



Department of Education and Early Development  
 Division of Libraries, Archives & Museums  
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)  
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# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 640      Schedule No: 18-640.1**

DEPARTMENT OF ENVIRONMENTAL CONSERVATION  
 DIVISION OF SPILL PREVENTION & RESPONSE  
 640 - CONTAMINATED SITES

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise indicated all filesets are nonconfidential. This schedule supersedes #183901.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

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

Division Director	Signature of Division Director		Date
	*		12/5/03
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
*	12/23/03	*	1/12/04
State Archivist	Date	Records Analyst	Date
*	1/14/04	*	12/12/03

\* Original signatures held on file.

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001.1 - Contaminated Sites Project Files (AST, LUST/UST, CS) (Originals)</b>                      Consists of correspondence, reports, analytical data, decision documents, institutional controls and cost documentation for sites in the state that have documented hazardous substance contamination. Includes correspondence, reports, capital budget information, training program materials and rosters, RSA and other administrative documents, and TAPL Rebate Share documents dealing with bulk fuel remediation.</p> <p>Original files are located in offices in Soldotna, Anchorage, Juneau, and Fairbanks with each office converting to a statewide filing system.</p> <p>Certain information is accessible via the internet and intranet.</p>	H	S+25	Y	S = After documents are scanned and verified, originals may be retained by schedule or until legal opinion supports earlier disposition (see attached email).

**You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.**

Retention Key	Format Key	Bus. Ess = Business Essential
A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives) PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office	H = Hardcopy E = Electronic D = Database M = Microform	1. Are necessary for emergency response 2. Are necessary to resume or continue operations

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001.2 - Contaminated Sites Project Files (AST, LUST/UST, CS) (Electronic)</b>                      Consists of correspondence, reports, analytical data, decision documents, institutional controls and cost documentation for sites in the state that have documented hazardous substance contamination. Includes correspondence, reports, capital budget information, training program materials and rosters, RSA and other administrative documents, and TAPL Rebate Share documents dealing with bulk fuel remediation.</p> <p>Certain information is accessible via the internet and intranet.</p>	E	C+25	Y	<p>C = Until project is completed, final site decision is made and all administrative/management need is met.</p> <p>Records are scanned into the contaminated sites database (CS) and the storage tank program (STP) database (both MS Access). Documents are retained as PDFs per CS standard operating policies and procedures. The CSRP displays over 2000 contaminated sites in Alaska. Captures information on owner/operator, site characteristics, spillage, cleanup, and cost recovery.</p> <p>Data captured in the STP relates to the UST/LUST programs and displays over 2000 facility files regarding all regulated storage tanks in Alaska. Includes information on installation, registration, fees, tank condition, age, financial responsibility, upgrade, closure, financial assistance, owner/operator, site characteristics, spillage, cleanup, and cost recovery.</p>
<p><b>002 - Regulations (UST/LUST &amp; CS)</b>                      Includes correspondence, drafts, public notices, final regulations, and updated versions from 1990 to present.</p> <p>Arranged chronologically.</p>		C		<p>C = Until obsolete, superseded or administrative/management need is met.</p> <p>Backup copies of original regulations are held in the department's paralegal office.</p>

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RRDS Continuation		Agency I.D: 640	Schedule No: 18-640.1	Page 4 of 5
Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<b>003 - Federal Grants (UST/LUST &amp; CS)</b> Includes annual grant documentation, grant applications, grant awards, correspondence, and policies for UST/LUST grants issued to the program from EPA Region 10 since 1987. Also includes lists of qualified persons, certified tank workers and inspectors, and laboratories and facility financial responsibility holders (insurance).		A		Grant documentation retained until audit has been completed and all administrative need is met. Other information is kept 10 years or until administrative need is met.
<b>004 - Storage Tank Assistance Fund (STAF)/Storage Tank Revolving Loan Fund (USTRLF) Financial Assistance Records</b> Files reside in Anchorage Office. Includes grant documentation, correspondence, and policies and procedures for grants issued to owners or operators of USTs in Alaska.  Arranged numerically by facility.		C or 10		C = Life of grant or ten years, whichever is longer.  Certain information is confidential under AS 46.03.440.  As of 6/30/04 the grants portion will be terminated.
<b>005 - Board of Storage Tank Assistance Records</b> Includes correspondence, decisions, and records of board actions and meetings since 1991. Also includes audio tapes for the meetings that were recorded. An Executive Director to the board also files administrative records with DEC under this category.  Arranged per the subject file classification system.		C		C = Until obsolete, superseded or administrative/mangement need is met.  Some duplicate board meeting reports are filed in the Juneau Contaminated Sites office.  Certain information is confidential per AS 46.03.440.
<b>006 - Site Cleanup Policy &amp; Guidance</b> Includes final documents and public notices and public comments from 1990 to present.		C		C = Until obsolete, superseded or administrative/management need is met.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>007 - SPAR/CS Term Contract Files</b>                      Include individual project files, which contain a complete accounting of projects from inception to completion; Request For Proposal (RFP), contractor response/proposal, competitive bids, record of evaluations, record of negotiation, funding request and approval, Notice To Proceed (NTP), record of invoices, record of payments made, and deliverable, i.e. report, comments, diskettes, etc.</p> <p>Includes assessment &amp; remediation term contracts which contain environmental consultant proposals, staff resumes, personnel, and equipment direct and indirect costs. Also includes general contractual correspondence, insurance coverage documentation, new staff, and hourly pay rates.</p> <p>NTPs arranged alphabetically by project name.                      Term contracts arranged alphabetically by term contractor name.</p>		C+7		<p>C = Until project is completed and final site decision is made.</p> <p>Certain personnel data is confidential under AS 39.25.080 &amp; 2 AAC 07.910(c).</p> <p>Some data is input into the CSRP.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p><b>Retention Key</b></p> <p>A = Until Audit      PO = Permanent (Retain in agency office)                      C = Cut-off event/date      S = Until Scanned                      CY = Current Year      T = Transfer                      CFY = Current Fiscal Year      TO = Term of Office                      PA = Permanent (Transfer to State Archives)</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
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**Uzzell, Wendy**

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**From:** Kay Rawlings [Kay\_Rawlings@law.state.ak.us]  
**Sent:** Tuesday, May 27, 2003 4:06 PM  
**To:** Pring-Ham, Cynthia  
**Subject:** RE: Scanning Questions

Cynthia: I've reached a dead end. No one is aware of any legal standards for scanning. Scan as you need and keep the documents in their normal retention cycle. Kay

>>> "Pring-Ham, Cynthia" <Cynthia\_Pring-Ham@dec.state.ak.us>  
5/23/03 11:05:11 AM >>>

The originals from the project files (RP, contractor and contractor submittals, and ADEC letters to RP and consultants) are stored and archived in the state archive storage locations for a certain amount of time.

Confidential information will remain unscanned in project files.

For LUST project files this is for 25 years. For CS is whenever the program is finished with them (???). The files are destroyed after this time.

We can and will update our retention schedule that has this detail on it so we may have to keep longer if you think this is necessary. As you know cleanup can and does go on for a long time.

Cynthia Pring-Ham  
Contaminated Sites Program  
410 Willoughby Ave, Ste 303  
Juneau, AK 99801-1795  
Phone: (907) 465-5301  
Fax: (907) 465-5218  
Email: Cynthia\_Pring-Ham@dec.state.ak.us  
[http://www.state.ak.us/dec/dspar/stp\\_home.htm](http://www.state.ak.us/dec/dspar/stp_home.htm)

-----Original Message-----

**From:** Kay Rawlings [mailto:Kay\_Rawlings@law.state.ak.us]  
**Sent:** Friday, May 23, 2003 10:53 AM  
**To:** Cynthia\_Pring-Ham@dec.state.ak.us  
**Subject:** Scanning Questions

I had a chance to talk to Craig and he says that it matters whether or not you plan on keeping or destroying the original documents. If you are going to keep the originals in storage somewhere then it doesn't matter how you scan them. But if it is DEC's intention to destroy documents he wants to run the question by the other environmental attorneys. As far as we know there isn't any Alaska or Federal court standard for using electronic copies of records. We have to look at the standard rules of evidence and think about how it applies to this situation. So - what documents are you scanning and what happens to the original document after you scan it? Kay

>>> "Pring-Ham, Cynthia" <Cynthia\_Pring-Ham@dec.state.ak.us>  
5/23/03 09:42:08 AM >>>

This is what a scanning contractor gave us. Apparently there is a British standard for which scanned documents need to comply. Do we have this for the USA?

"In order for a scanned image of a document being legally admissible in a court of law, it must be proved without doubt that the scanned image has not been tampered with in any way since the original moment of scanning.

Having the very latest technology where the image is captured to a device where the image cannot be amended or deleted, an audit trail is produced from the point of collection of

the original paper documents through the scanning process through to delivery back to owner.

Acceptance of the image as true and accurate by the owner must be demonstrated to the scanning bureau by means of an acceptance certificate.

When the paper documents are destroyed a certificate of destruction is issued, registered and maintained on our database.

There is a British Standard Institute guideline which scanned documents need to comply with if it is your intention to maintain legally acceptable electronic images of original documents, where the paper original is subsequently destroyed, the standard is known as DISC PD0008."

Cynthia Pring-Ham  
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[http://www.state.ak.us/dec/dspar/stp\\_home.htm](http://www.state.ak.us/dec/dspar/stp_home.htm)

-----Original Message-----

From: Kay Rawlings [[mailto:Kay\\_Rawlings@law.state.ak.us](mailto:Kay_Rawlings@law.state.ak.us)]  
Sent: Friday, May 23, 2003 9:08 AM  
To: [Cynthia\\_Pring-Ham@dec.state.ak.us](mailto:Cynthia_Pring-Ham@dec.state.ak.us)  
Subject: Re: Legal format

I'll check with Craig. Since courts differ I don't think there is an absolute standard out there. I think the courts will allow electronically stored documents but if there are any questions they'll direct you to produce the original. I'll let you know what Craig thinks. Kay

>>> "Pring-Ham, Cynthia" <[Cynthia\\_Pring-Ham@dec.state.ak.us](mailto:Cynthia_Pring-Ham@dec.state.ak.us)>  
5/23/03 09:00:25 AM >>>

Kay, I need some information on electronic documents and if the Courts would consider electronic documents legal if brought as evidence. We are embarking on scanning project and I need to know if GreyScale is the preferred "legal" type of scan rather than in black and white. Does anyone have any information on this?

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