



STATE OF ALASKA
DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
DIVISION OF LIBRARIES, ARCHIVES & MUSEUM
ALASKA STATE ARCHIVES | RECORDS AND INFORMATION MANAGEMENT
PO BOX 110571, Juneau, AK 99811-0571
Phone: (907) 465-2270
rims@alaska.gov

INTRODUCTION FOR NEW RECORDS OFFICERS

Welcome

Congratulations on your appointment as the new Records Officer of your department and/or agency. Records Officers hold an important role within an agency: their actions directly affect the documented history of the State of Alaska, as well as reduce the costs of government by efficiently and effectively managing and maintaining agency records.

Who Should be a Records Officer

Per AS 40.21.060(9), a Records Officer is appointed by your Commissioner.

A Records Officer should have the appropriate skills, resources, time, and support to fulfill the role, and understand that maintaining records beyond their approved retention has the potential to influence both audit and litigation outcomes.

Records Officer tasks are usually assigned as additional duties to personnel who typically come from supervisory or exempt positions, are division directors, or are in positions with adequate authority to establish and maintain an active, continuing program for the efficient management of records per AS 40.21.060 and 4 AAC 59.010 with a thorough knowledge of the department or agency's mission and records created by the department or agency.

What is the Role of a Records Officer?

Records Officer are primarily responsible for acting as a liaison between the Records and Information Management Service (RIMS) and your department/division/agency. In your role as Records Officer and liaison, there are several processes and duties requiring your involvement. The main duties are as follows:

- Review, verify, and send Records Transfer Lists (RTL) to RIMS. When records are consulted infrequently, they have become inactive. If these inactive records are paper records, they should be moved to a records center storage facility. When boxes of records need to be transferred from a state agency to one of the approved records center storage facilities, a RTL must be completed and reviewed by the Records Officer and then approved by RIMS. It is imperative that agency Records Officers carefully review RTLs for accuracy and verify the records can be transferred. After reviewing the RTL, the Records Officer sends the RTL to RIMS for final review and approval. *(NOTE: if you have inactive electronic records, they should be electronically archived).* 4 AAC 59.010(5)(D)
- Educate Records Custodians on proper use of RTLs and of changes to RIMS procedures, forms, or general news relating to records and information management. 4 AAC 59.010(4)

INTRODUCTION FOR NEW RECORDS OFFICERS

- Ensure compliance with your department's agency specific *Records Retention and Disposition Schedules* (RRDS) and/or *General Administrative Records Retention and Disposition Schedule* (GARRDS) as applicable. 4 AAC 59.010(4)
- Review *Certificate of Records Destruction* (CORD) forms submitted by agencies for accuracy and completeness before providing approval. On rare occasions, a Records Officer may need to check and send *Records Disposition Authorization (RDA)* forms to the RIMS when records not identified on records retention and disposition schedule are required to be destroyed. 4 AAC 59.010(4) and 4 AAC 59.010(5)(A)
- Review *Records Disposition Notifications* (RDNs). When records are ready for disposition review what gets destroyed, or kept, or sent to SOA Archives. 4 AAC 59.010(4), 4 AAC 59.010(5)(F&G)
- Work with your department or agency and RIMS to update records retention schedules when necessary. Agency specific retention schedules are developed through a comprehensive analysis and appraisal, legal review, approval, and signatory processes. 4 AAC 59.010(5)(C)
- Adhere to records management statutes and regulations and internal procedures established by the State Archivist. 4 AAC 59.010(2)
- Attend education and training courses offered by the Alaska State Archives and RIMS. 4 AAC 59.010(1)
- Keep track of expenditures for storage. Storing records at a records center are an expense which should be reviewed to ensure the correct amount is being billed by the storage facility. Check with your department /agency's finance unit to find out how to review the bills.

Frequently Asked Questions

1. **Where can I get a Records Transfer List (RTL) form?**

Current RTL forms can be found on the [RIMS homepage](#) under FORMS.

2. **How do I fill out a Records Transfer List (RTL)?**

[RTL Basic Form Instructions](#) can be found in our [Records Transfer: Detailed Instructions](#) webpage under Step 3. Completing the Records Transfer List (RTL).

3. **Where can I find other forms?**

On our [main RIMS Homepage](#) there are a number of other standard forms in addition to the RTL form needed in order to undertake procedures in your role as the agency Records Officer. Forms for these processes may include, but are not limited to:

- **Certificate Of Records Destruction** (CORD) and instructions for destroying records identified on a records retention and disposition schedule
- **Records Disposition Authorization** (RDA) and instructions for destroying records *not* identified on a records retention and disposition schedule
- **Long-Term Email Folder(s) Request**
- **Microform Duplication Request** for duplicating of microform
- **Transmittal Receipt** and instructions for transferring records to the Alaska State Archives

Current versions of all standard RIMS forms and associated instructions can be found on the [RIMS homepage](#) in the FORMS section and guidance on these form policies and procedures can be found in the [RIMS Manual](#).

4. **Who are the state-approved records center storage vendors and how do I contact them?**

There are two state-approved records center storage vendors located in Anchorage and in Juneau. To order barcodes for boxes, retrieve/check-out boxes, etc., you will need to contact the appropriate vendor directly.

Juneau: AAA Archives

Email: archives@aaa-moving.com

Phone: (907) 780-3671, Fax: (907) 780-3672

Anchorage: Vital Records Control

Email: service@vrcofak.com

Phone: (907) 463-7014

5. **How long should I keep my records and which Records Retention and Disposition Schedule (RRDS) do I use?**

All RRDS list series of records and state how long these should be kept and how they should be disposed, either by being destroyed or by being transferred to the State Archives for permanent retention.

You should keep records for as long as prescribed in your agency's records retention and disposition schedule or in one of the general records retention and disposition schedules. This will depend on the type of records that you have. Agency specific schedules have been created for your state agencies and can be found on the [RIMS homepage](#) in the AGENCY RECORDS RETENTION AND DISPOSITION SCHEDULES section.

If you have records that would be considered a common records series (and are not found in your agency's schedule), use the [General Administrative Records Retention & Disposition Schedule \(GARRDS\)](#).

For Office of the Commissioner Staff, use the [Commissioner General Administrative Records Retention and Disposition Schedule](#).

6. **How do I update a Records Retention and Disposition Schedule?**

- For instructions on how to update your agency's RRDS, please see our *Records Retention Schedule Creation and Updates* guidance document found under our GUIDANCE section of the [RIMS homepage](#).

Need More FAQ's?


For more frequently asked questions, please visit the [FAQ](#) section on our [website](#).

Tools

- Records Transfer Lists (RTL) – Detailed Guidance and instructions on the RTL process, procedures, and policies are provided in our [Records Transfer List: Detailed Instructions](#) webpage. In your role as your department or agency's Records Officer. It is vital you review RTLs for accuracy and verification *before* transmittal of the RTL to RIMS. This means checking to ensure the items listed on the RTL have the correct Retention and Disposition Schedule (RRDS) and record series listed, correct inclusive dates, and that disposition dates reflect the correct retention per the listed RRDS before sending the RTL to RIMS. Once the RTL has been reviewed and verified, the Records Officer must email the RTL to RIMS for final approval.
- [RIMS Manual](#) for information and help on the functions and processes of records management.
- [RIMS Website](#) GUIDANCE section contains a great deal of information and guidance on records management issues.
- [RIMS FAQs](#) section of our website is also a helpful tool for commonly asked questions.
- Retention and Disposition Schedules- For more information and detailed guidance, please read *Records Retention Schedule Creation and Updates* guidance document found under our GUIDANCE section of the [RIMS Website](#).

Appendix A- Records Officer Appointment Instructions

In order to become the Records Officer for your department/agency, you will need to provide us with a [Records Officer Designation Form](#) from your Commissioner appointing you as the Records Officer for your Department and/or Agency. Per Alaska Statute AS 40.21.060(9) and our policies, a Records Officer needs to be appointed to serve as the liaison between the Records and Information Management Service and your agency. The form will need to be completed and then signed by your Commissioner. *NOTE: The form is fillable PDF, but requires a handwritten signature.* The completed and signed form should be sent to us at our main email address rim@alaska.gov. Please see an example below of the [Records Officer Designation Form](#)-



STATE OF ALASKA
DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 DIVISION OF LIBRARIES, ARCHIVES & MUSEUM
 ALASKA STATE ARCHIVES | RECORDS AND INFORMATION MANAGEMENT
 PO BOX 110571, Juneau, AK 99811-0571
 Phone: (907) 465-2317 or (907) 465-2276
rim@alaska.gov

RECORDS OFFICER DESIGNATION

Per AS 40.21.060(9) the chief executive officer of each state agency shall "appoint a records officer who shall act as a liaison between the department and the agency on all matters relating to the records management program." A Records Officer (RO) should have the appropriate skills, resources, time, and support to fulfill the role of RO, and follow guidance as set forth by SOA Records and Information Management.

Records Officer tasks are usually assigned as additional duties to personnel who typically come from supervisory positions, or are in positions with adequate authority and knowledge to establish and maintain an active, continuing program for the efficient management of records per AS 40.21.060 and 4 AAC 59.010 with a thorough knowledge of the agency's mission and records created by the agency or division.

Instructions: fill out this form to notify SOA Records and Information Management of an addition, deletion, or change of Records Officer. Return the signed form to rim@alaska.gov.

Department Name:	Division/Agency Name:
Records Officer Name:	Title:
Mailing Address:	Email Address:
Phone Number:	Fax Number:
Does the Records Officer have authority to set policy or procedure? YES <input type="checkbox"/> NO <input type="checkbox"/>	I designate the above individual as Records Officer for <div style="height: 30px;"></div> Department/Agency
Commissioner Name (type or print):	Commissioner Signature:
Date of Signature	

RIMS RO Designation Form (Rev. 1/2019)

Appendix B- Statutes and Regulations

The Records Officer and Chief Executive Officer of each state agency has the responsibility to ensure their agency observes all requirements under state statute and regulations.

Statutes

Chapter 21. Management and Preservation of Public Records.

Sec. 40.21.060. Duties of chief executive officers of state agencies.

The chief executive officer of each state agency shall

- (1) make and preserve public records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency, and designed to furnish the information necessary to protect the legal and financial rights of the state and of persons directly affected by the agency's activities;
- (2) establish and maintain an active, continuing program for the efficient management of the records of the agency under the procedures prescribed by the department, including effective controls over the creation, maintenance, and use of records in the conduct of current business;
- (4) apply the provisions of approved records retention schedules to ensure the orderly disposition of state records including transfer to a state records center;
- (7) establish safeguards against unauthorized or unlawful removal or loss of state records;
- (8) comply with the regulations, standards, and procedures relating to records management and archives established by the department;
- (9) appoint a records officer who shall act as a liaison between the department and the agency on all matters relating to the records management program.

Sec. 40.21.150. Definitions.

In this chapter, unless the context otherwise requires,

- (1) *agency* or *state agency* means a department, office, agency, state board, commission, public corporation, or other organizational unit of or created under the executive branch of the state government; the term does not include the University of Alaska;
- (4) *electronic record* means any information that is recorded in machine readable form;
- (5) *local record* means a public record of a city or borough of any class, villages, district, authority, or other political subdivision unless the record is designated or treated as a state record under state law;

- (6) *record* means any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them; the term does not include library and museum material developed or acquired and preserved solely for reference, historical, or exhibition purposes, extra copies of documents preserved solely for convenience of reference, or stocks of publications and processed documents;
- (7) *records center* means a records depository in the department for the storage and disposition of noncurrent records;
- (8) *state record* means a record of a department, office, commission, board, public corporation, or other agency of the state government, including a record of the legislature or a court and any other record designated or treated as a public record under state law.

AS 40.25.220(3) defines *Public Record* to mean "books, papers, files, accounts, writings, including drafts and memorializations of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a private contractor for a public agency, and that are preserved for their information value or as evidence of the organization or operation of the public agency: public records does not include proprietary software programs."

Regulations

4 AAC 59.010. Records officers

A records officer of a state agency appointed under AS 40.21.060(9) shall

- (1) attend education and training courses offered by the Alaska State Archives (ASA) and Records and Information Management Services (RIMS);
- (2) adhere to records management statutes and regulations and internal procedures established by the state archivist;
- (3) after approval by the state archivist, prepare for issuance by the state agency directives to establish objectives, responsibilities, and authorities for management of agency records;
- (4) guide and monitor agency officers and employees in the application of records management practices for the economical and efficient creation, maintenance, use, and disposition of agency records; and
- (5) coordinate agency-wide activities to ensure compliance with AS 40.21, other state law, or this chapter for
 - (A) adequacy of documentation;
 - (B) the creation, maintenance, and use of active records;
 - (C) preparation of records retention and disposition schedules;
 - (D) storage of inactive records;
 - (E) identification and protection of essential records;
 - (F) protection of records designated as archival;
 - (G) transfer of archival records to the Alaska State Archives and Records and Information Management Services;
 - (H) microreproduction of records; and
 - (I) use of electronic records storage and retrieval systems and materials.

Contacts

If you have further questions or need assistance contact please contact us.

RIMS email address rims@alaska.gov

Phone: (907) 465-2270

Mailing Address: PO BOX 110571, Juneau, AK 99811-0571