

This schedule applies to: Board of Pilotage Commissioners

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Board of Pilotage Commissioners relating to the unique functions of training, licensing and regulating of marine pilotage in the Puget Sound and Grays Harbor districts, and protecting the marine environment of such districts. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Board of Pilotage Commissioners are revoked. The Board of Pilotage Commissioners must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on December 5, 2018.

Signature on File

**For the State Auditor:
Al Rose**

Signature on File

**For the Attorney General:
Suzanne Becker**

Signature on File

**For the Office of Financial Management:
Gwen Stamey**

Signature on File

**The State Archivist:
Steve Excell**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 5, 2018	Consolidation of all existing disposition authorities (with some minor revisions).

For assistance and advice in applying this records retention schedule,
please contact the Board of Pilotage Commissioners' Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov

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1. PILOT LICENSING AND OVERSIGHT

This section covers records relating to the training, licensing, and oversight of marine pilots.

1.1 PILOT EXAMINATIONS

The activity of preparing and administering the pilot exam.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69336 Rev. 0	<p><i>Pilot Exam Applications – Unsuccessful</i> Records relating to application materials submitted by pilot aspirants. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Exam applications; • Service records; • Copies of licenses and certifications; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • Inquiries about exam covered by <i>Provision of Advice, Assistance or Information (GS 09022)</i>; • Application materials of successful candidates covered by <i>Licensed Pilot Personal Records (18-12-69333)</i>. <p><i>Note: Replaces DAN 82-03-29743 granted to the Department of Transportation.</i></p>	<p>Retain for 8 years after application received <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 PILOT EXAMINATIONS

The activity of preparing and administering the pilot exam.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69337 Rev. 0	<p><i>Pilot Exam Development and Administration</i></p> <p>Records relating to the development and administration of the written examination and simulator evaluation for pilot applicants as specified in WAC 363-116-076.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Published and unpublished exam announcements; • Sub-consultant contracts; • Approved application packets; • Surveys of active pilots on job duties and knowledge; • Job analysis reports; • Written exam policies and procedures; • Simulator policies and procedures; • Instructions for successful applicants; • Final Board-approved list of ranked candidates; • Simulator evaluation review documentation; • Exam materials. <p><i>Note: Replaces DAN 82-03-29746 granted to the Department of Transportation.</i></p>	<p>Retain for 4 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 PILOT TRAINING PROGRAM

The activity of providing training (including through pilot trainers) for qualified pilot candidates to become licensed pilots.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69338 Rev. 0	<p>Training Reports</p> <p>Records documenting the training program for qualified pilot candidates to become licensed pilots as specified in WAC 363-116-078.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training Program Trip Reports; • Training Matrices and Summary Sheets; • Training Licenses. <p><i>Note: Replaces DAN 82-03-29752 granted to the Department of Transportation.</i></p>	<p>Retain for 10 years after completion or withdrawal from training program</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.3 LICENSED PILOT OVERSIGHT

The activity of monitoring and overseeing licensed pilots.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69333 Rev. 0	<p>Licensed Pilot Personal Records</p> <p>Records documenting the oversight of licensed marine pilots including administration of physical examinations as specified in WAC 363-116-120.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of federal and state licenses; • Copies of certificates; • License upgrade information and correspondence; • Exam application documents; • Training program documents/agreements; • Medical correspondence from/to the Board; • Annual physical reports; • Medical correspondence from/to physicians. <p><i>Note: Replaces DAN 82-03-29749 granted to the Department of Transportation.</i></p>	<p>Retain for 6 years after retirement or death of pilot <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

2. PILOTAGE MONITORING AND REPORTING

This section covers records relating to the monitoring of Marine Safety, pilot earnings and vessel movement.

2.1 MARINE SAFETY REPORTS AND INVESTIGATIONS

The activity of monitoring marine safety occurrences and incidents involving pilots on vessels entering Puget Sound and Grays Harbor as specified in WAC 363-116-200.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69334 Rev. 0	<p><i>Marine Safety Occurrence and Incident Reporting and Investigation</i></p> <p>Records relating to the monitoring and investigation of Marine Safety Occurrences and safety incidents, including receiving reports from pilots as specified in WAC 363-116-200.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Pilot’s Report of Marine Safety Occurrence; • Pilot’s Report of Incident; • Lessons learned as a result of an incident. <p><i>Note: Replaces DAN 82-03-29741 granted to the Department of Transportation.</i></p>	<p>Retain for 12 years after completion of investigation or decision not to investigate</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>OPR</p>

2.2 PILOT EARNINGS AND VESSEL TRAFFIC REPORTS

The activity of receiving reports of pilot earnings and vessel traffic.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-12-69335 Rev. 0	<p><i>Pilot Earnings Reports</i> Reports received by the agency from organizations such as Puget Sound Pilots or Port of Grays Harbor on pilot earnings. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Audited financial statements; • Earned Revenue Reports. <p><i>Note: Replaces DAN 82-03-29745 granted to the Department of Transportation.</i></p>	<p>Retain for 10 years after report received <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
18-12-69339 Rev. 0	<p><i>Vessel Movement and Traffic Monitoring Reports</i> Reports of vessel movements and traffic received from organizations such as Puget Sound Pilots or Port of Grays Harbor. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tanker Movement Reports; • Ship Movement by Length Overall (LOA)/Zone; • Pilot Earned Group; • Seven Hour Reports; • Monthly Activity Reports. <p><i>Note: Replaces DAN 82-03-29751 granted to the Department of Transportation.</i></p>	<p>Retain for 10 years after report received <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis. Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period. WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency. Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster. Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

Public Records

RCW 40.14.010 – Definition and classification of public records.

“... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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