



DEPARTMENT OF EDUCATION & EARLY DEVELOPMENT

Division of Libraries, Archives & Museums

Archives and Records Management Services

141 Willoughby Avenue

Juneau, AK 99801-1720

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STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Schedule Number: 183901

Agency Id: 640

Page 1 of 4

DEPARTMENT OF ENVIRONMENTAL CONSERVATION	A - Audit C - Active - as defined in Remarks column	P - Permanent M - After Microfilming
DIVISION OF SPILL PREVENTION & RESPONSE CONTAMINATED SITES	CY - Current Year CFY - Current Fiscal Year	Numerals - Years in Addition to Current Year TO - Term of Office

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

Unless otherwise noted, all records series are retained on a **Fiscal** year basis.

For all general administrative files, this agency will follow the retention periods listed in the *General Administrative Records Retention Schedule* Number 100; therefore, those record series have not been repeated in this schedule. Unless otherwise indicated all records series are non-confidential.

Statutory/Regulatory Authority: AS 46.03, AS 46.04, AS 46.08, AS 46.09, 18 AAC 78 & 40 CFR 280 (UST); 18 AAC 75 Articles 3 & 9 (Cleanup Regulations).

Contaminated Sites provides technical and regulatory oversight and assistance for hazardous substances contamination in Alaska. The Program is divided into three sections: Technical Services (TS), Field Operations (FO), and Department of Defense Oversight (DoD).

Included on this schedule are records from the former Storage Tank Program which was combined with the CS program in July 2001. This program provided technical and regulatory assistance on petroleum storage tanks systems in Alaska and was divided into four Sections: Underground Storage Tanks (UST), Leaking Underground Storage Tank (LUST) Field Operations, Aboveground Storage Tanks (AST) and Storage Tank Assistance Fund (STAF).

This records retention schedule supercedes #183900.

NOTE: Per 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their full 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, the records listed below are approved for retention and disposition as indicated.

Typed Name of Division Director Larry Dietrick	State Archivist <i>Ken Dailly</i>	Date 1-14-04	Attorney General <i>[Signature]</i>	Date 12/23/03
Signature of Division Director <i>Larry Dietrick</i>	Date 12/5/03	Records Analyst D. Dawson	Date 12/12/03	Commissioner of Administration <i>[Signature]</i>
				Date 11/2/04

Retention

Disposition

Agency ID: 640

Item No.	Records Series and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
1	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes general correspondence, policies/procedures, reports, publications; and the following types of files: accounting, reading, minutes/meeting, etc.</p> <p>Contaminated Sites Program 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 Administrative Records Retention Schedule may be downloaded from the Archives & Records homepage.</p>
2	<p>Contaminated Sites Project Files (AST, LUST/UST,CS)</p> <p>Original Paper</p> <p>Electronic</p> <p>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 Intranet and Internet.</p>	<p>S + 25</p> <p>C+25</p>	<p>--</p> <p>--</p>	<p>--</p> <p>--</p>	<p>S + 25</p> <p>C+25</p>	<p>X</p>	<p>S=After documents are scanned and verified originals may be retained by schedule or until legal opinion supports earlier discard. (See attached e-mail printout.)</p> <p>C=After 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 PDF's 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>

RECORDS RETENTION SCHEDULE CONTINUATION

Schedule Number **183901**

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Item No.	Records Series and Description	Retention		Disposition			Agency ID: 640
		Office	Records Center	State Archives	Destroy	Vital Record	
3	<p>Regulations (UST/LUST & CS):</p> <p>Includes correspondence, drafts, public notices, final regulations, and updated versions from 1990 to present.</p> <p>Arranged chronologically.</p>	C	--	--	C		<p>C=Until obsolete, superceded or administrative/management need is met.</p> <p>Backup copies of original regulations are held in the Department's Paralegal Office.</p>
4	<p>Federal Grants (UST/LUST & CS):</p> <p>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).</p>	A	--	--	A		<p>A=After audit.</p> <p>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.</p> <p>Refer also to the General Administrative Records Retention Schedule, Item 40 – 44, Grant Management Records.</p>
5	<p>Storage Tank Assistance Fund (STAF)/Storage Tank Revolving Loan Fund (USTRLF) Financial Assistance Records:</p> <p>Files reside in Anchorage Office. Includes grant and loan documentation, correspondence, and policies and procedures for grants and loans issued to owners or operators of UST's in Alaska.</p> <p>Arranged numerically by facility.</p>	L/10	--	--	L/10		<p>L=Life of grant or ten years, whichever is longer.</p> <p>Certain information is confidential per AS 46.03.440.</p> <p>As of 6/30/2004 the grants portion will be terminated.</p>
6	<p>Board of Storage Tank Assistance Records:</p> <p>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.</p> <p>Arranged per the Subject file classification system.</p>	C	--	--	C		<p>C=Until obsolete, superceded or administrative/management need is met.</p> <p>Current Executive Director is John Barnett. Some duplicate Board meeting reports are filed in the Juneau Contaminated Sites Office.</p> <p>Certain information is confidential per AS 46.03.440.</p>

RECORDS RETENTION SCHEDULE CONTINUATION			Schedule Number 183901				Page 4 of 4
			Retention		Disposition		Agency ID: 640
Item No.	Records Series and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
7	<p>Site Cleanup Policy & Guidance:</p> <p>Includes final documents and public notices and public comments from 1990 to present.</p>	C	--	--	C		C=Until obsolete, superceded or administrative/management need is met.
8	<p>SPAR/CS Term Contract Files:</p> <p>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. reports, comments, diskettes, etc.</p> <p>Includes Assessment & 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>NTP's arranged alphabetically by project name. Term Contracts arranged alphabetically by term contractor name.</p>	C+7	--	--	C+7		<p>C=Until project is completed and final site decision is made.</p> <p>Certain personnel data is confidential per AS 39.25.080 & 2 AAC 07.910(c).</p> <p>Some data is input into the CSRP</p>

Uzzell, Wendy

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
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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

-----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."

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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 9:08 AM
To: 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>
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?

Cynthia Pring-Ham
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