



RECORDS RETENTION SCHEDULE

DEPARTMENT OF TRANSPORTATION
& PUBLIC FACILITIES

ALASKA MARINE HIGHWAY SYSTEM

DIVISION OF FINANCE

JUN 14 2007

KEY

- A** - After Audit
- CFY** - Current Fiscal Year
- CY** - Current Year
- P** - Permanent
- Numerals** - Years in Addition to current year
- TO** - Term of Office
- M** - After Microfilming
- C** - Current/or as defined

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

All records series are nonconfidential unless otherwise noted. This records schedule supercedes schedule #253004.

Statutory/Regulatory Authority: AS 19.05; AS 44.42.020. Abbreviations used on this schedule: COI: Certificate of Inspection; USCG: United States Coast Guard; ABS: American Bureau of Shipping; USDOT: United States Department of Transportation.

The mission of the Alaska Marine Highway System (AMHS) is to provide safe, reliable and efficient transportation of people, goods, and vehicles among Alaska communities, Canada, and the "lower 48" while providing opportunities to develop and maintain a reasonable standard of living and high quality of life, including social, education and health needs. The AMHS has been operating year-round since 1963, with regularly scheduled passenger and vehicle service to 32 communities in Alaska, plus Bellingham, Washington and Prince Rupert, British Columbia. There are currently eleven vessels in the AMHS fleet.

NOTE: Under 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their prescribed retention period. This requires taking into account the issues of refreshing, migration, security duplicates; and, analog/digital crosswalks in planning, implementing, and administering the electronic system. Back-ups produced for system recovery purposes do not serve a recordkeeping function and do not substitute for security copies of records.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed below are approved for retention and disposition as indicated.

Divison Director	State Archivist	Date	Attorney General	Date
Captain John Falvey	<i>Ken Nail</i>	6-15-07	<i>Craig J. Tilley</i>	6/11/07
Signature of Division Director	Records Analyst	Date	Commissioner of Administration	Date
<i>J. Falvey</i>	<i>S. Dawson</i>	5-31-07	<i>Ken J. ...</i>	6/14/07

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 253005

Page 2

Agency ID 495

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p>GENERAL ADMINISTRATIVE RECORDS: [UNLESS OTHERWISE LISTED ON THIS SCHEDULE]</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Unless listed on this schedule, Alaska Marine Highway System staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies of records maintained on any media may be destroyed as soon as administrative/management need is met.</p> <p>The General Schedule may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p> <p>Do not dispose of documents involved in litigation until authorized by the Attorney General's Office.</p>
2	<p>Bid Documents & Correspondence:</p> <p>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, Juneau Central Office Departmental managers and crew scheduling staff.</p>	C+50	-	-	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>
3	<p>General Manager Program Files:</p> <p>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>	5	-	P	-		<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>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 253005

Page 3

Agency ID 495

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p>General Manager Program Files:</p> <p>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>	3	-	P	-		<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>
5	<p>Vessel Crew Lists:</p> <p>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>	CY + 3	*47	-	CY + *50	Yes	<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>
6	<p>Vessel Bridge Deck-logs (Originals):</p> <p>Vessel Bridge Deck-logs (Copies):</p> <p>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>	CY+2 C	*48 -	- -	CY + *50 C	Yes	<p>*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>C=After transfer of originals to Records Center is verified, copies may be destroyed.</p> <p>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>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 4

Agency ID

495

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p>Engine Room Logs (Originals):</p> <p>Engine Room Logs (Copies):</p> <p>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>	CY+2	*48	-	CY + *50		<p>*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>C=After transfer of originals to Records Center is verified, copies may be destroyed.</p> <p>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>
8	<p>Vessel Master Reports & Associated Supporting Documents:</p> <p>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>	CY+2	*48	-	CY + *50		<p>*Retention is for life of vessel; 50 years is used as a "tickler" date for records in storage. 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>
9	<p>Vessel Property Control Files (Deck & Engineering Department):</p> <p>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>	5	-	-	5		

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 5

Agency ID

495

Retention

Disposition

Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
10	<p>Vessel Files:</p> <p>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>	CY+3	*47	*P	CY + *50		<p>*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>*P: If drawings/diagrams included, transfer the drawings to the 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>
11	<p>Reader Files (Port/Asst. Port Captain, Safety Officer, Vessel Operations Manager):</p> <p>Reader Files (General Manager, Passenger Services, Ferry Services, Dispatch-Crew Scheduling):</p> <p>Outgoing letters and memoranda arranged chronologically.</p>	CY+4	-	-	CY+4		<p>Refer to the General Schedule, Item 71, Reading Files.</p>
12	<p>Ferry Passes:</p> <p>Provided to AMHS personnel.</p>	C	-	-	-		<p>C=Until employee terminates, then transferred to agency personnel file.</p> <p>Refer to the General Schedule for other personnel records.</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 6

Agency ID

495

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13	<p>Passenger/Vehicle Manifests:</p> <p>Manifests that include number of travelers, vehicle license, type, length and additional backup.</p>	CY+3	-	-	CY+3		
14	<p>Customer History Files:</p> <p>Reservations, marketing and demographic data.</p> <p>Arranged alphabetically by name.</p>	CY+2	-	-	CY+2		
15	<p>Vessel Incidents File:</p> <p>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>	CY+4	*46		CY + *50		*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 7

Agency ID

495

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16	<p>[Marine Engineering] Vessels Files:</p> <p>Consists of lubrication oil reports/ backup; cathodic protection system logs/backup; and chief engineer's weekly reports.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	CY+4	-	-	CY+4		
17	<p>[Marine Engineering] Correspondence (ABS & USCG):</p> <p>Incoming/outgoing letters and memoranda regarding certificate issuance and vessel documentation.</p> <p>Arranged alphabetically by vessel and then chronologically.</p>	CY+4	*46	-	*50		*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.
18	<p>International Safety Management (ISM) Code Records:</p> <p>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>	CY+4	*46	-	CY + *50		*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records storage.

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 253005

Page 8

Agency ID 495

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
19	<p>Safety Management Files:</p> <p>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>	CY+4	*46		CY + *50		<p>*Retention is for the life of the vessel; 50 years is used as a "tickler" date for records in storage.</p> <p>Safety Minutes for specific vessels are included in the Vessel Incident folders (Item 15).</p>
20	<p>Employee Training & Qualification Files:</p> <p>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>	C+10	-	-	C+10		<p>C=Until employee terminates. 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, Item 108 for Employee Medical Records retention requirements.</p>
21	<p>Federally Funded Vessel Projects:</p> <p>Vessel major construction, rehabilitation, and upgrades funded by FHWA and other federal maritime entities. Includes per Construction Manual, Chapter 16, Section 12: project records, funding requests and authorization, bid package documents, and all associated drawings.</p>	C+2	5	-	C+7		<p>C=Until project is completed.</p> <p>Destruction after 7 years under AMHS General Manager written authorization.</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 9

Agency ID

495

Retention

Disposition

Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
22	<p>AMHS Drug & Alcohol Testing Program Records:</p> <p>This records series documents AMHS fulfillment of the federally mandated Drug & Alcohol Testing Program. Includes drug testing schedules, activities and results. Random tests may be made weekly, monthly, quarterly, after an incident, etc.</p>	CY+1	4	-	CY + 5		<p>USCG & USDOT require a minimum 5 year retention.</p> <p>Confidential under Article I, Section 22, Alaska Constitution.</p>
23	<p>Vessel & Facility Security Plans:</p> <p>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>	C	-	-	C	Yes	<p>C=Until plan is superceded and all administrative/management need is met.</p> <p>MTSA: Maritime Transportation Security Act (PL 107-295)</p>
24	<p>Reservations Management System:</p> <p>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.</p>	C	-	-	C	Yes	<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

253005

Page 10

Agency ID

495

Retention

Disposition

Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
25	<p>Crew Dispatch System:</p> <p>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.</p>	C	-	-	C	Yes	<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p> <p>ERP: Enterprise Resource Planning</p>