

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOURNAL NUMBER <i>12/18/06</i> <i>N1-026-07-3</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>Dec. 20, 2006</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION United States Coast Guard		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION USCG Personnel Service Center			
4. NAME OF PERSON WITH WHOM TO CONFER Glenna Coldsmith	5. TELEPHONE NUMBER 785-339-3739	DATE <i>3/17/08</i>	ARCHIVIST OF THE UNITED STATES WITHDRAWN
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>7</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11 December 2006	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>		TITLE Records Officer, United States Coast Guard
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	The purpose of this request is to Change an item in the current schedule to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual. Records are maintained at USCG Personnel Service Center, Topeka KS. Prescribing Directives: 10 USC 2771; 10 USC 1447-1455; 10 USC 1408; 10 USC 1401; 10 USC 1414; 10 USC 1413A; 10 USC 12731-12739; 10 USC 1455; 14 USC 633; 26 USC 3405; 37 USC 602; 37 USC 322; 42 USC 659-666; Information And Life Cycle Management Manual, COMDTINST M5212.12A. <u>SSIC 7220 MILITARY PAY</u> Item 2 The U.S. Coast Guard Retired Pay Imaging System (See attached)	N1-26-76-2 Item 295	

The U.S. Coast Guard Retired Pay Imaging System

The Retired Pay Imaging System serves as supporting documentation to payments of current retirees receiving accrual payments from Coast Guard accounts. The program provides retired pay for military personnel of the Coast Guard active duty, Coast Guard Reserve, members of the former Lighthouse Service, and for annuities payable to the beneficiaries of retired military personnel under the retired Serviceman's family protection plan (10 U.S.C. 1431-46) and the survivor benefit plans (10 U.S.C. 1447-55). Also, includes payments for career status bonuses under the National Defense Authorization Act; and payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C., ch. 55). The laws/regulations require the system to have the ability to produce certain hardcopy documents to support administration of retiree, former spouse, and annuitant pay. Such documents as listed below are optically imaged and often reproduced or referenced for administering the retired pay program.

1. SCANNED IMAGES. Consisting of images of Retired, Reserved, Annuitant, NOAA retiree and annuitant, Former Spouse, Lighthouse Keeper pay records. Once they become part of the official record, images will be maintained in the "ImageNow" software utility system until they are archived to an inactive (but still online) drawer. Data can be broken into the following categories:

a. FINAL PAY BENEFICIARY INFORMATION. When a retiree dies, monies due a retiree shall be paid to the beneficiary(ies) designated by the member in writing. Examples of records include:

- Designation of Beneficiary for Payment of Unpaid Retired Pay (CG PSC 3600, CG PPC-3600, CGHQ-3946)
- Coast Guard & NOAA Retired Pay Account Worksheet and Survivor Benefit Plan Election (CG PSC-4700)
- Retired Beneficiary Validation (CG PPC-7241)
- Record of Emergency Data (CG-4113)
- Claim for Final Retired Pay (CG PSC-3867)
- Certification for Payment of Claim (PPC CG 3867, CGHQ-3867)
- Death Certificates (for retirees, annuitants, former spouses and SBP-Enrolled children)

b. BENEFIT PLANS, BENEFICIARY DESIGNATIONS AND CONCURRENCE. Data is used to support deductions from a retiree's pay for participation in the Survivor Benefit Plan (SBP), the Reserve Component Survivor Benefit Plan (RCSBP), and the Retired Serviceman's Family Protection Plan (RSFPP) and support payment of annuities to designated SBP/RCSBP/RSFPP beneficiaries. Examples of records include:

- Coast Guard & NOAA Retired Pay Account Worksheet and Survivor Benefit Plan Election (CG PSC-4700).
- Reserve Component Survivor Benefit Plan (RCSBP) Option - Election Certification (CG PSC-11221).

- CG Business Letter, SSIC 1772, w/First Endorsement containing spousal concurrence.
- Survivor Benefit Plan Election Certificate by Existing Retiree (DD Form 1881).
- Survivor Benefit Plan Election Change (DD Form 1882).
- Survivor Benefit Plan Election Certificate (DD Form 1883).
- Application for Annuity Under the Serviceman's Family Protection Plan and/or Survivor Benefit Plan (SBP) (CGPSC-1884; DD Form 1884).
- Survivor Benefit Plan (SBP) Open Enrollment Certificate (DD Form 2618).
- Survivor Benefit Plan (SBP) Election Statement for Former Spouse Coverage (DD Form 2656-1).
- Survivor Benefit Plan (SBP) Termination Request (DD Form 2656-2).
- Survivor Benefit Plan (SBP) and Reserve Component Survivor Benefit Plan (RCSBP) Open Enrollment Election (DD Form 2656-3).
- Reserve Component Survivor Benefit Plan (RCSBP) Election Certificate (DD Form 2656-5).
- Survivor Benefit Plan Election Change Certificate (DD Form 2656-6).
- Survivor Benefit Plan (SBP) and Reserve Component Survivor Benefit Plan (RCSBP) Open Enrollment Election Certificate (DD Form 2656-9).
- Survivor Benefit Plan Election Change Under PL 97-35.
- Election of Options Under the Uniformed Services Contingency Option Act of 1953 (CG-3490).
- Retiree notice of change in beneficiaries (letter form with death, birth, and marriage certificates).
- Certificate of Existence (CG PSC 7239-1).
- Student Certification of Attendance (CG PSC 7239)
- Medical Certification (CG PSC 7239-3)
- Retiree letter request to discontinue from SBP/RCSBP due to 100% disability rating from the VA
- Deemed SBP election designations by PSC (LGL)

c. **FORMER SPOUSE PROTECTION ACT PAYMENTS.** To support deductions from a retiree's pay, and payments to former spouses for division of property, child support, and alimony. Examples of records include:

- Notice of Imposition of Direct Payment (CG PSC 5803)
 - Application for Former Spouse Payments from Retired Pay (DD Form 2293)
 - Former Spouse Election by Coast Guard Retiree (CG PSC 2618)
 - Annual Certification for Continued Eligibility (CG PSC 5806; Commanding Officer PSC ltr, SSIC 7200)
- d. **GARNISHMENTS.** To support garnishment deductions/payments. Examples of records include:
- Notice of Receipt and Action on Garnishment (PSC Form 5801).
- e. **DISABILITY ELECTION CERTIFICATES.** To support elections made by disability retirees with respect to having retired pay calculated based on disability percentage or longevity percentage. Examples of records include:
- Commanding Officer PSC letter, SSIC 1800, 3 pages, with Election Statement
- f. **RESERVE POINT STATEMENTS.** To support computation of retired pay to reservists. Examples of records include:
- Reserve Point Statement (CG-4175A, CGHQ-4973A)
- g. **IRS TAX LEVIES.** To support deductions for tax levies. Examples of records include:
- Notice of Levy on Wages, Salary, and Other Income (IRS Form 668-W(c), IRS Form 668-W)
 - Commanding Officer PSC ltr, SSIC 5801
- h. **CIVIL SERVICE WAIVERS.** To support waivers of retired pay for receipt of Civil Service retirement benefits. Examples of records include:
- Certification of Annuity Award (Form RI 20-17)
 - Retiree letter request
- i. **REPORTS OF EXISTENCE.** To support payments to guardians and to retirees residing in foreign countries. Examples of records include:
- Report of Existence (CG HRSIC-9671; Commanding Officer PSC ltr, SIC 7220) (most current)
- j. **COMBAT RELATED SPECIAL COMPENSATION (CRSC) AUTHORIZATION.** To support payments to CRSC payments to retirees. Examples of records include:
- CGPC letter prescribing percentage of disability attributable to combat-related causes
- k. **CRDP/CRSC ELECTIONS.** To support a request by a retiree to receive the lesser of Concurrent Retirement and Disability Payment (CRDP), and Combat Related Special Compensation (CRSC). Examples of records include:

- Retiree request (Statement of Monthly Income, CG PSC-5209-Ret; or Retiree Letter)

l. GUARDIANSHIP/REPRESENTATIVE PAYEE DESIGNATIONS. To support payments to a court-ordered guardian, or a designated Representative Payee. Examples of records include:

- Guardianship court-order.
- CGHQ letter, SSIC 7220, appointing Representative Payee or Trustee

m. BOARDS FOR CORRECTION OF MILITARY RECORDS (BCMR). To support pay adjustments ordered by the Board for Correction of Military Records (BCMR). Examples of records include:

- BCMR order

n. TAX DEDUCTIONS. To support tax deductions from retirees, annuitants, and former spouses (through other than Self-Service). Examples of records include:

- IRS Form W-4 or IRS Form W-4P (most current only)
- TD Form W-8BEN

o. DEBT COLLECTION DOCUMENTS. To support deductions from pay for overpayments and government debts. Examples of records include:

- Commanding Officer PSC due process letter, SSIC 7220
- Payment Adjustment Authorizations (DD Form 139)
- Request for Waiver of Indebtedness (CG 5489)
- Headquarters determination on Request for Waiver of Indebtedness

p. CAREER STATUS BONUS ELECTION. To document a member's election for a \$30,000 career status bonus in return for reduced retired pay benefits. Examples of records include:

- Career Status Bonus (CSB) Election (CG PSC-2426)

DISPOSITION: Use disposition instructions for NC1-026-76-2, item 237.

2. DATA TABLES. "ImageNow" software database tables containing metadata on the scanned images contained in the system.

DISPOSITION: Destroy or delete with the related records. (GRS 23, item 9)

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1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION United States Coast Guard			
3. MINOR SUBDIVISION USCG Personnel Service Center			
4. NAME OF PERSON WITH WHOM TO CONFER Glenna Coldsmith	5. TELEPHONE NUMBER 785-339-3739	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>1</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 13 Sept 06	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>	TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	The purpose of this request is to Change an item in the current schedule to correctly identify records created and maintained in accordance with the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual. Records are maintained at USCG Personnel Service Center, Topeka KS. Prescribing Directives: 10 USC 2771; 10 USC 1447-1455; 10 USC 1408; 10 USC 1401; 10 USC 1414; 10 USC 1413A; 10 USC 12731-12739; 10 USC 1455; 14 USC 633; 26 USC 3405; 37 USC 602; 37 USC 322; 42 USC 659-666; Information And Life Cycle Management Manual, COMDTINST M5212.12A. <u>SSIC 7220 MILITARY PAY</u> Item 2 The laws/regulations cited in the "Prescribing Directive" require the system have the ability to produce certain hardcopy documents to support administration of retiree, former spouse, and annuitant pay. Such documents are listed below. In conjunction with the Global Pay project, these documents will to be optically imaged.	N1-26-76-2	

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUED		JOB NUMBER	PAGE 2 OF 6
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>Records consist of the following forms/documents:</p> <p>a. FINAL PAY BENEFICIARY INFORMATION. When a retiree dies, monies due a retiree shall be paid to the beneficiary(ies) designated by the member in writing. The following forms must be retained:</p> <ul style="list-style-type: none"> (1) Designation of Beneficiary for Payment of Unpaid Retired Pay (CG PSC 3600, CG PPC-3600, CGHQ-3946). (2) Coast Guard & NOAA Retired Pay Account Worksheet and Survivor Benefit Plan Election (CG PSC-4700). (3) Retired Beneficiary Validation (CG PPC-7241) (4) Record of Emergency Data (CG-4113) (5) Claim for Final Retired Pay (CG PSC-3867) (6) Certification for Payment of Claim (PPC CG 3867, CGHQ-3867) (7) Death Certificates (for retirees, annuitants, former spouses and SBP-Enrolled children) <p>b. SURVIVOR BENEFIT PLAN / RESERVE COMPONENT SURVIVOR BENEFIT PLAN / RETIRED SERVICEMAN'S FAMILY PROTECTION PLAN / ELECTIONS, BENEFICIARY DESIGNATIONS AND SPOUSAL CONCURRENCE. To support deductions from a retiree's pay for participation in the SBP, RCSBP, and RSFPP programs, and to support payment of annuities to designated SBP/RCSBP/RSFPP beneficiaries.</p> <ul style="list-style-type: none"> (1) Coast Guard & NOAA Retired Pay Account Worksheet and Survivor Benefit Plan Election (CG PSC-4700). (2) Reserve Component Survivor Benefit Plan (RCSBP) Option - Election Certification (CG PSC-11221). (3) CG Business Letter, SSIC 1772, w/First Endorsement containing spousal concurrence. (4) Survivor Benefit Plan Election Certificate by Existing Retiree (DD Form 1881). (5) Survivor Benefit Plan Election Change (DD Form 1882). (6) Survivor Benefit Plan Election Certificate (DD Form 1883). (7) Application for Annuity Under the Serviceman's Family Protection Plan and/or Survivor Benefit Plan (SBP) (CG PSC-1884; DD Form 1884). <p>(CONT'D)</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUED	JOB NUMBER	PAGE 3 OF 6
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	11. GRS OR SUPERSEDED JOB CITATION	12. ACTION TAKEN (NARA USE ONLY)
	<p>(8) Survivor Benefit Plan (SBP) Open Enrollment Certificate (DD Form 2618).</p> <p>(9) Survivor Benefit Plan (SBP) Election Statement for Former Spouse Coverage (DD Form 2656-1).</p> <p>(10) Survivor Benefit Plan (SBP) Termination Request (DD Form 2656-2).</p> <p>(11) Survivor Benefit Plan (SBP) and Reserve Component Survivor Benefit Plan (RCSBP) Open Enrollment Election (DD Form 2656-3).</p> <p>(12) Reserve Component Survivor Benefit Plan (RCSBP) Election Certificate (DD Form 2656-5).</p> <p>(13) Survivor Benefit Plan Election Change Certificate (DD Form 2656-6).</p> <p>(14) Survivor Benefit Plan (SBP) and Reserve Component Survivor Benefit Plan (RCSBP) Open Enrollment Election Certificate (DD Form 2656-9).</p> <p>(15) Survivor Benefit Plan Election Change Under PL 97-35.</p> <p>(16) Election of Options Under the Uniformed Services Contingency Option Act of 1953 (CG-3490).</p> <p>(17) Retiree notice of change in beneficiaries (letter form with death, birth, and marriage certificates).</p> <p>(18) Certificate of Existence (CG PSC 7239-1).</p> <p>(19) Student Certification of Attendance (CG PSC 7239)</p> <p>(20) Medical Certification (CG PSC 7239-3)</p> <p>(21) Retiree letter request to discontinue from SBP/RCSBP due to 100% disability rating from the VA</p> <p>(22) Deemed SBP election designations by PSC (LGL)</p> <p>c. FORMER SPOUSE PROTECTION ACT PAYMENTS. To support deductions from a retiree's pay, and payments to former spouses for division of property, child support, and alimony.</p> <p>(1) Notice of Imposition of Direct Payment (CG PSC 5803)</p> <p>(2) Application for Former Spouse Payments from Retired Pay (DD Form 2293).</p> <p>(3) Former Spouse Election by Coast Guard Retiree (CG PSC 2618).</p> <p>(4) Annual Certification for Continued Eligibility (CG PSC 5806; Commanding Officer PSC ltr, SSIC 7200)</p> <p>(CONT'D)</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUED	JOB NUMBER	PAGE 4 OF 6
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	13. GRS OR SUPERSEDED JOB CITATION	14. ACTION TAKEN (NARA USE ONLY)
	<p>d. GARNISHMENTS. To support garnishment deductions/payments. (1) Notice of Receipt and Action on Garnishment (PSC Form 5801).</p> <p>e. DISABILITY ELECTION CERTIFICATES. To support elections made by disability retirees with respect to having retired pay calculated based on disability percentage or longevity percentage. (1) Commanding Officer PSC letter, SSIC 1800, 3 pages, with Election Statement</p> <p>f. RESERVE POINT STATEMENTS. To support computation of retired pay to reservists. (1) Reserve Point Statement (CG-4175A, CGHQ-4973A)</p> <p>g. IRS TAX LEVIES. To support deductions for tax levies, the following documents must be retained: (1) Notice of Levy on Wages, Salary, and Other Income (IRS Form 668-W(c), IRS Form 668-W) (2) Commanding Officer PSC ltr, SSIC 5801</p> <p>h. CIVIL SERVICE WAIVERS. To support waivers of retired pay for receipt of Civil Service retirement benefits. (1) Certification of Annuity Award (Form RI 20-17) (2) Retiree letter request</p> <p>i. REPORTS OF EXISTENCE. To support payments to guardians and to retirees residing in foreign countries. (1) Report of Existence (CG HRSIC-9671; Commanding Officer PSC ltr, SIC 7220) (most current)</p> <p>j. COMBAT RELATED SPECIAL COMPENSATION (CRSC) AUTHORIZATION. To support payments to CRSC payments to retirees. (1) CGPC letter prescribing percentage of disability attributable to combat-related causes</p> <p>(CONT'D)</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	15. GRS OR SUPERSEDED JOB CITATION	16. ACTION TAKEN (NARA USE ONLY)
	<p>k. CRDP/CRSC ELECTIONS. To support a request by a retiree to receive the lesser of Concurrent Retirement and Disability Payment (CRDP), and Combat Related Special Compensation (CRSC).</p> <p>(1) Retiree request (Statement of Monthly Income, CG PSC-5209-Ret, or Retiree Letter)</p> <p>l. GUARDIANSHIP/REPRESENTATIVE PAYEE DESIGNATIONS. To support payments to a court-ordered guardian, or a designated Representative Payee.</p> <p>(1) Guardianship court order. (2) CGHQ letter, SSIC 7220, appointing Representative Payee or Trustee</p> <p>m. BOARDS FOR CORRECTION OF MILITARY RECORDS (BCMR). To support pay adjustments ordered by the Board for Correction of Military Records (BCMR).</p> <p>(1) BCMR order</p> <p>n. TAX DEDUCTIONS. To support tax deductions from retirees, annuitants, and former spouses (through other than Self-Service), the following documents must be retained:</p> <p>(1) IRS Form W-4 or IRS Form W-4P (most current only) (2) TD Form W-8BEN</p> <p>o. DEBT COLLECTION DOCUMENTS. To support deductions from pay for overpayments and government debts.</p> <p>(1) Commanding Officer PSC due process letter, SSIC 7220 (2) Payment Adjustment Authorizations (DD Form 139) (3) Request for Waiver of Indebtedness (CG 5489) (4) Headquarters determination on Request for Waiver of Indebtedness</p> <p>(CONT'D)</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	17. GRS OR SUPERSEDED JOB CITATION	18. ACTION TAKEN (NARA USE ONLY)
2	<p>p. CAREER STATUS BONUS ELECTION. To document a member's election for a \$30,000 career status bonus in return for reduced retired pay benefits.</p> <p>(1) Career Status Bonus (CSB) Election (CG PSC-2426)</p> <p>Transfer to the FRC six years after termination of retirement or payment of annuity under the provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. Destroy 25 years after termination of retirement or pay of annuity.</p> <p>r. DATA INPUTS (include all records in all media formats from which the system receives data). Scanned documents, word processing documents, forms, emails, faxes, spreadsheets.</p> <p>s. INFORMATIONAL CONTENT. Consisting of Images of Retired, Reserved, Annuitant, NOAA retiree and annuitant, Former Spouse, Lighthouse Keeper pay records, and ImageNow database tables.</p> <p>Images of Retired, Reserved, Annuitant, NOAA retiree and annuitant, Former Spouse, Lighthouse Keeper pay records, and ImageNow database tables. Once they become part of the official record, images (both r. and s.) will be maintained in the ImageNow system until they are archived to an inactive (but still online) drawer.</p> <p>Transfer electronically to FRC Six years after termination of retirement or payment of annuity under provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. Destroy 25 years after termination of retirement or pay of annuity. Whichever is later.</p> <p>CONT'D</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	19. GRS OR SUPERSEDED JOB CITATION	20. ACTION TAKEN (NARA USE ONLY)
3	<p>t. DATA INPUT AND SOURCES: Consist of all documents and correspondence that make up a retiree's personnel and pay record.</p> <p>Transfer to FRC electronically six years after termination of retirement or payment of annuity under the provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. Destroy 25 years after termination of retirement status or payment of annuity of beneficiaries under RSFPP and SBP, whichever is later.</p>		
4	<p>u. STORAGE AND BACKUP. Full system back-ups will be done every night and stored off-site at another location. Purge from the system 6 years after the member is deceased and all claims against the account have been satisfied. Transfer electronically to FRC and Destroy 25 years after termination of retirement or pay of annuity, whichever is later.</p>		