

UNITED STATES COAST GUARD AUXILIARY
FIRST DISTRICT NORTHERN REGION

Approved by
D1NR Board
20 June 2014

RECORDS RETENTION POLICY

Introduction

It is important for the First District Northern Region, as a vital component of the USCG team, to establish a Records Retention Policy, applicable to all units (District, Division, and Flotilla), as well as individual members. Such a records management plan will enable us to be good stewards of information and documentation, not only for continuity of succession in the chain of leadership and management, but also for legal and historical purposes.

Purpose

Retaining old, unnecessary records can be burdensome and confusing as to which are important to keep for the future, or obsolete and dispensable. Therefore, the purpose and objective of the Records Retention Policy is to establish guidelines to identify the significance of certain records, and to determine their retention time prior to disposal.

Application of Policy

Note that the Records Retention Policy is not applicable to the AUXDATA System, the Auxiliary data base containing and preserving personal and activity information about Auxiliarists and units, nor does this Policy apply to records maintained by the Director of the Auxiliary, nor does this Policy supersede other bookkeeping requirements established by the Coast Guard, for example, requiring vessel and aircraft facility owners to permanently keep log book records.

The Records Retention Policy applies to all other records of the District (Divisions, Flotillas and individuals), including, but not limited to information of any sort, such as paper or electronic correspondence, bank statements, photographs, emails, etc., recorded in a permanent form or format.

Records Retention Time

Individual members should keep copies of their personal time and activity records and achievements, for example, form 7029 and 7030 for 2 years, or until it is confirmed that there has been proper entry into AUXDATA, whereupon copies of that information can be destroyed; however, any individual may choose to retain such information for a longer period for tax or other personal reasons.

Auxiliarists who have received Coast Guard reimbursement are required to keep copies of their orders and requests for reimbursement for a period of six years after payment.

All other records of the District shall be retained for a period of 6 years. During the 6 year period, the elected officers and appropriate staff officers of each District unit shall maintain control and supervision of the records corresponding to their area of responsibility, and subsequently transfer the records to their successors. Rather than immediately disposing of records after the retention period, it should first be determined if any are of historical value, in which case they should be turned over to the District Historian (ADSO-PAH), provided they do not contain any Personal Identifiable Information (PII), which must be safeguarded in accordance with provisions of the Auxiliary Manual, Chapter 5, section E. Any records or materials that are destroyed after the retention period, which contains PII should be shredded or burned for disposal.

If in doubt about the retention period, such as involvement in protracted legal issues or litigation, records must be kept for a longer period, until such time as the matter has been resolved. Consult with the DSO-LP when necessary.