are considered.

See DOT Prefatory Statement of General Routine Uses; 3 through 5 do not apply.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Locked filing cabinets.

RETRIEVABILITY:

Alphabetical listing.

SAFEGUARDS:

Kept in locked filing cabinet. Access restricted to individuals who request outside employment, and authorized Coast Guard officials. Proper identification is required.

RETENTION AND DISPOSAL:

Retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WP), United States Coast Guard Headquarters, Chief, Office of Personnel Management, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by the individual whose record(s) is being requested.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-

SII) at the address in "Notification Procedure" above or the local Coast Guard District Office or unit for the area in which an individual's duty station is located. See addresses in Appendix I.

Proof of identity will be required, prior to affording an individual access to records. A military identification card, a driver's license or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information is obtained from the individual and Coast Guard officials.

DOT/CG 641

SYSTEM NAME:

Coast Guard Special Needs Program.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Decentralized segments of this stem of records may be maintained at the district, Maintenance and Logistics Command (MLC), or Headquarters Unit Social Worker's Office, at the duty station of the sponsor, and at selected medical facilities. Decentralized segments may also be maintained in the office of the district, MLC, or Headquarters Unit Family Advocacy Representative (FAR) which serves the unit of the sponsor.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Active duty and retired Coast Guard personnel and their dependents who have diagnosed medical, physical, psychological, or educational need which constitutes a developmental disability or handicapped condition. Active duty Coast Guard personnel and their dependents considered for overseas assignment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Extracts or copies of medical, educational and psychological records of member and/or dependents with special needs, follow-up and evaluation reports, and any other data relevant to individual special needs program files or overseas screening.

ROUTINE USE OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

a. Provide to Federal Government agencies for coordination of special needs programs, medical care, mental health treatment, and monitoring and tracking special needs families.

b. Provide to individuals or organizations providing family support program care under contract to the Federal Government.

See Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records may be stored in file folder, microfilm, magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

RETRIEVABILITY:

Records are retrieved through indices and cross indices of all individuals and relevant incident data. Types of indices used include, but not limited to: Name, social security number and the diagnosis or International Classification of Diseases (ICD) code of the special needs condition.

SAFEGUARDS:

Records are maintained in various kinds of locked filing equipment in specified monitored or controlled access rooms or areas. Records are accessible only to authorized personnel. Computer terminals are located in supervised areas, with access controlled by password or other user code system.

RETENTION AND DISPOSAL:

a. Records will be maintained at a decentralized location until the sponsor is separated or the dependent is no longer diagnosed as having special needs.

b. Upon separation of the sponsor or when the dependent is no longer diagnosed as having special needs, the record will be transferred to Commandant (G-PS). After a 3 year retention, the record will be destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Personnel Management (G-WP), Department of Transportation, United States Coast Guard, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Inquiries should be directed to:
a. Central location: Notarized written requests should contain the full name and social security number of the member and be addressed to Commandant (G-SII), U.S. Coast Guard, Washington, DC 20593-0001.

b. Decentralized location: Notarized written request should contain the full name and social security number of the member and be addressed to the MLC, district, or unit where the individual is assigned.

RECORD ACCESS PROCEDURES:

Same as Notification Procedure.

CONTESTING RECORD PROCEDURES:

Same as Notification Procedure.

RECORD SOURCE CATEGORIES:

Reports from medical personnel, mental health and educational institutions, public and private health and welfare agencies and Coast Guard personnel and private individuals.

DOT/CG 671

SYSTEM NAME:

Biographical Statement.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-CP), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Key DOT officials, USCG flag officers.

CATEGORIES OF RECORDS IN THE SYSTEM:

Individual biographical data.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Public Affairs Staff—uses records for publicity. Personnel Office—uses records for promotion. See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper forms and correspondences are stored in filing cabinets.

RETRIEVABILITY:

By name.

SAFEGUARDS:

Personnel are screened prior to granting access.

Stored in building having roving security guards during nonworking hours.

RETENTION AND DISPOSAL:

Transferred to historical file upon termination of active duty.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-CP), U.S. Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd

Street, SW, Washington, DC 20593-0001.

Written request must be signed by individual.

RECORD ACCESS PROCEDURES:

Procedures may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure."

Proof of identity will be required prior to granting access. A military identification card, driver's license, or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Individual named in file.

DOT/CG 676

SYSTEM NAME:

Official Coast Guard Reserve Service Record

SYSTEM LOCATION:

Department of Transportation (DOT), United States Coast Guard (CG), Commandant (G-WT), 2100 2nd Street, SW, Washington, DC 20593-0001.

For official records on discharged, retired, and separated former members: General Services Administration (GSA), National Personnel Records Center (Military Personnel Records), 9700 Page Boulevard, St. Louis, MO 63132.

Decentralized segments are located at: Each Coast Guard District Reserve office (for District records).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Reserve officer and enlisted personnel (not on extended active duty) in an active, inactive, retired, discharged, separated or former member status; including those Reservists released from extended active duty to fulfill a specified term of obligated inactive reserve service. Enrolled and disenrolled members of the Temporary Coast Guard Reserve.

CATEGORIES OF RECORDS IN THE SYSTEM:

Official career history of each Reservist including (as applicable): Enlistment contract or Oath of Office. Record of Emergency Data. Training Course/Educational achievements. Rate/Grade/Rating qualifications.

Leave record.

Performance of duty marks/fitness reports. Medals and commendations.

Record of sea duty/duty outside continental United States. Statements of creditable and former service (including pay base date).

Statements and computations of retirement points. Official orders.

Correspondence pertaining to any/all of the above.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Fulfillment of normal administrative personnel procedures, including examining and screening for completeness and accuracy of records and correspondence pertaining thereto. Screening of service records for advancement, promotion, or retention of individual Reservists by various Reserve Boards.

Answering of Congressional and personal inquiries initiated by the individual whose record is concerned.

Preparation of forms, statements, compilations and computations necessary in the daily personnel administration of each individual entering, re-entering or leaving the Coast Guard Reserve. Routine personnel administration requires copies of this and other service record material to be included in administrative files physically separated from the record; however, the original copy of this material will be included in the official service record maintained at Coast Guard Headquarters.

Furnishing of information (authorized and specified by the individual concerned) to other agencies or individuals (specified by the individual concerned) normally concerned with employment, educational or Veteran's benefits, claims, or applications. Furnishing specified material in a Reservist's service record pursuant to the order of a court of competent jurisdiction. Used by:

Individual upon whom records are kept (personal review). File clerks and personnel from the Office of Reserve and Training (G-WT), in the normal performance of their duties.

Other personnel within the Coast Guard in the normal performance of their duties, as authorized by the Chief, Reserve Affairs or his designated Representative. See Prefatory Statement of General Routine Uses.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this systems to "consumer reporting agencies" (collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collecting Act of 1982 (31 U.S.C. 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained on paper assembled and filed in one official service record per member.

RETRIEVABILITY:

Individual Service Records are indexed and retrievable by name and/or triple terminal digit of member's service number.

SAFEGUARDS:

Service records are maintained in a central storage area locked behind two separate doors. During non-working hours the building security consists of roving and static security patrols.

During working hours physical access to records is controlled by Records Control Branch personnel.

RETENTION AND DISPOSAL:

Individual records are maintained at CG Headquarters until six months after an enlisted member's separation from the service (three months for officers), after which it is transmitted for permanent storage to the:

Military Personnel Record Center (MPRC), National Personnel Records Center (NPRC), 9700 Page Boulevard, St. Louis, MO 63132.

In the case of retired members, the service record is shipped to NPRC upon retirement.

SYSTEM MANAGER(S) AND ADDRESS:

Department of Transportation, Commandant (G-WT), Chief, Reserve Affairs, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Inquiry requests for determination whether this system contains records on an individual should be made by the individual, in person or in writing to:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Written requests must be signed by the individual and must include the member's name, social security number and/or reserve number.

RECORD ACCESS PROCEDURES:

Procedures for access may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure" or the District Office in which an individual's duty station is located. Proof of identity will be required prior to affording an individual access (may consist of a military

identification, driver's license, or other suitable identification.)

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information contained in a member's service record is obtained from the individual concerned, CG Headquarters, District offices and other CG units.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(5), which provide, in part, that investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence. Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552a(k)(7), which provides, in part, that evaluation material used to determine potential for promotion in the armed services may be withheld from disclosure but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

Portions of this system of records may be exempt from disclosure under the provisions of 5 USC 552(k)(6), which provides, in part, that testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be withheld from disclosure to the extent that disclosure of these records would compromise the objectivity or fairness of the testing or examination process.

DOT/CG 677

SYSTEM NAME:

Coast Guard Reserve Personnel Mobilization System.

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WT), United States

Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

Commander Reserve in each Coast Guard District Office (except 17th).

Each District and Headquarters Unit. See Appendix I for locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Reserve officer and enlisted personnel (not on extended active duty) in an Active or Retired status; including those Reservists released from extended active duty to fulfill a specified term of obligated inactive Reserve service.

CATEGORIES OF RECORDS IN THE SYSTEM:

Mobilization and qualification cards and orders. Initial, Annual, and Retired Screening and Qualification Questionnaires.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Fulfillment of normal administrative procedures including the examining and screening for completeness and accuracy of records, correspondence pertaining thereto as a basis for assignment to active duty for training; special active duty for training or extended active duty and mobilization billets.

Users of these Records are Coast Guard employees in performance of official duties.

See DOT Prefatory Statement of General Routine Uses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained on paper, punched cards and magnetic tape.

RETRIEVABILITY:

Individual Reservists are indexed by name and/or social security account number.

SAFEGUARDS:

Safeguards and controls afforded this system of records are similar to those normally employed "For Official Use Only" material, both at Headquarters and District Offices. Records are maintained in locked secure areas when not in use and personnel screening is employed prior to granting access.

RETENTION AND DISPOSAL:

Individual records are maintained at CG Districts and at Headquarters throughout the members active Reserve status and during any period in a Retired Status thereafter (as applicable, and for as long as that member is

considered a mobilizing resource). A "dead file" is often maintained for those Reservists transferred, discharged, or otherwise separated (this procedure varies from District to District).

The majority of records in this system (in any form) are generally destroyed immediately after the expiration of their useful life, except those retained in the aforementioned "dead files" (which are subsequently destroyed one year after placement in the file). The major exceptions to this policy are the Screening and Qualification Questionnaires, which are filed in the Reservists District Service Record.

Records are destroyed by mutilating, shredding or burning.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WT), United States Coast Guard Headquarters, Chief, Office of Reserve and Training, 2100 2nd Street, SW., Washington, DC 20593-0001.

NOTIFICATION PROCEDURES:

Department of Transportation, Commandant (G-SII), United States Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001. Written request must be signed by the individual.

RECORDS ACCESS PROCEDURES:

Individual should contact Commandant (G-SII) in person or in writing at the address in "Notification Procedure." For records maintained at the District, individual should contact the Commander(s) at the District to which the individual is assigned. Refer to Appendix I for addresses.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information contained in this system of records is obtained from the following sources: The individual himself, CG Headquarters, and CG District Offices.

DOT/CG 678

SYSTEM NAME:

Reserve Personnel Management Information System (Automated).

SYSTEM LOCATION:

Department of Transportation (DOT), Commandant (G-WT), Office of Reserve Training, United States Coast Guard Headquarters, 2100 2nd Street, SW., Washington, DC 20593-0001.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Reserve officers and enlisted personnel in an active or inactive status,

including retired reservist, and those reservists released from extended active duty to fulfill a specific term of inactive obligated service.

CATEGORIES OF RECORDS IN THE SYSTEM:

Included in RPMIS are the following data concerning each Coast Guard Reservist in this system which are necessary to administer the Coast Guard program: name, social security number, present and last five grades or rates, educational background, civilian and military, foreign language and proficiency, history of unit assignments and dates assigned, duty status, date of birth, date of enlistment, appointment or extension, AFQT scores, source of entry, date of commission, prior service, date of expiration of obligation, anniversary data on pay base date, aviation pay and administrative pay, training rate, reserve category and class, training/pay category, data on ADT for last five years, number of dependents, Federal withholding exemptions, Selective Service induction certification, date of completion of Ready obligation, officer experience indicator, last screening date and result, civilian occupation, date of last National Agency Check, Background Investigation and security clearance, domestic emergency volunteer, date of last physical and immunization, data on special active duty for training and extended active duty, annual training date, total retirement points and satisfactory years of service for retirement purpose, current year retirement point accounting data, including inactive duty training participation, correspondence course activity, taxable wages paid and withholdings, uniform allowances, Servicemen's Group Life Insurance (SGLI) information, mailing address, and work and home phone number.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

The RPMIS is used for the personnel administration of individual reservists and the overall management of the reserve program. See prefatory Statement of General Routine Uses. The Master

Personnel File provides status and qualification listing, expiration of enlistment and physical reports, strength management reports, unit and district roster, and advancement and promotion reports. The Pay and Point axle provides point count statements, budgeting reports, inactive duty and active duty pay, and retirement eligibility listings. The addresses of individual reservists are used for mailing paychecks, earning statements, 'The Reservist', and Annual Screening questionnaires. Records in this system are routinely disclosed to the Treasury Department to complete payroll checks. Used by: Authorized personnel from the Office of Readiness and Reserve and the Office of the Comptroller, authorized personnel on the staff of the various district commanders in the normal performance of their official duties, the Deputy Assistant Secretary of Defense for Manpower, Logistics and Reserve Affairs and others as authorized by Chief, Office of Readiness and Reserve or his representative.

DISCLOSURE TO CONSUMER REPORTING AGENCIES:

Disclosures pursuant to 5 U.S.C. 552a(b)(12). Disclosures may be made from this systems to "consumer reporting agencies" collecting on behalf of the U.S. Government) as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)).

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The storage is on computer disks with magnetic tape backups. The file is updated weekly.

RETRIEVABILITY:

Individual records in the system are retrieved by Social Security Number.

SAFEGUARDS:

Magnetic tapes are stored in locked storage areas when not in use and are accounted for at all times during actual use. Personnel screening is employed prior to granting access.

RETENTION AND DISPOSAL:

Magnetic tapes are used, corrected and updated until the tapes become physically deteriorated after which they are destroyed. A reservist's address is maintained on file for approximately one year after discharge, to allow for processing of annual point statements and W-2 forms. Audit trails are maintained indefinitely and the Master Personnel file and Pay and Points file are continually updated.

SYSTEM MANAGER(S) AND ADDRESS:

Commandant (G-WT), Chief, Office of Reserve Training, United States Coast Guard Headquarters, 2100 2nd Street, SW, Washington, DC 20593-0001.

NOTIFICATION PROCEDURE:

Requests to determine if this system contains information on any individual should be made in person or in writing to: Department of Transportation, United States Coast Guard Headquarters, Commandant (G-SII), 2100 2nd Street, SW, Washington, DC 20593-0001. Written request must be signed by the individual.

RECORD ACCESS PROCEDURES:

Procedures for access to record may be obtained by writing to or visiting Commandant (G-SII) at the address in "Notification Procedure." Prior written notification of personal visit will insure that the record will be available at the time of visit. Proof of identity will be required prior to release of records. A military identification or similar document will be considered suitable identification.

CONTESTING RECORD PROCEDURES:

Same as "Record Access Procedures."

RECORD SOURCE CATEGORIES:

Information contained in the system is obtained from the individual, Coast Guard Headquarters and district offices, and the various operating units of the Coast Guard.

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