

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-026-05-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-19-2004	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Agency-wide			
4. NAME OF PERSON WITH WHOM TO CONFER Olthea S. Croom Records Officer	4. TELEPHONE NUMBER 202-267-0290	DATE 11/01/05	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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>2</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11 Nov 05	SIGNATURE OF AGENCY REPRESENTATIVE Olthea S. Croom <i>[Signature]</i>		TITLE Agency Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	*****SEE ATTACHED SHEETS*****		
<i>cc Agency DR DWMD DWME DWMA</i>			

The purpose of this request is to schedule a new Electronic System of Records in the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual.

SSIC 1500 – TRAINING AND EDUCATION

Name of System: Coast Guard Training, Education and Learning Management System

Purpose of System:

The Coast Guard enterprise wide training management qualification, and certification data reporting system serves as a family of electronic learning management components that collects and maintains personnel information, course details and appropriations as needed to record, store, and distribute information or services related to training content delivery, completion, courses, and examinations. Examples of training components include:

- Training Management System (TMS) – a platform managed by the Training Quota Center responsible for facilitating, scheduling and issuing orders to class “C” type training.
- Direct Access Personnel Data System (PDS) – a data server system which tracks training information in individual service records.
- Abstract of Operations/Training Management Tool (AOPS/TMT) – a web based training support package used to assist units in planning, tracking, and reporting personnel and unit level training activities.
- Deepwater Learning Management System (LMS) – a training data processing modular managed by the Intergraded Deepwater System (IDS) modernization program.

1. System Inputs: Inputs are transferred either electronically or manually from instructors, training centers, unit yeomen, individual trainees, system administrators, supervisors, training coordinators and appropriate human resource representatives. Personnel data from the Coast Guard Direct Access Human Resource System is also used in conjunction with course information.

Destroy/Delete when data is verified or when no longer needed.

2. System Data: Used to collect, retain, and track data related to all training activities such as training records, class schedules, training development, appropriations and student status. Types of data can be categorized in the following forms:

a. Individual training information:

Elements include the unique employee record number, requests, appointment letters, training certificates, travel information, personnel identification number, training content and history, certification/recertification data, course completion, course information, examinations, grading, course code, school code, reason for training request, training facility, company or unit identifying information.

Destroy/Delete data 10 years after service member, contractor, or civilian is released from active duty, retires, transfers services, or is otherwise discharged from the Coast Guard.

b. Course information:

Includes for each course of instruction roster documenting enrollment and attendance of participants, complete record of all training evaluations (grade/scores) documentation of course completion or qualification for each student successfully completing the training program/course, waivers or exemptions requested or granted and verification of physical abilities (as required) either as a prerequisites or as a final qualification. Also included are formal school catalog courses, attrition rates, class scheduling, personnel equipment and facility contracting, reservations, vacancies, wait lists, manuals, syllabuses, textbooks, training aids, SOPs, training plans, course development or substantial equivalent record maintained to identify a required skill or task training requirement and to document development assignments, on the job training, or apprentice type training.

1. Unique or significant training materials and course development specifically unique to Coast Guard only.

Permanent Cutoff when superseded, obsolete, or when no longer used. Transfer to NARA when 10 years old.

2. All other.

Destroy/delete when superseded or obsolete or when 6 years old.

c. Instructor or Staff Training information:

Includes for each staff member copies of instructor's personal training history, attendance records, exemption or waivers requested/granted, evaluations, qualification notifications, certifications, recertification and verifications of ability.

Destroy/Delete data 10 years after service member, contractor, or civilian is released from active duty, retires, transfers services, or is otherwise discharged from the Coast Guard.

d. Funding and resource information:

Includes funding categories, codes, audits, and provisions for monetary assistance or coverage for tuition, travel, per diem, housing allowance and other administrative management expenditures.

Destroy/delete when superseded or obsolete or when 6 years old.

3. System Outputs: New training and certification data is presented and accessed using a web based user interface. Users include Coast Guard personnel, system administrators, supervisors, training coordinators and appropriate human resource representatives. Data is also used to update the Coast Guard Direct Access Human Resource System. Other forms of outputs include class rosters, reservations, ad-hoc reports and queries.

Destroy/Delete when no longer needed for agency business.

4. System Documentation: Regardless of medium, system documentation includes record layouts, technical description of the files, data dictionaries, operational and user manuals, backup procedures, Interface Requirement Documents (IRD). May also contain code books, metadata schemes, standardization guidance, record layouts for the data fields, standard operating procedures, user and administrator guides, and related materials that support training management components.

1. System documentation related to unique or significant training materials and course development (item 2B1).

Permanent Transfer to NARA along with related system when 10 years old.

2. All other system documentation.

Destroy/Delete when no longer needed for agency business.

5. Electronic copies of records that are created on electronic mail and word processing system and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

(a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/Delete within 180 days after the recordkeeping copy has been produced.

(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/Delete when dissemination, revision, or updating is completed.

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To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>10-19-2004</i>	
1. FROM (Agency or establishment) Department of Homeland Security		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION United States Coast Guard			
3. MINOR SUBDIVISION Office of Human Systems Integration (G-WDW) Deepwater Program			
4. NAME OF PERSON WITH WHOM TO CONFER LCDR Eric Tyson	5. TELEPHONE NUMBER 571-218-3222	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>4</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>14 October 2004</i>	SIGNATURE OF AGENCY REPRESENTATIVE OLTHEA S. CROOM <i>Olthea S. Croom</i>	TITLE Records Officer, United States Coast Guard	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>The purpose of this request is to schedule a new Electronic System of Records in the Coast Guard Records Disposition Schedule, COMDTINST M5212.12A, Information and Life Cycle Management Manual.</p> <p><u>SSIC 1500 – TRAINING AND EDUCATION</u></p> <p>18. Learning and Training Management Records</p> <p>Disposition: Destroy when administratively determined user no longer requires access to CG content, applications, collaborative services or when no longer needed whichever is later.</p> <p>System Control Number: DHS/CG 056</p> <p>Prescribing Directive for Records: 5 U.S.C. 301, Departmental Regulations and E.O. 9397 (SSN), Title 14 U.S.C. 632 (Attachments 1-3)</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Records Life Preservation: Records are maintained electronically on computer repository and will be backed up on tape by an enterprise backup system designed to enhance disaster recovery capabilities.</p> <p>Records and Non-Record Distinction: All data captured in the Learning Management System is stored as record material; however, only the data that is mapped in the Interface Requirements Document (IRD) to update Direct Access is considered official training and learning records.</p> <p>Data inputs: Personnel and prior training data is received from Direct Access to the LMS in a nightly secure data transfer.</p> <p>Informational content: Personal data, training history, and certification data.</p> <p>Data outputs: New training and certification data.</p> <p>Systems documentation: All data is presented using a web based set of screens.</p> <p>Records Identification and Retrieval: The system will use the employee identification number of the user to serve as the user login and authentication. The system will store the PeopleSoft numeric employee identification number for import and export purposes as well. The system will have several methods for retrieving information. Individuals will be automatically presented information about themselves through their 'user profile'. Based on authorizations contained in a user's profile, they may or may not be able to see sensitive or privacy information (i.e. System administrator and Training Coordinators). Authorizations will not be granted unless the individual has been designated on a 'need to know' basis by an appropriate official as a Human Resource Manager. General users will be allowed to search for information regarding them only. Users, who are designated as system managers, will be allowed to search for information regarding the users inside their domain. Domain hierarchal structure is established to manage personnel and personal information in a downward direction. Personnel can only see information for others if those individuals are shown to be subordinates to the higher-level personnel.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	11. GRS OR SUPERSEDED JOB CITATION	12. ACTION TAKEN (NARA USE ONLY)
	<p>Purpose: The system will serve as an electronic learning management platform that will collect and maintain personnel information as needed to record, store, and distribute information or services related to training content delivery, completion, courses, and examinations.</p> <p>Data Input and Sources: All information about personnel is retained in the system until it is administratively determined that a user no longer requires access to CG content, applications, or collaborative services. Data is not needed for legal or audit purposes.</p> <p>The primary data input will be retrieved from the Coast Guards' Direct Access Human Resource System. Pertinent data not available through Direct Access will be manually entered into the system by either the USCG or system administrator.</p> <p>Online Retention: All information about personnel is retained in the system until it is administratively determined that a user no longer requires access to CG content, applications, or collaborative services.</p> <p>All data is transferred to Direct Access on a nightly basis for official record retention and updates. The pertinent data fields are mapped between the LMS and Direct Access in the Interface Requirements Document.</p> <p>Offline Retention. When information is no longer needed online, there is no need to keep it offline.</p> <p>System Design Integration: The system is designed to perform daily updates between the LMS and Direct Access. Direct Access is the official system of record for documenting training and learning history for personnel. The LMS is manually backed up on a weekly basis by the system administrator.</p> <p>Major Outputs. The system does not contain reporting requirements that require licensing with a control symbol.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	13. GRS OR SUPERSEDED JOB CITATION	14. ACTION TAKEN (NARS USE ONLY)
	<p>Records Maintenance: The system is designed to perform daily updates between the LMS and Direct Access. Direct Access is the official system of record for documenting training and learning history for personnel.</p> <p>Records Loss Prevention. Training material development is required to be in accordance with SCORM and AICC standards ensuring continued compatibility with the system and future upgrades. The system is planned to be updated on a five-year rotation to update servers with changing technology. Records are backed up prior to changing servers. Software maintenance contracts are in place with the vendor ensuring updates are readily available and implemented.</p> <p>Storage and Backup: Updates are performed weekly on tape media by the system administrator.</p> <p>Privacy Act (PA). The system is subject to the Privacy Act. To ensure information is timely, accurate, complete, relevant and capable of being updated or corrected the information is received from USCG Direct Access on a nightly basis.</p> <p>Privacy Act Systems of Record Notice: DHS/CG 056 Coast Guard Learning and Training Management System</p> <p>Vital Records: Training data is not considered vital records since Direct Access is the system of record and data is exchanged on a nightly basis between LMS and Direct Access.</p> <p>Documentation. The system is updated by a direct interface link from Direct Access. The data received is considered accurate based on Direct Access being the official system of record for personnel management. Personnel are given access to the LMS based on assignment to a Deepwater asset. Upon assignment, personnel are provided with a temporary password to access the system utilizing their unique Employee ID Number.</p>		