



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 Division of Libraries, Archives and Museums
 Archives and Records Management Services
 POB 110525, 141 Willoughby
 Juneau, AK 99811-0525
 465-2245; 465-2276/Voice; 465-2465/Fax

STATE OF ALASKA

Schedule Number: 83605

Agency ID #: 275

RECORDS RETENTION SCHEDULE

Page 1 of 6

<p>DEPARTMENT OF COMMERCE, COMMUNITY & ECONOMIC DEVELOPMENT REGULATORY COMMISSION OF ALASKA (RCA) RECORDS & FILING</p> <p><i>DIVISION OF FINANCE</i> <i>MAY 08 2007</i></p>	<p>KEY</p> <p>A - After Audit Numerals - Years in Addition to current year CFY - Current Fiscal Year TO - Term of Office CY - Current Year M - After Microfilming P - Permanent C - Current/or as defined</p>
---	---

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 **Calendar** 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.

Unless otherwise noted all records series are nonconfidential under 3 AAC 48.040. This records schedule supercedes #83604.

Statutory/Regulatory Authority: AS 42.05 (Public Utilities); AS 42.06 (Pipelines); AS 42.45 (Power Cost Equalization); 3 AAC 47 (Regulatory Cost Charge); 3 AAC 48 - 53 (RCA).

The RCA promotes the public interest by certificating and economically regulating qualified public utilities and pipeline carriers. The Commission oversees the availability, affordability and quality of the utility services which are essential to Alaska's economic development. The Commission does this by making timely decisions that balance the competing interests of various parties fairly, while keeping red tape to a minimum. The Records & Filings Section maintains a complete record of all dockets and incoming mail. A great deal of the information referenced on this schedule is available online via the RCA homepage.

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.

Division Director Kate Giard, Chair	State Archivist <i>Ken Nail, Jr.</i>	Date <i>5-24-07</i>	Attorney General <i>Craig J. Tully</i>	Date <i>5/4/07</i>	
Signature of Division Director <i>Kate Giard</i>	Date <i>4/23/07</i>	Records Analyst <i>Christopher Hill</i>	Date <i>4-3-07</i>	Commissioner of Administration <i>Ken Winters</i>	Date <i>5/9/07</i>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 83605

Page 2

Agency ID 275

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p>Docket Files:</p> <p>This series is the official record of all proceedings of the RCA and contains filings, pleadings, orders, correspondence, and related materials. Also includes formal complaints under 3 AAC 48.130.</p> <p>Arranged by docket number.</p>	C	25	P	-	X	<p>C=Until docket is closed.</p> <p>Justification for 30-year retention: Administrative/Legal Need.</p> <p>Approximately 200 dockets are opened per year. Accrual rate varies.</p> <p>Records transferred to the state archives may be sampled unless transferring authority recommends otherwise.</p>
2	<p>Federal Dockets (FCC's):</p> <p>Refer to Item 1 for file contents.</p> <p>Arranged by docket number.</p>	2	C	-	C+6	X	<p>C=Until docket is closed. Dockets are transferred offsite after two years.</p> <p>FCC: Federal Communications Commission</p> <p>Review after 10 years.</p>
3	<p>Open Pipeline Dockets:</p> <p>Refer to Item 1 for file contents.</p> <p>Arranged by docket number.</p>	5	C	-	-	X	<p>C=Until docket is closed.</p> <p>Upon closure, the file is withdrawn from the records center and goes through a formal closing procedure. The file then becomes Item 1.</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

83605

Page 3

Agency ID

275

Retention

Disposition

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	HEARING RECORDS (Transcripts):	C	25	P	-	X	C=Until final order is entered and period of reconsideration and judicial review expire. Recordings prior to 2006 are on tape, use of CD-ROM's began in 2006. Off site recordings may include either tapes or CD-ROM's. Annual accrual rate varies.
	(Tape Recordings or CD-ROM's, With Transcript):	C	25	P	-		
	(Tape Recordings or CD-ROM's, No Transcript):	C	25	P	-		
	Transcripts for all formal hearings of docket proceedings are maintained separately. Audio-tapes or CD-ROM's are made of all public hearings, and may/may not be fully transcribed. Arranged by docket number.						
5	Docket Books (Electronic & Paper): This series consists of the log pages for each docket proceeding which records the docket number, title, beginning date, nature of the proceeding, dates of all filings and orders, and judicial cross reference to the order book. Arranged in numerical order by docket number.	P	-	-	-	X	Docket books are created annually. Used as a daily reference. Electronic versions are created in MS Word or Word Perfect. Hard copies are printed for reference. Prior to 1985 administered only on paper. The agency will ensure proper safeguards and procedures are in place to facilitate access including refreshing media and migrating information to new applications, technologies, or media.
6	RCA Orders (Original): This series consists of all original orders issued by the RCA. Orders are numbered as they relate to a particular docket and are bound in books chronologically. Copies are filed in the related docket file.	P	-	-	-	X	Bound books are used for daily reference. All draft orders, letter orders and other backup materials may be disposed after administrative need is met. Electronic version is administered in MS Word.

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

83605

Page 4

Agency ID

275

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p>Draft Orders & Draft Letter Orders:</p> <p>This series consists of draft documents which contain initialed action by the Commissioners.</p> <p>Arranged chronologically.</p>	2	23	-	25		<p>Annual accrual rate varies.</p> <p>Refer to Item 6.</p>
8	<p>COMPANY RECORDS (Company Files):</p> <p>(Company Annual Reports):</p> <p>Company files consist of general correspondence and miscellaneous reports of the regulated companies. Regulated companies are required to file an annual report on a form prescribed by the RCA.</p> <p>Arranged alphabetically by company.</p>	5 5	10 10	- P	15 -		<p>Justification for 15-year retention: Administrative/Legal Need.</p> <p>Annual accrual rate is approximately 2 cubic feet.</p>
9	<p>Reading Files (Commissioners, Executive Director, and Staff):</p> <p>Copies of outgoing letters and memoranda.</p> <p>Arranged chronologically.</p>	2	23	P	-		<p>Annual accrual rate is approximately one cubic foot.</p> <p>Include for staff when they have signature authority for Commissioners or Executive Director. Otherwise refer to the General Administrative Records Schedule 100.2 Item #71 (Reading Files).</p>

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

83605

Page 5

Agency ID

275

		Retention		Disposition			
Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
10	Public Meeting Materials:	3	3	P	-		Public meetings are held at least every two weeks.
	(Tape Recordings or CD-ROM's, With Transcript):	3	3	P	-		Recordings prior to 2006 are on tape, use of CD-ROM's began in 2006.
	(Tape Recordings or CD-ROM's, No Transcript):	3	3	P	-		Off site recordings may include either tapes or CD-ROM's.
	This series documents the public meetings held by the Commission and serves as the formal record of each meeting. No other formal minutes are kept. Audio-tapes or CD-ROM's are made of all public hearings, and may/may not be fully transcribed. Arranged chronologically.						Annual accrual rate varies.
11	Daily Mail Sheets (Electronic & Paper): Daily listing of all incoming and outgoing documents filed with or sent by the Commission. Arranged chronologically.	15	-	-	15		Administered electronically both in MS Word and Excel. 1993 and prior only administered on paper.
12	Certificates of Public Convenience and Necessity: The RCA issues certificates of public convenience and necessity (with appendices of service area) to qualified utilities and pipeline carriers. A certificate essentially acts as a license to operate and details how service providers must conduct business with consumers or shippers concerning rates. Arranged in certificate number.	-	C+10	-	C+10		C=Until name is changed, or utility is bought out by another firm or goes out of business. Original certificate is held by utility; duplicate originals are maintained by RCA. Duplicate originals are maintained in Records Center. Boxes are rotated annually. The RCA has issued approximately 538 certificates.

RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER

83605

Page 6

Agency ID

275

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
13	<p>Power Cost Equalization Files:</p> <p>This series documents Commission action regarding the Power Cost Equalization (PCE) program. The Commission is responsible for computing the power costs and resultant state assistance amounts for customers of participating electric utilities. Includes filings, correspondence and memoranda.</p> <p>Arranged alphabetically by utility.</p>	C+2	4	-	C+6		C=Until file is closed
14	<p>GENERAL ADMINISTRATIVE RECORDS:</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>Records & Filing 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>