



*Alaska State*  
*Archives* / Records & Information  
Management Service

# **POLICIES AND PROCEDURES MANUAL**

**June 2015**



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## INTRODUCTION

Welcome to the Records & Information Management Service (RIMS) *Policies and Procedures Manual* for the State of Alaska (SOA).

This manual outlines the mission of the RIMS, the scope of the service it provides, general information relating to all aspects of records and information management in the SOA and contains procedures for all state employees, Records Officers and for RIMS staff.



The RIMS homepage can be found here:

[http://archives.alaska.gov/records\\_management/records\\_management.html](http://archives.alaska.gov/records_management/records_management.html)

## APPROVAL

\_\_\_\_\_  
**Gordon E. Brown**  
**State Records Manager**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Dean Dawson**  
**State Archivist**

\_\_\_\_\_  
**Date**

\* Original signatures held on file



## MISSION STATEMENT

Our mission is to provide leadership and guidance relating to records and information management for the State of Alaska.

The RIMS achieves this by:

- Maintaining records retention and disposition schedules
- Facilitating secure, cost-effective storage for inactive records
- Facilitating the disposal of records in a timely fashion
- Identifying business essential records
- Providing guidance on all aspects of records and information management



## RECORDS AND INFORMATION MANAGEMENT POLICY

### Purpose

The purpose of this policy is to establish state-wide principles, accountabilities and obligations relating to records and information management. This will ensure that records are managed in a way that supports the efficient and effective functioning of the SOA.

### Scope of the Policy

This policy covers all records created and received by the SOA. Its provisions extend to all staff conducting business on behalf of the state.

### Definitions

**AS 40.21.150(6)** defines *Record* to mean AS 40.21.150(6) defines *Record* to mean "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."

**AS 40.21.150(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."

### Authority

AS 40.21 (Management and Preservation of Public Records)

4 AAC 59 (Archives and Records Management Service)



### Ownership

All records created or received by employees in the course of their employment are the property of the SOA and subject to its control. Employees departing the SOA are required to leave all records for their successors (please see guidance regarding this on the RIMS homepage under the *Guidance* section).

### Policy

This policy further develops the specific requirements that all SOA records are subject to. In particular this policy aims to ensure that all records created and held by the SOA are authentic, secure, accessible and useable. This is regardless of their format.

- Records must be retained and disposed according to either a specific agency records retention and disposition schedule (RRDS), the *General Administrative Records Retention and Disposition Schedule (GARRDS)* or the Commissioner General Administrative Records Retention and Disposition Schedule. Model records retention and disposition schedules have been created for use by Alaska school districts and local governments.
- Records that are of important historical and research significance must be identified and kept to maintain the corporate memory. Refer to the *Alaska State Archives Appraisal Policy*.
- Departments must ensure that business essential records are managed so that if a disaster was to occur, the records essential to its being able to function are safe, accessible and useable.
- A RRDS shall be considered out-of-date if it is more than three years old at which point the RIMS will undertake to update the RRDS as soon as it is practical to do so.
- Records must be disposed in an appropriate manner. All sensitive or confidential records should be securely disposed by specialist shredding/recycling companies and should not be disposed of in normal bins. A list of currently approved vendors for this purpose can be found on page 18 and on the RIMS homepage.
- All records will be stored in an appropriate manner i.e. a secure filing cabinet or drawer, properly indexed according to a file plan to enable the easy retrieval of the records.
- Training shall be provided by the RIMS on at least a semi-annual basis in Juneau, Anchorage, and Fairbanks.



### Accountabilities

- The overall accountability for the provision of the RIMS is the Commissioner of Education and Early Development.
- The Commissioner of Education and Early Development is supported in this function by the State Records Manager who, under supervision of the State Archivist, will ensure the effective day-to-day management of the RIMS.
- The Chief Executive Officer of each state agency has the responsibility to ensure their agency observes all requirements under AS 40.21.
- Records Officers are accountable for ensuring that established state policy and procedures relating to records and information management are being followed throughout their jurisdiction.
- All SOA employees have the responsibility to ensure that the records they create and receive are managed in accordance with this policy, all guidance and procedures as prescribed by the RIMS and in compliance with federal and state regulations.

### Business Essential Records

It is recommended that all records that are identified as being essential to the running of a state agency be stored in fire-proof safes/cabinets and multiple copies kept in different locations, in preferably different buildings. If business essential records are in an electronic format, a copy should be backed-up and held within off-site storage.

Business essential records:

1. Are necessary for emergency response.
2. Are necessary to resume or continue operations.
3. Protect the health, safety, property, and rights of residents.
4. Would require massive resources to reconstruct.
5. Document the history of communities and families.



## Records Retention and Disposition Schedules

It is important that all records are kept for the correct prescribed period of time. Records shall only be kept for the times as prescribed within approved RRDS unless they are needed as part of anticipated or ongoing litigation, audit or legal regulations that requires a longer retention period.

In the GARRDS, the ownership of the *official record copy* of records series will be established to avoid duplication of holdings across departments and agencies. Only the identified *official record copy* will be retained to comply with federal or state requirements or for permanent historical and research value. Duplicate copies will generally be disposed of once the administrative need for retaining them has been met (please consult the GARRDS for the exact retention period of duplicate copies of records).



Records Retention and Disposition Schedules can be found here:

[http://archives.alaska.gov/records\\_management/records\\_management.html?  
panel=1](http://archives.alaska.gov/records_management/records_management.html?panel=1)



## SCOPE OF SERVICE

The main focus of the RIMS is to provide a service to the SOA. The service provided shall be consistent to the fulfillment of the service's mission as stated on page 5 of this manual. To each of the following, the service provided will be:

### **State Agencies**

Assist with all aspects of records and information management including but not limited to: records retention and disposition schedule development, off-site storage for inactive records, disposal of records according to an agency RRDS, the GARRDS or the Commissioner General RRDS, file system creation and/or analysis, protection of business essential records, disaster recovery, ensuring that records are kept in the most effective media/format and providing regular training on records and information management.

### **Municipalities & School Districts**

Provide consultative services upon request and as funds are available. Provide training, resources and other materials as appropriate. The municipality/school district shall be responsible for all travel, lodging and per diem expenses but no consultation charge shall be levied by the RIMS.

### **Private Sector**

Provide resources to which businesses and individuals can go for expert records management guidance. Refer only under AS 40.21 as the RIMS does not assist non-governmental entities, unless the requestor is a cultural or historical entity where it might be of public relations value to assist in some nominal manner.



## GOALS AND OBJECTIVES

### **The RIMS will:**

- Lead and guide the SOA in matters relating to records and information management to fulfill the mission of the service and to help ensure compliance across the state for all relevant statutes and regulations.
- Promote records and information management policies, procedures, rules and regulations to all departments through regular training sessions and consultation.
- Provide optimal, efficient and secure off-site storage for inactive records through the use of authorized records centers. Please refer to the relevant section in this manual or the RIMS homepage for a list of currently approved records centers.
- Provide records and information management assistance to local governments and Alaska school districts, upon request.
- Encourage and allocate resources for professional development and training opportunities for RIMS staff.
- Review and update records retention and disposition schedules as soon as practicable once they are out-of-date.
- Promote best industry practice for the management of all records regardless of their format.



## SERVICE STANDARDS

### The RIMS will:

- Respond to enquiries received within 24-hours. If the enquiry cannot be completed within 24 hours then the enquirer will be provided with an estimated time for when they can expect the request to be completed.
- Approve *Records Transfer List* (RTL) within 24 hours (subject to correct information having been received). RTLs transferring microform will be approved within one week (subject to correct information having been received).
- Approve and send for additional signature approval, Records Disposition Authorizations (RDAs) within one week (subject to correct information having been received).
- Issue *Records Disposition Notices* (RDNs) generated by the semi-annual reports to departments before the disposition dates of July 1<sup>st</sup> and January 1<sup>st</sup>.
- Publish records retention and disposition schedules online within one week of final approval.
- Provide face-to-face training at least twice a year in Juneau, Anchorage, and Fairbanks (please see the section on training later in this manual or the *Training* section on the RIMS homepage for details).
- Provide targeted webinars on a quarterly basis on records and information management issues.
- Serve client agencies in a professional manner.



## RECORDS RETENTION AND DISPOSITION SCHEDULES (RRDS)



Records Retention and Disposition Schedules can be found here:

[http://archives.alaska.gov/records\\_management/records\\_management.html?panel=1](http://archives.alaska.gov/records_management/records_management.html?panel=1)

### What Are Records Retention and Disposition Schedules?

They:

- Identify common records series across the SOA
- Identify all agency specific records series
- Capture the format of records series and their respective retention periods
- Establish office retention policies
- Comply with legal retention requirements
- Document confidentiality restrictions
- Fulfill operational retention requirements
- Authorize state employees to dispose of records
- Authorize state employees to transfer inactive records to records centers
- Authorize state employees to send records to the Alaska State Archives

### General Records Retention and Disposition Schedules

The SOA has two general records retention schedules: the General Administrative Records Retention and Disposition Schedule (*GARRDS*) and the *Commissioner General Administrative Records Retention and Disposition Schedule*.

The *GARRDS* lists common records series found in most offices (e.g. contracts, general correspondence, meeting minutes etc...) and states the length of time that records are retained for. It specifies who retains the *official record copy* and duplicates.

The *Commissioner General Administrative Records Retention and Disposition Schedule* is similar to the *GARRDS* but is only used by Commissioner's offices. Typically the retention periods are longer due to the records being generated and maintained at the Commissioner level.



### Agency Records Retention and Disposition Schedules

An agency RRDS is a concise, official guide for the management of agency specific records series and provides for the prompt and orderly disposition of records no longer possessing administrative, legal or financial value; and, identifies records that have permanent historical and research value. It lists those unique records created and maintained by the agency in the conduct of the substantive functions for which it is responsible. RIMS staff assists agencies in developing their agency schedules.

All schedules are approved and authorized by the relevant Division Director, Attorney General, Commissioner of the Department of Administration, a Records Analyst and the State Archivist. A designee may be used for any of these positions as long as proper delegation of authority has been arranged. Approved schedules allow an agency to legally dispose of inactive state records.

### Using Records Retention and Disposition Schedules

- Become familiar with the records series, descriptions and associated retention periods. Know which/when records are eligible for destruction or transfer to a records center or to the Alaska State Archives.
- Know the current audit and litigation situation in your agency. Do not dispose of records that may be needed for litigation, audit, or investigation.
- Set aside a specific time each year to dispose of or transfer records. The most common times are at the end of the fiscal or calendar year.
- Hold purging to a minimum. A document-by-document review of each file is costly and inefficient. If the agency has established a regular procedure for separation of file contents, such as keeping the transitory documents or working papers on one side of the folder, purging before transfer may be more practical.
- Establish a cut-off date for subject files, such as the end of a calendar or fiscal year. While the subjects themselves may be of continuing interest to the agency, the contents of the folders may not. Reference to materials that are over five years old is rare. Agencies should periodically begin a new set of subject folders so that the older folders may be destroyed or transferred to a records center.



### **Calculating Disposition Dates**

We recommend that you round up the disposition date of your records to either:

- a) July 1<sup>st</sup> of that year
- b) January 1<sup>st</sup> of the following year

#### **Example 1**

Timesheets from January 2009 – September 2012

Retention: Current Year plus 3 years

Disposition Date: 1/1/16

#### **Example 2**

Vendor Files from March 2010 – June 2010

Retention: Current Fiscal Year plus 3 years

Disposition Date: 7/1/13

#### **Example 3**

General Litigation Case File: Case Closed 9/22/2006

Retention: 15 years after a case is closed

Disposition Date: 1/1/22



## FORMS



All current forms can be found here:

[http://archives.alaska.gov/records\\_management/records\\_management.html?panel=2](http://archives.alaska.gov/records_management/records_management.html?panel=2)

There are a number of standard forms that need to be used in order to undertake a number of procedures identified in this manual. These processes include:

- Transferring inactive records to a records center
- Transferring records to the State Archives
- Destroying records not identified on a records retention and disposition schedule
- Accessing records held in a records center
- Requesting duplication of microform
- Requesting long-term email folder(s)

Current versions of all standard RIMS forms and associated instructions can be found on the RIMS homepage in the *Forms* section.



## ACTIVE AND INACTIVE RECORDS STORAGE

It is important to ensure that records are kept in adequate storage locations. All records, regardless of their format need to be filed in the same system or file plan and retained for the retention period prescribed in either a general or agency RRDS.

### Active Records Storage

It is important to make sure that the records that you hold in your office are managed in an efficient and effective manner in accordance with all legal requirements, which aids retrieval of information and ensures that information essential to the running of your agency, is secure.

If you are running out of space within your office, you may send records to a records center. It is highly recommended that you do not transfer active records to a records center as continual access will lead to high costs and access will be more limited than if you retained them in your agency office.



Guidance on labeling storage boxes held in your office can be found here:

[http://archives.alaska.gov/pdfs/records\\_management/FilingAndStoringRecords.pdf](http://archives.alaska.gov/pdfs/records_management/FilingAndStoringRecords.pdf)

### Inactive Records Storage

Storage space for inactive records is provided through contracted records centers in Anchorage and Juneau. Agencies using these facilities are billed for the services that they use e.g. transferring boxes in to storage, file/box retrievals, pickups/deliveries, re-files and destruction services.



## STATE-APPROVED RECORDS CENTERS

There are three state-approved records centers:

### Juneau:

For Microform Only:

AAA Archives & Records Storage  
5350 Shaune Drive  
Juneau, AK 99801  
Tel: (907) 780-3671  
Fax: (907) 780-4521  
Email: [kwillard@aaa-moving.com](mailto:kwillard@aaa-moving.com)

Records & Information Management Service  
141 Willoughby Avenue  
Juneau, AK 99811  
Tel: (907) 465-2275  
Fax: (907) 465-2465

### Anchorage:

Alaska Archives  
1300 West 56<sup>th</sup> Avenue, Unit 14  
Anchorage, AK 99518  
Tel: (907) 563-8349  
Fax: (907) 563-7012  
Email: [bprim@acsalaska.net](mailto:bprim@acsalaska.net)  
[alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)

All current contracts can be found here:



<http://doa.alaska.gov/dgs/cam/index.html>

*(on the webpage listed above, refer to: **SECTION XI-SERVICE CONTRACTS, Record Storage and Shredding Services or Records Storage-Juneau**)*

### Records Center Services

Both AAA Archives and Alaska Archives provide the following:

- Standard one cubic foot records storage boxes and bar-coded box labels
- Box/file pickup, delivery, retrieval and re-filing
- Computerized inventory/index of client holdings
- Certified destruction of records
- Transfer of boxes to the Alaska State Archives



**CONFIDENTIAL SHREDDING CONTRACTORS**

**Juneau:**

REACH, Inc.  
213 Third Street  
Juneau, AK 99801

Tel: (907) 586-8228  
Fax: (907) 586-8226

AAA Archives & Records Storage  
5350 Shaune Drive  
Juneau, AK 99801

Tel: (907) 780-3671  
Fax: (907) 780-4521  
Email: [kwillard@aaa-moving.com](mailto:kwillard@aaa-moving.com)

**Anchorage:**

Alaska Archives  
1300 West 56<sup>th</sup> Avenue, Unit 14  
Anchorage, AK 99518

Tel: (907) 563-7014  
Fax: (907) 563-7012  
Email: [bprim@acsalaska.net](mailto:bprim@acsalaska.net)  
[alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)

Shred Alaska, Inc.  
801 East 82<sup>nd</sup> Avenue, Suite B-1  
Anchorage, AK 99518

Tel: (907) 929-1154  
Fax: (907) 929-8042

All current contracts can be found here:



<http://doa.alaska.gov/dgs/cam/index.html>

*(on the webpage listed above, refer to: **SECTION XI-SERVICE CONTRACTS, Record Storage and Shredding Services or Records Storage-Juneau**)*



## RECORDS OFFICERS

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” as per AS 40.21.060(9).

The position of Records Officer is also mentioned in 4 AAC 59.010. It states that their duties shall include:

1. Attending education and training course offered by the State Archives and the Records & Information Management Service.
2. Adhere to records management statutes and regulations and internal procedures established by the State Archivist.
3. Guiding and monitoring agency officers and employees in the application of records management practices for the economical and efficient creation, maintenance, use, and disposition of agency records.
4. Coordinate agency-wide activities to ensure compliance with AS 40.21.

A list of all Records Officers can be found here:



[http://archives.alaska.gov/pdfs/records\\_management/RecordsOfficers.pdf](http://archives.alaska.gov/pdfs/records_management/RecordsOfficers.pdf)



## GUIDANCE DOCUMENTS

The RIMS has made a number of guidance documents available online. These are intended to be quick guides, which will add to the understanding of the topics for all staff across the state and offer practice tools in order to improve the management of records and information.

Guidance is available on, but not limited to:

- Guidelines for Digitizing or Microfilming Records
- Benefits of Recordkeeping
- Records Retention and Disposition Schedules (RRDS)
- Records and Information Management Guides for New and Departing Staff
- Agencies Being Reorganized or Terminated
- Quick Guide to File Formats
- Guidelines for Writing Email
- How to Name Electronic Files and Folders
- Filing and Storing Records

All current guidance documents can be found at:

[http://archives.alaska.gov/records\\_management/records\\_management.html?  
panel=3](http://archives.alaska.gov/records_management/records_management.html?panel=3)



And at:

[http://archives.alaska.gov/records\\_management/records\\_management.html?  
panel=4](http://archives.alaska.gov/records_management/records_management.html?panel=4)

The RIMS will continue to add guidance on important issues relating to records and information management as appropriate.



## ELECTRONIC RECORDS

The increasing volume of electronic records poses a considerable challenge for the SOA. There are a number of unique factors to consider when managing digital content rather than paper or microform e.g. whether to migrate records to a new platform; refresh content to the same media platform or emulate a current platform but on a different platform that will be more stable into the future.

Agencies need a strategy to ensure that electronic records will remain authentic, secure, accessible and useable over their entire retention period.

### Email

The SOA email archiving policy can be found here:

<http://doa.alaska.gov/ets/messaging/Archiving/policy.html>



The Frequently Asked Questions (FAQ) section based on the email archiving policy can be found at:

<http://doa.alaska.gov/ets/messaging/Archiving/eMailArchivingFAQ.html>



## RECORDS AND INFORMATION MANAGEMENT TRAINING

To fulfill its mission, the RIMS provides training available to all employees across the SOA.

### **Introduction to Records and Information Management (IRIM)**

This hands-on training aimed at all SOA employees will be arranged, as a minimum, semi-annually in Juneau, Anchorage, and Fairbanks in accordance with the RIMS Service Standards.

Training topics covered shall include:

- Introduction to the Records & Information Management Service
- Records & Information Management Terminology
- How to Manage Records
- Records Transfer Lists
- Records Disposition
- Filing and Storing Records
- Records Retention and Disposition Schedules
- Email Management
- State Email Policy

This training can be customized and provided for Records Officers, divisions and other state agency workgroups as requested.

Currently scheduled dates for this training can be found on the RIMS homepage or TrainAlaska.

### **Webinars**

The RIMS shall hold targeted webinars on a variety of topics on, but not limited to:

- Records Transfer Lists
- Records Disposition
- Records Retention and Disposition Schedules



## Records & Information Management Service Manual – 2015

Details and dates for the hands-on *Introduction to Records and Information Management* (IRIM) training can be found here:



[http://archives.alaska.gov/records\\_management/records\\_mangmnt\\_training.html](http://archives.alaska.gov/records_management/records_mangmnt_training.html)

All webinar training dates can be found here:

[http://archives.alaska.gov/records\\_management/RIMSwebinars.html](http://archives.alaska.gov/records_management/RIMSwebinars.html)



## ALASKA STATE ARCHIVES

The Alaska State Archives maintains historical records originally created or maintained by an Alaska territorial or state agency. Records eligible for permanent preservation in the archives are documented on the retention schedule; the schedule also identifies those records created or administered by the agency that have potential historical value. When records are transferred to the Alaska State Archives, the creating agency not only transfers physical custody, but also transfers legal ownership to the archives.

Archives staff assists walk-in patrons to locate records series that are applicable to their research questions and pull the appropriate boxes. Archival records cannot be removed from the archives, even by the originating agency, but photocopy services are available. This policy protects the records from loss, physical damage, and helps ensure their credibility as evidence.

Both state agency personnel and the general public use the holdings of the State Archives. The archives arrange state government records by agency of origin, not by subject or topic. Patrons complete a *Researcher Registration* form and sign the daily register on their first visit; on subsequent visits, patrons need only to sign the daily register. The archives reference staff assist patrons in determining the nature of their research and suggest appropriate record groups and series for review. Contact the reference desk, [archives@alaska.gov](mailto:archives@alaska.gov) or 465-2270 for information.

The State Archives provides a photocopier, microfilm reader/printers and microfilm/microfiche duplication. Copies of documents, including certification, may be made according to the fee schedule.



## MONITORING

It is important for the RIMS to continually monitor the service that it provides to state agencies.

On an annual basis, the RIMS will survey all Records Officers to find out how the previous year in order to assess the performance of the RIMS and the approved contractors.

Based on the findings of this survey, an action plan will be created in order to clarify, improve or develop new services to ensure that the records of the SOA are being managed to the best standard possible.

The following key operational statistics shall be kept by the RIMS for monitoring purposes:

- RRDS published
- Initial (v01) RRDS sent to contact
- RRDS sent to the Office of the Attorney General
- Dispositions issued (RDAs and RDNs)
- Boxes destroyed (RDAs and RDNs)
- Boxes transferred to the State Archives
- Records Transfer Lists approved
- Boxes transferred to records centers
- Microfilm Rolls transferred to the RIMS
- Microfiche transferred to the RIMS



## 1. AGENCY PROCEDURES

The following section contains the procedures that all general staff must follow when undertaking the following tasks:

- Transferring records to a records center
- Transferring records to the Alaska State Archives
- Destroying records identified on a records retention and disposition schedule
- Destroying records not identified on a records retention and disposition schedule
- Accessing records stored in a records center



## 1.1 Transferring Records to a Records Center

**The following steps are for the person responsible for completing the Records Transfer List (RTL) form and preparing the boxes for transfer.**

1. If necessary, purchase standard boxes and order barcodes from the relevant records center to hold the records that will be transferred. Refer to section 10 for the contact details of the records centers.

**Tips:**

- \* Plan on two boxes per filing cabinet drawer
  - \* Maintain files in the same drawer order e.g. alpha, numeric etc...
  - \* Remove all "Pendaflex" or hanging files
  - \* Place 3-ring binders flat in the box or remove materials and place in manila folders
  - \* Leave at least 1" of space in the box, to facilitate file pulls
  - \* Leave additional space in boxes if files will be added later and use OUT cards
2. Place one barcode on each box. This number corresponds to column 18 on the *Records Transfer List (RTL)*.
  3. Complete a RTL.

Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

4. Send the completed RTL to your Records Officer for review and approval.

**The following steps are for Records Officers only!**

5. Review the RTL to ensure all the details are correct. If not, please confirm with the contact person and ensure all necessary corrections are made before you approve it.
6. Once you have approved the RTL, email it to the Records Analyst. If they are unavailable, forward it to the State Records Manager.

**Note:** The RIMS approved RTL will be sent to the Records Officer, contact person and the appropriate records center.

**The following step is for the contact person stated on the RTL form.**

7. Schedule the transfer after approval has been received by contacting the records center for box pickup or arrange with department mailroom staff to deliver boxes to the records center.



## 1.2 Transferring Microform to a Records Center

**The following steps are for the person responsible for completing the Records Transfer List (RTL) form and preparing the boxes for transfer.**

1. If necessary, purchase standard boxes and order barcodes from the relevant records center to hold the records that will be transferred. Contact details of the records centers can be found earlier in this manual or on the RIMS homepage.
2. Place one barcode on each box. This number corresponds to column 18 on the *Records Transfer List* (RTL).
3. Label each reel/fiche with your agency reel number. This number corresponds to column 17 on the RTL.
4. Complete a RTL.

Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

### **The following steps are for Records Officers only!**

5. Review the RTL to ensure all the details are correct. If not, please confirm with the contact person and ensure all necessary corrections are made before you approve it.
6. Once you have approved the RTL, email it to the Records Analyst. If they are unavailable, forward it to the State Records Manager.

**Note:** The RIMS approved RTL will be sent to the Records Officer, contact person and the appropriate records center.

### **The following step is for the contact person stated on the RTL form.**

7. Schedule the transfer after approval has been received by contacting the records center for box pickup or arrange with department mailroom staff to deliver boxes to the records center.



### 1.3 Transferring Microform to the Records & Information Management Service

The following steps are for the person responsible for completing the Records Transfer List (RTL) form and preparing the microform for transfer.

1. Label each reel/fiche with your agency reel number. This number corresponds to column 17 on the RTL.

**Note:** Do not complete column 18 on the RTL – this will be done by RIMS staff when they receive the microform.

2. Complete a RTL.

Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

3. Send the RTL and the box(es) of microform to the RIMS.

**Note:** The approved RTL will be returned to the contact person and the Records Officer.



#### 1.4 Transferring Records to the State Archives

**The following steps are for the person responsible for completing the *Transfer of Public Records to the Alaska State Archives* form and preparing the boxes for transfer.**

1. Complete the *Transfer of Public Records to the Alaska State Archives* form found on the RIMS homepage.
2. Send this form to your Division Director or designee for review and approval. They sign section 11A on the form. Once approved, send to the Archivist II/TIS for approval.



### 1.5 Destroying Records (Scheduled Records)

The following steps are for the person(s) responsible for undertaking the destruction of state records.

1. Verify that records are eligible for destruction under your agency RRDS or general RRDS.
2. It is highly recommended that you complete a *Certificate of Records Destruction* and have it signed by your Division Director and Records Officer. No authorization from the RIMS is required.

Please refer to the *Certificate* template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

3. Carry out authorized destruction either in your agency or through an approved contractor.

**Note:** Pursuant to the *Personal Information Protection Act (PIPA, HB 65)* all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. Electronic media that is cleared, purged, or destroyed must comply with Enterprise Technology Services minimum security requirements.



## 1.6 Destroying Records (Unscheduled Records)

**The following steps are for the person responsible for completing the Records Disposition Authorization (RDA) and preparing the records for destruction.**

**Note:** Pursuant to the *Personal Information Protection Act (PIPA, HB 65)* all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. Electronic media that is cleared, purged, or destroyed must comply with Enterprise Technology Services minimum security requirements.

1. Complete a RDA.

Please refer to the RDA template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

2. Send the completed RDA to your Division Director for review and approval.
3. Send the completed RDA to your Records Officer for review and approval.

### **The following steps are for Records Officers only!**

4. Review the RDA to ensure all the details are correct. If not, please confirm with the contact person and ensure all necessary corrections are made before you approve it.
5. Sign the RDA in the "Records Officer" section at the bottom.
6. Email the completed RDA to the Records Analyst. If they are absent, forward the completed RDA to the State Records Manager.

**Note:** The RIMS approved RDA will be sent to the Records Officer, contact person and the appropriate third party chosen (if applicable) to carry out the destruction.

### **The following step is for the contact person stated on the RDA form.**

7. If applicable, schedule the destruction after approval has been received by contacting the third party for box pickup or arrange with department mailroom staff to deliver boxes to the third party. If you are destroying the records in your own agency, carry out the authorized destruction.



**1.7 Disposing of Records in a Records Center**

**The following steps are for Records Officers only!**

1. You will receive Records Disposition Notice(s) (RDNs) for each individual agency within your jurisdiction as Records Officer. You will also receive instructions and relevant box and RTL listings that correspond to the RDNs.
2. Forward all the relevant RDNs, instructions and associated box and RTL listings to the agencies within your jurisdiction.

**The following steps are for staff responsible for checking the details of the RDNs and seeking approval for disposition from their Division Director.**

3. You have received a RDN(s) for your agency along with an instructional email guide as to what to do.
4. Follow the step-by-step email instructional guide.
5. Once a decision on all records has been made on a RDN, send it to your Division Director/designee for review and approval.
6. Once approved, email the signed RDN cover sheet and the associated list of boxes to the Records Analyst.



## 1.8 Accessing Records in a Records Center

**The following steps are for staff not currently authorized to access their agency's records in a records center.**

1. Complete a *Records Access Authorization* form found on the RIMS homepage.
2. Send the completed form to your Division Director for review and approval.
3. Once approved, send this form to the relevant records center to be added to the list of approved staff.

**Note:** As an alternative, contact your Records Officer who can request access on your behalf.

**The following steps are for staff currently authorized to access their agency's records in a records center.**

1. Complete the records center specific *Records Reference Request* form found on the RIMS homepage and email/fax the form to either AAA Archives or Alaska Archives at:

**AAA Archives**

Fax: (907) 780-3672

Email: [kwillard@aaa-moving.com](mailto:kwillard@aaa-moving.com)

**Alaska Archives**

Fax: (907) 563-7012

Email: [bprim@acsalaska.net](mailto:bprim@acsalaska.net)  
[alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)



### 1.9 Accessing Records in the State Archives

The following steps are for staff trying to access records in the State Archives.

1. Complete the e-form found on the State Archives website at:  
<http://archives.alaska.gov/forms/researchQ.aspx>
2. Email your question to [archives@alaska.gov](mailto:archives@alaska.gov)
3. Fax your request to (907) 465-2465
4. Phone the State Archives on (907) 465-2270



### 1.10 Duplicating Microform Held by the RIMS or State Archives

**The following steps are for staff wanting a duplicate copy of microform held by either the RIMS or State Archives.**

1. Complete the *Microform Duplication Request* form found on the RIMS homepage.
2. Email the completed form to the Records Analyst.



## APPENDICES

### I. GLOSSARY

<b>Active Records</b>	Records that are still used regularly by an agency so need to be retained within the agency office
<b>Archives</b>	The state agency responsible for preserving state records with permanent historical/research value
<b>Archiving</b>	The process of sending records to the State Archives
<b>Authentic</b>	The record is what it purports to be and hasn't been altered
<b>Business Essential Records</b>	<ol style="list-style-type: none"><li>1. Are necessary for emergency response</li><li>2. Are necessary to resume or continue operations</li><li>3. Protect the health, safety, property, and rights of residents</li><li>4. Would require massive resources to reconstruct</li><li>5. Document the history of communities and families</li></ol>
<b>Disposition</b>	The process where records are either destroyed or transferred to the State Archives
<b>Duplicates</b>	<p>Duplicates are all copies of a record that are not the Official Record Copy and are held by an agency other than the agency that holds the Official Record Copy. If your agency does not hold the Official Record Copy, you hold a duplicate and should retain the duplicate under the schedule prescribed for duplicates. However, if your copy contains alterations or markings that should be preserved for their independent informational value, your copy would be subject to the retention requirement for an original record. A duplicate that has only different metadata is also generally not a record with independent informational value, although metadata may be subject to legal discovery or to a legal hold.</p> <p>If you hold the official record copy, you may also have duplicates. Only one copy of the record should be retained according to the prescribed retention period for the official record copy.</p>
<b>Electronic Record</b>	Any information that is recorded in machine readable form



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<b>General RRDS</b>	This refers to the group of general records retention and disposition schedules including the General Administrative Records Retention and Disposition Schedule (GARRDS); Commissioner General Records Retention and Disposition Schedule; School District Model General Administrative Records Retention and Disposition Schedule, and the Local Government Model General Administrative Records Retention Schedule
<b>GARRDS</b>	General Administrative Records Retention and Disposition Schedule
<b>Inactive Records</b>	Records that are no longer used regularly by an agency but still need to be retained
<b>LAM</b>	Division of Libraries, Archives & Museums
<b>Lifecycle</b>	This refers to the different phases that a record goes through starting when it has been created or received by an agency, through its use and maintenance as an active or inactive records before being disposed of i.e. destroyed or transferred to the State Archives.
<b>Microform</b>	Microfilm and/or microfiche
<b>Official Record Copy</b>	The official record copy refers to the copy of the record that must be retained by the state to fulfill all its legal responsibilities and must be retained for the total retention period stated.
<b>Record</b>	AS 40.21.150(6) defines <i>Record</i> to mean “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.”
<b>Record Center</b>	A place to store inactive records before they are disposed of
<b>Records Series</b>	A group of alike records filed together by their content e.g. Personnel Records
<b>RDA</b>	Records Disposition Authorization
<b>RDN</b>	Records Disposition Notice
<b>RIMS</b>	Records & Information Management Service



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<b>RRDS</b>	Records retention and disposition schedule
<b>RTL</b>	Records Transfer List
<b>SOA</b>	State of Alaska



## II. STAFF CONTACTS

### Records & Information Management Service

P.O. Box 110525

141 Willoughby Avenue

Juneau, AK 99811-0525

Homepage: [http://archives.alaska.gov/records\\_management/records\\_management.html](http://archives.alaska.gov/records_management/records_management.html)

Karen Gray

State Records Manager

Tel: (907) 465-2275

[karen.gray@alaska.gov](mailto:karen.gray@alaska.gov)

Katie Jensen

Records Analyst

Tel: (907) 465-2317

[katie.jensen@alaska.gov](mailto:katie.jensen@alaska.gov)

### Alaska State Archives

P.O. Box 110525

141 Willoughby Avenue

Juneau, AK 99811-0525

Homepage: [www.archives.alaska.gov](http://www.archives.alaska.gov)

Dean Dawson

State Archivist

Tel: (907) 465-2276

Email: [dean.dawson@alaska.gov](mailto:dean.dawson@alaska.gov)

Chris Hieb

Archivist III

Tel: (907)-465-2245

Email: [chris.hieb@alaska.gov](mailto:chris.hieb@alaska.gov)

Zach Jones

Archivist II

Tel: (907)-465-2241

Email: [zachary.jones@alaska.gov](mailto:zachary.jones@alaska.gov)