



Department of Education and Early Development
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 612 Schedule No: 04-612.2

DEPARTMENT OF REVENUE
 ALASKA HOUSING FINANCE CORPORATION (AHFC)
 612 - ADMINISTRATIVE SERVICES DEPARTMENT

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 records series are nonconfidential. This schedule supersedes #04-600.1, 04-601.1, 04-612.1 and 04-623.1.

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 Gregory Rochon	Signature of Division Director 	Date 6/5/14
Attorney General Designee Alan Birnbaum	Date 6/3/14	Commissioner of Administration/Designee FOR
State Archivist D. Dawson	Date 5/27/14	Records Analyst Stacey Therson 5-28-14

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001 - Procurement Files This series includes solicitation documentation for Request for Proposals (RFP), Request for Qualifications (RFQ), Invitations to Bid (ITB), Request for Information (RFI), Statements of Qualifications (SOQ), and sole-source information related to goods and services needed for AHFC. May include: the solicitation (including scope of work, technical specifications, drawings, etc.), addenda issued, pre-bid and pre-construction recordings, certified payroll documentation, wage determination, proofs of publication, notice to contract administrator of response to solicitation, notice of intent (NOI) to award, contract, Notice to Proceed (NTP), and other miscellaneous correspondence.</p> <p>Filed alphabetically by project.</p>	H & E	C+6	Y	C = Until terminated/closed. Pay requests, contract administration correspondence, etc. remain with Administering Department. Official Record Copy.
<p>002 - Project and Department Fixed Asset Files This series includes fixed asset information forms which reflect acquisition, transfer, and disposition information about fixed assets and documentation on disposal by auction or delivery of surplus assets to state surplus.</p> <p>Filed chronologically by asset number.</p>	E	C+2		C = Until AHFC no longer own fixed asset. Official Record Copy
<p>003 - Warehouse Orders And Transaction Reports This series includes signed Ariba purchase orders for warehouse stock orders and computer-generated reports showing inventory transactions by stock number and budget code.</p> <p>Filed chronologically.</p>	E	CFY+2		Official Record Copy.
<p>004 - Warehouse Physical Inventory Report This series includes computer-generated printouts of the annual warehouse physical inventory.</p> <p>Filed chronologically.</p>	E	CFY+2		Official Record Copy

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<p>005 - Vehicle Files This series includes titles and registrations for AHFC-owned vehicles with documentation such as insurance coverage, accident reports, damage repair, and routine maintenance performed (replace fuses, battery, oil change, flat tire repair, tire replacement, brake repair). Filed by vehicle ID number.</p>	H & E	C+3		C = Until AHFC no longer owns vehicle.
<p>006 - Electronic Courier Receipt Files This series includes courier receipts generated by employees. Filed chronologically.</p>	E	CFY+1		Documents kept for research purposes.
<p>007 - Fixed Asset Module Database Files This series includes records within Yardi relating to individual fixed assets and contains acquisition, descriptive, location, and transaction data.</p>	D	C+2		C = Until an asset is disposed. Submit work request to Information Systems (RRDS#04-644) annually to purge the database of assets which have been disposed of more than two years ago.
<p>008 - Protests/Appeals Decisions This series includes decisions made by the Chief Procurement Officer related to protests and appeals on corporate Requests for Proposals (RFP), contracts, or grants. Filed chronologically.</p>	H	C+6		C = Until decision is issued. Official Record Copy.
<p>009 - HUD Notices This series consists of incoming directives/correspondence from Housing and Urban Development (HUD).</p>	E	PO		PO = Permanent at agency level until AHFC no longer administers the program for HUD.
<p>010 - Departmental Policies/Directives This series consists of directives or policy decisions for Administrative Services departments (Risk Management, Records Center, and Sourcing & Contract Compliance).</p>	E	C+3		C = Until superseded. Official Record Copy.
<p>011 - Check Logs This series consists of a spreadsheet of checks received at the Boniface Office through the mail, by courier, or received in person. Also contains a scan of the check.</p>	E	CY+2		Agency copy; Official Record Copy is held by Accounting. Electronic Media is managed by Administrative Services for research purposes.

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<p>012- Visitor Logs This series consists of records documenting visitors' entrance into the AHFC building during and/or after office hours. Logs may require time, date, signature, reason for visit, and location or person visited</p>	E	C+3		C = Until administrative need is met. Official Record Copy
<p>013 - P-card Documents This series consists of P-card statements scanned for P-card users/department and reconciliation documentation for P-card payments</p>	H & E	A		Electronic copy will be kept until audit.
<p>014.1 - Promissory Notes (Originals) This series consists of original negotiable instruments (promissory notes) for loans purchased by AHFC. Filed numerically by AHFC loan number.</p>	H	C		C = Loan paid off or repossessed. Notes are then pulled from files and processed. Original Promissory Notes are retained in fire resistant filing cabinets in the Records Center. Official Record Copy.
<p>014.2 - Promissory Notes (Scans) This series consists of original note scans as back up for disaster recovery and departmental use. Filed numerically by AHFC loan number.</p>	E	C+7		C = When note is paid off. As original hard copy notes are pulled, the scanned copy is moved to a "paid off" folder for 7 years for department reference. Electronic scanned copies located in department shared, special access folder.
<p>015.1 - Claim/Incident Files Involving Minor Children This series includes information relating to accidents/incidents/litigation on AHFC property, in AHFC vehicles, or to AHFC personnel including defined type of claim, claimant name, date, AHFC employee list, AHFC vehicle inventory, and chronology of events. These files do not include worker's compensation claims. Filed numerically by claim number.</p>	H & E	C+2		C = Until age of majority. Records in this series will need to be reviewed. Age of majority is 18 per AS 25.20.010.

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<p>015.2 - Claim/Incident Files This series includes information relating to accidents/incidents/litigation on AHFC property, in AHFC vehicles, or to AHFC personnel including defined type of claim, claimant name, date, AHFC employee list, AHFC vehicle inventory, and chronology of events. These files do include worker's compensation claims or claim/incidents that involve a minor child.</p> <p>Filed numerically by claim number.</p>	H & E	C+7		<p>C = Date of settlement and all legal aspects resolved.</p> <p>Records in this series will need to be reviewed prior to destruction.</p>
<p>016 - Litigation Files This series documents civil actions such as personal injury, real property/personal property damage claims against AHFC.</p> <p>Filed numerically by claim number.</p>	H & E	C+6		<p>C = Date case settled and all legal remedies exhausted.</p> <p>Confidential per attorney/client privilege.</p> <p>Official Record Copy.</p>
<p>017 - Contracts, Grants, Lease and Agreement Files This series includes original documents relating to grant awards, facility leases, reimbursable service agreements (RSA), seller/servicer agreements, contractor and broker agreements, software licenses, and other contractual agreements between AHFC and other parties.</p> <p>Filed alphabetically by type of agreement and by contractor name.</p>	H & E	C+6	Y	<p>C = Until the contract, grant, lease or agreement is terminated.</p> <p>See AS 09.10.050 and AS 09.10.120.</p> <p>Official Record Copy.</p>
<p>018 - Facility Safety Files This series includes fire alarm, sprinkler system, fire department, boiler, elevator inspection reports, and related correspondence.</p> <p>Filed alphabetically by project name.</p>	H & E	C+3	Y	<p>C = Date real property disposed and AHFC no longer has a legal interest in the property.</p> <p>Official Record Copy.</p> <p>Located in public shared folder.</p>

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<p>019 - Real Property Files This series includes acquisition records, warranty deeds, title reports, tax assessments, declarations of trust, flatmaps, as-builts, easements, building plans and related correspondence.</p> <p>Filed alphabetically by project name.</p>	H	C+30	Y	<p>C = Date real property disposed and AHFC no longer has a legal interest in the property.</p> <p>AS 46.03.822 relates to strict liability for the release of hazardous substances and impacts retention requirements for documents relating to real property sales and foreclosures. Liability, current or future, pertaining to the release of hazardous substances, attached to property owners.</p> <p>Official Record Copy.</p>
<p>020 - Urban Renewal Agreements This series includes files related to rehabilitation of various urban/rural areas of Alaska, the urban renewal plan, amendments, cooperation agreements, and deeds.</p> <p>Filed numerically by project number.</p>	H & E	C+40	Y	<p>C = Completion of renewal project.</p> <p>Covenant of the Urban Renewal Plan, states that records must be held 40 years after completion of project.</p> <p>Official Record Copy.</p>

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<p>021 - Employee Exposure and Medical This series includes files concerning employee exposure to harmful substances or health hazards such as blood-borne pathogens, asbestos, etc.</p> <p>Filed alphabetically by employee name.</p>	H	C+30	Y	<p>C = Date employment terminated or date of exposure.</p> <p>Retain 30 years after termination or 40 years after date of exposure, whichever is longer per 29 CFR 1904 (Reporting of Fatality or Multiple Hospitalization Incidents) and 29 CFR 1910.1001 (Asbestos), 29 CFR 1910.1001 (Asbestos Standards) & 29 CFR 1910.1030 (Blood-borne Pathogens).</p> <p>Confidential under AS 39.25.080 Personnel Records.</p> <p>Official Record Copy.</p>
<p>022 - Health & Safety - Employee Training Records This series includes course material, attendance records, correspondence & documentation of training.</p> <p>Filed by location in date order.</p>	E	C+3		<p>C = Date individual completed training.</p> <p>AS 18.60.066 (Employee Safety Education Programs)</p> <p>29 CFR 1910.1001 (Asbestos)</p> <p>29 CFR 1910.1030 (Blood-borne Pathogens)</p> <p>29 CFR 1910.1200 (Employee Training).</p> <p>Official Record Copy.</p>

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<p>023 - Hazardous Waste Remediation Files This series includes documents relating to remediation of AHFC-owned properties affected by hazardous substances.</p> <p>Filed alphabetically by project name.</p>	E	C+30		<p>C = Date real property disposed and AHFC no longer has a legal interest in the property.</p> <p>AS 09.10.030 (Actions to Recover Real Property), AS 09.10.050 (Statute of Limitations); 24 CFR 3500 (Real Estate Settlement Procedures Act); AS 46.03.822 (Strict Liability For the Release of Hazardous Substances), 18 AAC 78.340 (Analytical Reporting Requirements)</p> <p>Official Record Copy.</p>
<p>024 - Property/Facility Inspections This series includes internal health & safety inspections.</p> <p>Filed by project name.</p>	H & D	CY+3		<p>CY = Date and year inspection completed.</p>
<p>025 - Safety Database Files This series contains information relating to employee training including employee name, course/class taken, date of participation, video library contents, employee medical records, OSHA compliance reports.</p>	D	C+30	Y	<p>C = Until employee is terminated.</p> <p>Retain 30 years after termination or 40 years after date of exposure, whichever is longer per 29 CFR 1904 (Reporting of Fatality or Multiple Hospitalization Incidents) and 29 CFR 1910.1001 (Asbestos), 29 CFR 1910.1001 (Asbestos Standards) & 29 CFR 1910.1030 (Blood-borne Pathogens).</p> <p>Confidential under AS 39.25.080 Personnel Records.</p> <p>Official Record Copy.</p>

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<p>026 - Claims Database Files This series includes information relating to accidents/incidents/litigation on AHFC property, in AHFC vehicles, or to AHFC personnel including defined type of claim, claimant name, date, AHFC employee list, AHFC vehicle inventory, and chronology of events.</p>	D	C+7	Y	C = Date of settlement and all legal aspects resolved.
<p>027 - Inspection Database Files This series includes information relating to AHFC Risk Management inspections of AHFC-owned properties to include findings or recommendations in the following categories: ADA, Blood Borne Diseases, Cash handling, Communication, Electrical Wiring, Elevators, Emergency Medical Services, Ergonomics, Evacuation Plans, Fire Protection, Fleet Maintenance, Fixed Assets, Generators/Boilers/Hot Water Heater, Hand/Portable Power Tools, Health & Safety Policy, Illuminated Emergency Exits/Lights, Ladders, MSDS, Respirators, Sanitation, Storage of Chemicals & Flammables, Ventilation, Work Areas, Workplace Violence, and other safety areas.</p>	D	CY+3		CY = Date and year inspection completed.
<p>028 - Keycard Database Files This series consists of the key control security system for various AHFC owned Properties. It is used to monitor, report and issue keycards.</p>	D	C+6 MO		C = Until employee is terminated.
<p>029 - Insurance Policies This series includes original insurance policies and endorsements (with related correspondence) such as general liability (includes auto and public officials liability), excess liability, automobile liability, public official and employee liability, mortgage bankers bond, crime/fidelity bond, boiler and machinery, property, REO/VSI, flood, cyber and workers' compensation. Filed by year of expiration.</p>	H & E	C+50	Y	C = Date policy expired. Official Record Copy.

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<p>030 - Employee Orientation Forms This series includes forms acknowledging receipt signed by AHFC employees at orientation: Vehicle Usage and Preventative Maintenance Program, Bloodborne Pathogens Exposure Control Plan, HIV/AIDS Policy, Health and Safety Policy & Procedures Manual, Driver's Records Release.</p> <p>All files kept chronologically except Drivers Record Release which is filed alphabetically.</p>	H	C+1		C = Until employee is terminated.
<p>031 - Material Safety Data Systems (MSDS) Database Files This series includes MSDS information regarding hazardous chemicals present in the workplace; labeling of containers of chemicals, and material safety data sheets received with incoming shipment of chemicals.</p>	D	C+30		C = Until the database is superseded or obsolete. See 29 CFR 1910.1200 (Hazard Communication); 29 CFR 1410.450
<p>032 - Hazard Communication & Material Safety Data Sheets This series includes information regarding hazardous chemicals present in the workplace; labeling of containers of chemicals, & material safety data sheets received with incoming shipments of chemicals.</p> <p>Filed alphabetically by location, by project.</p>	H & E	C+30		C = Until superseded or obsolete. See 29 CFR 1910.1200 (Hazard Communication); 29 CFR 1410.450 Official Record Copy.
<p>033 - Security Recordings This series consists of surveillance video and digital recordings created to monitor activities occurring both within and outside of AHFC facilities.</p>	E	C		C = Retain 30 days, then erase & reuse, provided any necessary images are saved. Official Record Copy.
<p>034 - Records Statistical Reports This series includes monthly and other statistical reports which show Records Center activities, such as monthly box or Note additions and deletions.</p> <p>Filed chronologically by category.</p>	E	C+3		C = Until obsolete or superseded. Kept in the Records Management folder, under the Monthly Report subfolder.
<p>035 - Box Deletion Sheets This series includes completed and signed box deletion forms.</p> <p>Filed chronologically.</p>	E	C+2		C = Date of completed destruction. Official Record Copy.

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<p>036 - Activity Tracking Documents This series contains signed receipts acknowledging delivery or pickup of such items as boxed material and promissory notes.</p> <p>Filed chronologically.</p>	H	C+1		<p>C = Date of signature.</p> <p>Official Record Copy.</p>
<p>037 - Record Transfer Order Forms This series includes signed Records Transfer Order forms which reflect information necessary to transfer boxed storage from AHFC departments to Records Center custodial care.</p> <p>Filed numerically by box number.</p>	H	C		<p>C = Until box disposed or permanently retrieved.</p> <p>Official Record Copy.</p>
<p>038 - Audit Reports This series includes audit reports, Records Center and off-site storage audits of boxes.</p>	H	C+2		<p>C = Date of report.</p> <p>Official Record Copy.</p>
<p>039 - Box Storage Database Files This series includes information relating to boxes tracked by the AHFC Records Center including description, accession number, destruction date, location, checkout history, etc.</p>	D	C		<p>C = Once the disposition date is reached and the material has been approved for destruction via a Certificate of Destruction (CD).</p>
<p>040 - Promissory Notes Storage Database Files This series includes information relating to Promissory notes tracked by the AHFC Records Center including location of note, checkout history, etc.</p>	D	C+7		<p>C = Loan paid off or repossessed.</p> <p>Files are electronic and stored Records Center software.</p>

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