



Department of Education and Early Development  
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# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 495      Schedule No: 25-495.2**

DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
 25 - DEPARTMENT OF TRANSPORTATION AND PUBLIC FACILITIES  
 495 - ALASKA MARINE HIGHWAY SYSTEM

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

All records series are nonconfidential unless otherwise noted. This schedule supersedes #25-495.1.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.			
Division Director		Signature of Division Director	
John F. Falvey, Jr.			
Date		Date	
10/9/14		10/9/14	
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
Alan Birnbaum	11/5/14		10/16/14
State Archivist	Date	Records Analyst	Date
D. Dawson	10/9/14	Stacey Peterson	10/10/14

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Bid Documents &amp; Correspondence</b>                      This series documents licensed and unlicensed positions on vessels that are bid out. Consists of applications, resumes, certifications, etc. that are not maintained by the Division of Personnel and used by AMHS human resource managers, Ketchikan central office departmental managers and crew scheduling staff.</p>	H & E	C+50		<p>C = Until employee terminates.</p> <p>Refer to the General Schedule for other Personnel Administration records.</p> <p>Certain personnel records are confidential under AS 39.25.080.</p>
<p><b>002 - General Manager Program Files</b>                      Incoming/outgoing letters and memoranda regarding the following: general, internal, legislative, ombudsman audits; legislator requests and responses; financial data including federal/budget, programs, revenue, CIP, fiscal; meetings, speeches, task forces, labor/management; community, tourism, marketing/reservations, special/seasonal cruises; customer service, public relations and vessels.</p> <p>Arranged according to file plan.</p>	H & E	PA		<p>Refer to the General Schedule for General Administrative records.</p> <p>Refer to the General Manager's file plan for a detailed listing of all files.</p> <p>Unless identified by AMHS as significant/historical cases, files transferred to the archives may be sampled.</p>
<p><b>003 - General Manager Program Files</b>                      Incoming/outgoing letters and memoranda regarding the following: Office of Governor, reports, plans; DOT/PF Commissioner documents including general and monthly reports, plans, policies, meetings; organizational data, chambers of commerce, tourism; National Highway System, plans, procedures.</p> <p>Arranged according to file plan.</p>	H & E	PA		<p>Refer to the General Schedule for General Administrative records.</p> <p>Refer to the General Manager's file plan for a detailed listing of all files.</p> <p>Unless identified by AMHS as significant/historical cases, files transferred to the archives may be sampled.</p>

**You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.**

<p align="center"><b>Retention Key</b></p> <p>A = Until Audit      PO = Permanent (Retain in agency office)                      C = Cut-off event/date      S = Until Scanned                      CY = Current Year      T = Transfer                      CFY = Current Fiscal Year      TO = Term of Office                      PA = Permanent (Transfer to State Archives)</p>	<p align="center"><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p align="center"><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
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<p><b>004 - Vessel Crew Lists</b> Weekly lists of crew members onboard the vessel during a work week, their position, certifications, and other associated documents.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H & E	CY+50*	Y	<p>* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>Justification For 50-year Retention: These documents are the single source for information regarding crew manning and references which vessel employees were onboard for the reported period. Records series is maintained for life of vessel and is unavailable elsewhere as a cohesive whole.</p> <p>Typically a one page document, but up to three pages for a large vessel. Vessel maintains for "CY+1."</p>
<p><b>005.1 - Vessel Bridge Deck-Logs (Originals)</b> These logs document all vessel voyages including: date and time; compass heading; engine revolutions per minute; destination; barometric pressure; wind direction, force; sea condition; and visibility. These logs have legal value and are signed by the master of the vessel.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	CY+50*	Y	<p>* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>Vessel maintains originals "CY+2" and sends to the Ketchikan Central Office (KCO). The KCO transfers to the records center for the life of the vessel. Vessel sends copies to KCO weekly; copies are destroyed after it is verified that originals are in the records center.</p>
<p><b>005.2 - Vessel Bridge Deck-Logs (Copies)</b> These logs document all vessel voyages including: date and time; compass heading; engine revolutions per minute; destination; barometric pressure; wind direction, force; sea condition; and visibility. These logs have legal value and are signed by the master of the vessel.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	C	Y	<p>C = After transfer of originals to records center is verified, copies may be destroyed.</p>

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<p><b>005.2 - Vessel Bridge Deck-Logs (Copies)</b>                      These logs document all vessel voyages including: date and time; compass heading; engine revolutions per minute; destination; barometric pressure; wind direction, force; sea condition; and visibility. These logs have legal value and are signed by the master of the vessel.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	C	Y	C = After transfer of originals to records center is verified, copies may be destroyed.
<p><b>006.1 - Engine Room Logs (Originals)</b>                      These logs document all maintenance and repair performed on any AMHS vessel and includes the following types of information: vessel name, location, type of service performed, date, who performed.</p> <p>Arranged chronologically by vessel.</p>	H	CY+50*		* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.  Vessel maintains originals "CY+2" and sends to the Ketchikan Central Office. The KCO transfers to the records center for the life of the vessel. Vessel sends copies to KCO weekly; copies are destroyed after it is verified that originals are in the records center.
<p><b>006.2 - Engine Room Logs (Copies)</b>                      These logs document all maintenance and repair performed on any AMHS vessel and includes the following types of information: vessel name, location, type of service performed, date, who performed.</p> <p>Arranged chronologically by vessel.</p>	H	C		C = After transfer of originals to records center is verified, copies may be destroyed.

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<p><b>007 - Vessel Master Reports &amp; Associated Supporting Documents</b>                      Master Weekly reports and associated vessel correspondence/documents; major, minor, and special work and changes to vessel status and operations; and, miscellaneous supporting documents and diagrams.</p> <p>Arranged by vessel by calendar year.</p>	H	CY+50*	Y	<p>* = Retention is for life of vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>Vessel maintains originals "CY+2." These documents are often the single source for information regarding historical activities, recommendations, and actions, onboard the vessel for the reported period. If AMHS did not maintain these, then one of the following would happen: (a) no other source to formulate historical data; or, (b) it would take an inordinate amount of time and effort to ascertain the information from numerous other sources; some of which are not kept for the life of the vessel.</p>
<p><b>008 - Vessel Property Control Files (Deck &amp; Engineering Department)</b>                      Agency copies of controlled property inventory reports, excess property report, property transfer documents, and related correspondence.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	C + 5		5 years from date of report.

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<p><b>009 - Vessel Files</b> Includes operational certificates (federal, state, USCG, ABS, Federal Communications Commission, Federal Aviation Administration), documents on hull, machinery (classification data, surveys, exemptions); USCG inspections, COI's, deficiencies/resolutions; general vessels documents including customs, foreign repair, bonding, transcripts. May include drawings/diagrams, overhaul documents.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	CY+50*		<p>* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage. If drawings/diagrams included, transfer the drawings to the State Archives prior to destruction.</p> <p>Official vessel document/certificate originals are maintained on the Vessel; copies are located in the Ketchikan Central Office.</p> <p>The COI is issued to each vessel by the USCG. It also includes deficiency reports (e.g. USCG form 835).</p>
<p><b>010 - Ferry Passes</b> Provided to AMHS personnel.</p>	H & E	T		<p>T = Until employee terminates, then transferred to agency personnel file.</p> <p>Refer to the General Schedule for other personnel records.</p>
<p><b>011 - Passenger/Vehicle Manifests</b> Manifests that include number of travelers, vehicle license, type, length and additional backup.</p>	H & D	CY+3		
<p><b>012 - Customer History Files</b> Reservations, marketing and demographic data.</p> <p>Arranged alphabetically by name.</p>	H & E	CY+2		
<p><b>013 - Vessel Incidents File</b> This series includes the following: passenger injury/illness reports, vessel employee injury/illness reports, vessel safety, operational and inquiry documents, correspondence and other related information.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H & E	CY+50*		<p>* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p>

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<p><b>014 - [Marine Engineering] Vessels Files</b>                      Consists of lubrication oil record books/ backup; cathodic protection system logs/backup; and chief engineer's weekly reports.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	CY+4		
<p><b>015 - [Marine Engineering] Correspondence (ABS &amp; USCG)</b>                      Incoming/outgoing letters and memoranda regarding certificate issuance and vessel documentation.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H & E	50*		* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.
<p><b>016 - International Safety Management (ISM) Code Records</b>                      This records series documents AMHS adherence to the ISM Code, which is the international standard for the safe management and operation of ships and for pollution prevention. Complying with the Code ensures safety at sea, prevents human injury or loss of life, and protects the environment and ship from damage. Consists of: audits, inspections, manuals, publications, policies, procedures and associated correspondence.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	H	CY+50*		* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records storage.
<p><b>017 - Safety Management Files</b>                      Includes safety minutes from vessels and follow-up responses/associated correspondence; general AMHS-wide vessels and shore facilities safety correspondence; and, AMHS Safety Committee meetings data.</p>	H & E	CY+50*		* = Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.  Safety Minutes for specific vessels are included in the Vessel Incident folders (Item #014).

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>018 - Employee Training &amp; Qualification Files</b>            This series documents AMHS employee training and certification and includes: training certificates; training tracking papers/printouts; and, other miscellaneous training/qualification documentation.</p> <p>Arranged alphabetically by employee.</p>	H	C+10		<p>C = Until employee terminates.</p> <p>Certain personnel records are confidential under AS 39.25.080.</p> <p>All shipboard employees are trained and certified under the Standards for Training, Certification, and Watch-keeping for Seafarers (STCW) program.</p> <p>Refer to the General Schedule for Employee Medical Records retention requirements.</p>
<p><b>019 - Federally Funded Vessel Projects</b>            Major or significant vessel construction projects, rehabilitation, and upgrades funded by FHWA, FTA, and other federal agencies. Includes documentation per Construction Manual, Chapter 16, Section 12: project records, funding requests and authorization, bid package documents, and all associated drawings.</p>	H	C+7		<p>C = Until project is completed.</p> <p>Files may be destroyed 7 years from completion of the project subject to written approval from the AMHS General Manager, or their written delegate.</p>
<p><b>020 - AMHS Drug &amp; Alcohol Testing Program Records</b>            This records series documents AMHS fulfillment of the federally mandated Drug &amp; Alcohol Testing Program. Includes drug testing schedules, activities and results. Random tests may be made weekly, monthly, quarterly, after an incident, etc.</p>	H	CY+5		<p>USCG &amp; USDOT require a minimum 5 year retention.</p> <p>Confidential under Article I, Section 22, Alaska Constitution.</p>
<p><b>021 - Vessel &amp; Facility Security Plans</b>            This records series documents that security infrastructure is in place to meet MTSA, Department of Homeland Security and USCG regulations in light of continuing international terrorism activities.</p> <p>Arranged alphabetically.</p>	H	C	Y	<p>C = Until plan is superseded and all administrative/management need is met.</p> <p>MTSA = Maritime Transportation Security Act (PL 107-295)</p>

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<b>022 - Reservations Management System</b> This information system supports the reservation and ticketing processes of the AMHS. There is public access through a web interface for customers to make and pay for reservations online.	H & D	C	Y	C = 5 years from date of reservation.
<b>023 - Crew Dispatch System</b> ATLAS is a complete, operations-centric, integrated package designed specifically for challenging crew scheduling and time collection environments. ATLAS provides 9 modules to support this functionality: Planning, Operations, Training, Human Resources, Time Collection, Crew Scheduling, Tools, Management Reports and System Administration. ATLAS has been designed for the ERP world and is intended to bridge the gap in the State of Alaska's business enterprise architecture with respect to crew scheduling and time collection.	H & D	C	Y	C = 5 years from date of dispatch.  ERP = Enterprise Resource Planning.

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