

# Secretary/Records

## The Documentation Responsibility



20 January 2010

# Agenda

- Who Are You?
- What are We Talking About?
- What Must I Maintain?
- The Minutes
- How Do I Maintain Them?



# Who Are You?



20 January 2010

# FSO-SR Responsibilities

- Act as **Secretary for the flotilla**.
- **Maintain close liaison** with the Division Secretary/Records Staff Officer (SO-SR).
- Be responsible for the recording and publication of the **minutes** of the flotilla when it meets in official sessions.
- Maintain a current record of flotilla officers, committee assignments and such other **appointments** as may be made by the FC.
- Maintain a current list of **division officers**.
- Maintain such **other records** as may be required to ensure the correctness and continuity of administration.
- Maintain a **historical record** of the flotilla and forward it to the District Historian each year.
- Assume **staff responsibility** for matters pertaining to administrative and personnel reporting.
- Maintain a **current roster** of flotilla members. Maintain a copy of the division and flotilla **Standing Rules** and other records as may be required to ensure the correctness and continuity of administration.
- **Submit articles** to the unit publication when deemed necessary to keep the membership informed or when requested.
- Maintain **mailing lists** for all members, members-in-training and prospective members.
- Make a monthly mailing of the flotilla **meeting notice**, with meeting agenda, to all categories of members.



# SO-SR Responsibilities

- Be responsible for the recording and subsequent publication of the **minutes** of the Division when it meets in official sessions.
- **Maintain close liaison** with the District and Flotilla Secretary/Records Staff Officers.
- Maintain a current record of Division Officers, committee assignments and such other **appointments** as may be made by the DCP.
- Maintain a **current list** of Flotilla Officers and Staffs.
- Maintain such other **records** as may be required to ensure the correctness and continuity of administration.
- Be prepared to **assist** the Flotillas with any workshops, seminars and training sessions called, particularly those for the **training** of elected and staff officers.
- Take positive steps to ensure that the **FSOs-SR are well trained**. Conduct whatever workshops and/or training program(s) may be necessary to ensure that District policy is followed in your program.
- Initiate and maintain **contact** with the DSO-SR.
- Assume staff responsibility for matters pertaining to **administrative and personnel reporting**.
- Maintain a copy of the correct **Alpha listing**, and cooperate with the Information System Staff Officer, as required, in ensuring the members records in AUXMIS are correct.
- Maintain a copy of the Division Standing Rules and other **records** as may be required to ensure the correctness and continuity of administration.
- At least twice a year, **communicate** with all FSOs-SR to remind them of the proper distribution for the Flotilla Minutes. A mailing should also be sent as an introduction prior to the start of the year, with any directions, procedures and reminders that may be necessary to start new FSOs-SR off in the right direction.
- **Conduct ballot** by mail when so directed.
- Prepare and mail **notices** of all Division Board **meetings**.
- Prepare **correspondence** for signature of the Division Captain.
- **Submit articles** to the Division Publication when deemed necessary to keep the Flotilla members within the Division informed or when requested.



# Who are You?

- You are a **Secretary / Records Staff Officer**
- You are a **Records Creator**
  - Minutes
- You are a **Records Manager**
  - Reports
  - Minutes
  - Rosters
  - Accident Reports
  - ...
- You are a **Federal Volunteer**
  - You are subject to the same Record Management laws and regulations as a Federal Employee



# What Are We Talking About?



20 January 2010

# Federal Records Management

- The Federal Records Act of 1950
  - Requires adequate controls over the creation of records.
- **Coast Guard Records Management**
  - “Records...must be preserved...to protect the legal and financial rights...of the Coast Guard.”





# The Regulations

- Information and Life Cycle Management Manual, COMDTINST M5212.12A
- The Records Disposal Act of 1943, as amended (157 Stat.380-383; 44 USC, 366 et.seq.)
- Crimes and Criminal Procedures Act (18 USC 285, 2071)
- The Federal Records Act of 1950 (44 USC Chapters 21, 29, 31 and 33)
- The Paperwork Reduction Act of 1995 (44 USC, Chapter 35)
- Title 36 Code of Federal Regulations (CFR) 1220, Records Management
- Title 36 CFR 1228, Disposition of Federal Records
- Title 36 CFR 1230, Micrographics
- Title 36 CFR, 1232, Audiovisual Records Management
- Title 36 CFR 1234, Electronic Records Management
- 41 CFR Part 101, Federal Procurement Management Reform Act (FPMR), Subpart B
- Federal Rules of Evidence
- Privacy Act of 1974 (5 USC 552a)
- Information Technology Management Reform Act (ITMRA) of 1996, P.L. 104-208
- Freedom of Information Act (5 USC 552)
- Government Paperwork Elimination Act (GPEA)
- Office of Management and Budget (OMB) Circular A-130
- Electronic Government Act of 2002
- General Records Schedules published by the National Archives and Records Administration (NARA)



# ***“Record Material”***

- Records are defined as books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by the Coast Guard in pursuance of federal law or in connection with the transaction of public business, and preserved or appropriated for preservation because they are evidence of organization, functions, policies, decisions, procedures, operations or other activities of the Coast Guard, or because of the informational value of the data contained therein. Microfilm, audiovisual materials, and automatic data processing documents/databases (including electronic mail (E-mail)) are included in this definition.



## ***“Non-Record Material”***

- “Non-Record” materials are not official records and not maintained per the dispositions schedules.
  - Extra copies of documents preserved only for convenience or reference
  - Copies of superseded manuals and other directives
  - Materials documenting certain extracurricular activities such as Forth Cornerstone
  - Drafts of reports
  - Blank forms
  - Computer files created solely for posting material to the Web, for which an original document or file is maintained elsewhere.



## ***“Records Control Schedule”***

- Records Control Schedule is the NARA approved document describing agency records by series and establishes retention periods based on analyses of administrative, fiscal, legal or historical value to the Federal government.



# Document Lifecycle



# What Must I Maintain?



20 January 2010

# COAST GUARD MISSIONS

## SSIC 16000 - 16999

- Mission specific records of the U.S. Coast Guard
  - Search and Rescue
  - Ice Operations
  - Enforcement of Laws and Treaties
  - Commercial Vessel Safety
  - Marine Environmental Protection
  - Aids to Navigation
  - Bridge Administration
  - **Recreational Boating Safety**
  - General Engineering
  - Port Safety and Security
- Records directly relating to matters listed below **shall not be destroyed** until final clearance or settlement:
  - An outstanding exception by the General Accounting Office
  - An outstanding claim for or against the United States
  - A case under litigation
  - An incomplete investigation
- ***AUXILIARY RECORD MANAGERS WILL NOT DESTROY RECORDS***



#	SSIC 16790 COAST GUARD AUXILIARY	RETAIN	FRC
<b>1</b>	<b>Board meetings.</b>		
a.	Copies of minutes of board meetings, decisions and recommendations of boards.	10Y	5Y
b.	Annual schedule of board meetings.	3Y	--
<b>2</b>	<b>News</b>		
a.	Articles on Auxiliary activities.	1Y	--
<b>3</b>	<b>Unit personnel files.</b>		
a.	Annual district directory of Auxiliary officers, and each amendment thereto.	10Y	--
b.	Copies of reports of change of address of district commodores, district vice commodores, and district rear commodores.	1Y	--
c.	Quarterly flotilla rosters and monthly alphabetical listings.	2Y	--
<b>4</b>	<b>Facility decals.</b>		
a.	Records of all facility decals, by serial number, issued to members of the Auxiliary.	3Y	--
<b>5</b>	<b>Excess property.</b>		
a.	Files of Auxiliary unit requests for excess property or material.	3Y	--
<b>6</b>	<b>Cumulative summary.</b>		
a.	Weekly summary by district and monthly division summary by flotilla.	4Y	--
b.	All other copies.	2Y	--
<b>7</b>	<b>Individual personnel folders.</b>		
a.	Personnel jackets for members of Coast Guard Auxiliary. * after disenrollment or death of member	30Y	2Y*



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# The Minutes



20 January 2010

# Minutes

- Use the "Record of Meeting" Template

DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD AUXILIARY 11SR LOCAL FORM FORM 114-7017F (02-09) REV.2		U.S. COAST GUARD AUXILIARY - DISTRICT 11SR			
<b>RECORD OF FLOTILLA MEETING</b>					
<b>UNIT NUMBER</b>	114	<b>MEETING DATE</b>		<b>MEETING TIME</b>	
<b>UNIT NAME</b>					
<b>MEETING PLACE</b>				<b>MEETING TYPE</b>	
<b># MEMBERS PRESENT</b>	AX	BQ	AP	<b># GUESTS PRESENT</b>	
<b>UNIT OFFICERS PRESENT</b>					
<b>GUESTS PRESENT</b>					
<b>MEETING DETAILS</b>					
<b>COMMENCEMENT</b>	Called to Order				
	Pledge of Allegiance				
	Introduction of Guests				
	Roll Call/Quorum				
<b>AWARDS</b>					



# Minutes

- Publish (upload) within **10 days** of the meeting
  - [www.d11s.org/members/DSO/dsossr.htm](http://www.d11s.org/members/DSO/dsossr.htm)
- Use the proper naming convention:

**YYYY\_MM\_UNITXX**

YYYY = Four digit year. ex: 2007

MM = Two digit month. ex: 05

UNIT = 4 digit unit number. ex: 1600

XX = MM for Meeting Minutes

**Example: 2008\_01\_1600MM**



The screenshot shows the 'filesanywhere' upload page. At the top, there's a blue header with the 'filesanywhere' logo. Below the header, there are two input fields: 'Dropbox Owner' with the value 'Stephen Norton' and 'Dropbox Owner Email' with the value 'dsossr@d11s.org'. A section titled 'It's Easy to Upload your files!' follows, with instructions to follow simple steps. Step 1 is 'Select files to Upload.', which includes a text area for file selection, an 'Add Files' button, an 'UPLOAD' button, and a 'Clear' button. Below this is a table with columns for 'Files' and 'Total Size'. A link for 'Problems Uploading? Try Classic Upload' is provided. Step 2 is 'Add a Message (Optional)', which has a text input field. Step 3 is 'Click the "Upload" Button shown Above.', with a note that a progress meter will be displayed until the upload finishes.



# Helpful Hints

- Document the meeting completely enough to accurately reflect business conducted, making sure to accurately document the motions, reports, and training
- Reports
  - Ask officers and board for report prior to the meeting
  - Attach them to and reference them in the minutes
    - “Provided highlights of the submitted June 2009 OP Report; report added to the minutes”
    - “As submitted in the June 2009 VE Report; report added to the minutes”
- Motions
  - “On motion of Joe Smoe the minutes were unanimously approved with/without changes”
    - List changes or attach redline if necessary
- Be knowledgeable of Roberts Rules of Order
  - Publishing of Minutes
  - Inclusion of Motions
  - Inclusion of Reports
  - <http://www.robertsrules.org/>
  - <http://www.rulesonline.com/>



# How Do I Maintain Them?

D11SR Document Control System



# Paper Document Control

If you are going to maintain the records in paper format, you must ensure...

- Permanence
  - bound
  - pages numbered
  - permanent ink
  - controlled storage
- Ability to attribute
  - who wrote, approved...
- Security
  - confidentiality
  - safe from environmental hazards



# Electronic Document Control

- Permanence
  - Page numbering retained
  - PDF
  - Controlled storage
- Security
  - Controlled access
  - safe from environmental hazards
- Ability to attribute
  - who wrote, approved...







# filesanywhere

Download

View/Play

Shared by: **Stepheni Norton** ( [dsosr@d11s.org](mailto:dsosr@d11s.org) )

View

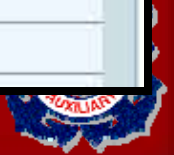
## Shared Folder(s)

[Top](#) ▶ [114](#)

- [2007](#)
- [2008](#)

## Shared File(s)

- [2008 11 114MM.doc](#)
- [2009 01 DSOReports.pdf](#)
- [2009 02 114MM.doc](#)
- [2009 02 DSOReports.pdf](#)
- [2009 03 114MM.doc](#)
- [2009 03 114RollCall.pdf](#)
- [2009 03 DSOReports.pdf](#)
- [2009 04 DCDRReport.pdf](#)
- [2009 04 DSOReports.pdf](#)
- [2009 05 114MM.doc](#)
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# Questions

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