

DEPARTMENT OF EDUCATION & EARLY DEVELOPMENT  
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 Archives & Records Management Services  
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Schedule Number: 43703  
 This record schedule supercedes # 43702  
 Agency Id: 600  
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STATE OF ALASKA  
**RECORDS RETENTION SCHEDULE**

**DEPARTMENT OF REVENUE**

**ALASKA HOUSING FINANCE CORPORATION (AHFC)**

**RISK MANAGEMENT DEPARTMENT**

A - Audit

C - Until No Longer Active

CY - Current Year

CFY - Current Fiscal Year

M - After Microfilming

Numerals - Years in Addition to Current Year

P - Permanent

TO - Term of Office

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. 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 100.3; therefore, those records series have not been repeated in this schedule.

**Statutory/Regulatory Authority:** The AHFC was created by the legislature in 1971 (AS 18.56.010-900) with administrative regulations in 15AAC 150-155.

**Definition of Terms:** An in-house central file area is maintained (known within the agency as the "Records Center"). Off-site semi-active records storage is either the records contractor in Anchorage or Juneau. The choice of off-site storage facilities is up to AHFC. The term "Archives" refers to the Alaska State Archives in Juneau which is the final repository for permanently valuable historical State records. This schedule refers to all records, regardless of media. Unless otherwise indicated all records series are nonconfidential.

**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. Duplicate electronic copies of records may be deleted as soon as administrative need is met and may not be retained longer than the approved retention period.

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

Typed Name of Division Director	State Archivist	Date	Attorney General	Date
Nola Cedergreen, Dir. Admin. Svcs.	D. Dawson	4/22/10	Craig J. Tibbitts	4/12/10
Signature of Division Director	Records Analyst	Date	Commissioner of Administration	Date
	D. Dawson	3/1/2010	Ken A. Jensen	4/21/10

RECORDS RETENTION SCHEDULE CONTINUATION		AHFC Schedule Number: 43703				Agency ID: 600	
Item No.	Records Series and Description	Retention		Disposition			
		Office	Records Center	State Archives	Destroy	Business Essential Record	Remarks
.01	<b>General Administrative Correspondence</b> Series is hardcopy and includes copies of incoming and outgoing departmental correspondence. Filed in chronological order.	1	2	-	3		Correspondence maintained in electronic format must meet same retention requirements as hardcopy documents.  Refer also to the GRS, Item 62, General Correspondence Files.
.02	<b>Claim/Incident Files Involving Minor Children</b> Series is hardcopy and electronic and includes accident/incident reports and/or claims for personal injury/property damage/loss relating to housing projects, REO properties, vehicles, etc. Files are <u>not</u> worker's compensation claims. Filed numerically by claim number.	C	2	-	C+2		C= Age of Majority Files must be kept at least until minor is two years past their 18 <sup>th</sup> birthday. Boxes archived under this schedule number will need to be reviewed to ensure each file can be destroyed.  See also .03 and .17
.03	<b>Claim/Incident Files</b> Series is hardcopy and electronic and includes accident/incident reports and/or claims for personal injury/property damage/loss relating to housing projects, REO properties, vehicles, etc. Files are <u>not</u> worker's compensation claims. Claim/incident does not involve a minor child (filed under separate retention). Filed numerically by claim number.	C+1	6	-	C+7	X	C = Date of settlement and all legal aspects resolved.  Refer also to the GRS, Items 53 Automotive Management (Major) and 85 Incident & Unusual Occurrence Reports.  See also .02 & .17  <b>Electronic Files:</b> located on Server Harding under Risk.

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.04	<b>Workers' Compensation Files</b> Series is hardcopy and includes claims related to on-the-job injury or illness to AHFC employees and the OSHA log and summary. Filed numerically by claim number.	C+1	6	-	C+7		C = Date claim closed Copy of Record 29 CFR 1904.2, 1904.4 , 1904.5 & 1952.4 (Recording and Reporting Occupational Injuries and Illness) Copy of Record Refer also to the GRS, Item 107A, Employee Medical Records – Report of Occupational Injury or Illness.
.05	<b>Litigation Files</b> Series is hardcopy and electronic and documents civil actions such as personal injury, real property/personal property damage claims against AHFC. Filed numerically by claim number.	C+1	5	-	C+6	X	C = Date case settled and all legal remedies exhausted Confidential per attorney/client privilege Copy of Record <b>Electronic Files:</b> located on Server Harding under Risk.
.06	<b>Contracts, Grants, Lease and Agreement Files</b> Series is hardcopy and includes original documents relating to grant awards, facility leases, Reimbursable Service Agreements (RSA), Seller/Service Agreements, contractor and broker agreements, Software licenses, and other contractual agreements between AHFC and other parties. Filed alphabetically by type of agreement.	C+1	5	-	C+6	X	C = Date contract, grant, lease or agreement terminated AS 09.10.050 Statute of Limitations Copy of Record Refer also to the GRS, Item 50, Procurement Files & Item, 51, Lease Administration Files. AHFC must keep contracts for a 6 year period as per the AG's recommendation/direction. (AS 09.10.120)

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.07	<p><b>Vehicle Files</b> Series is hardcopy and includes titles and registrations for AHFC –owned vehicles with documentation such as insurance coverage, accident reports, and damage repair. Filed by vehicle ID number.</p>	C+1	2	-	C+3	X	<p>C = AHFC owned</p> <p>Refer also to the GRS, Item 53, Automotive Management (Major Records).</p>
.08	<p><b>Facility Safety Files</b> Series is hardcopy and includes fire alarm, sprinkler system, fire department, boiler, elevator inspection reports, and related correspondence. Filed alphabetically by location.</p>	C+1	2	-	C+3	X	<p>C = Date real property disposed and AHFC no longer has a legal interest in the property</p> <p>Copy of Record</p> <p>Refer also to the GRS, Item 86, Inspection Records.</p> <p>See also category .15 and .18</p> <p><b>Electronic Files:</b> located on Server Harding under Risk and \\ahfc\DFS\Administrative_Services \Risk</p>

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.09	<p><b>Real Property Files</b> Series is hardcopy and electronic and includes acquisition records, warranty deeds, title reports, tax assessments, declarations of trust, flatmaps, as-builts, easements, building plans and related correspondence. Filed alphabetically by location.</p>	C+1	29	-	C+30	X	<p>C = AHFC owned 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. Copy of Record <b>Electronic Files:</b> located at \\ahfc\DFS\Administrative Services\Risk\Real Estate Refer also to the GRS, Item 56, Property (Land &amp; Buildings).</p>
.10	<p><b>Urban Renewal Agreements</b> Series is hardcopy and electronic and includes files related to rehabilitation of various urban/rural areas of Alaska, the urban renewal plan, amendments, cooperation agreements, and deeds. Filed numerically by project number.</p>	C+1	39	-	C+40	X	<p>C = Completion of Renewal Project Covenant of the Urban Renewal Plan, states 40 years after completion of project Recommend microfilming. Copy of Record. <b>Electronic Files:</b> located at \\ahfc\DFS\Administrative Services\Risk\Real Estate\Urban Renewal</p>

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.11	<b>Employee Exposure and Medical Records</b> Series is hardcopy and includes files concerning employee exposure to harmful substances or health hazards such as blood-borne pathogens, asbestos, etc. Filed alphabetically by name.	C+1	29	-	C+30	X	C = Date employment terminated or date of exposure 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) AS 39.25.080 Personnel Records Confidential Recommend microfilming Copy of Record Refer also to the GRS, Item 107A Employee Medical Records – Report of Occupational Injury or Illness. See also categories .13 & .16
.12	<b>Hazard Communication/Material Safety Data Sheets</b> Series is hardcopy and electronic and includes lists of hazardous chemicals present in the workplace; labeling of containers of chemicals, & material safety data sheets received with incoming shipments of chemicals. Filed alphabetically by location, by project.	C+1	29	-	C+30		C = Superseded 29 CFR 1910.1200 (Hazard Communication); 29 CFR 1410.450 Copy of Record <b>Electronic Files:</b> located on Server McArthur under MSDS, or HTTP://mcarthur:8080/  Refer also to the GRS, Item 106, Hazard Communication & Material Safety Data Sheets.

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.13	<b>Health &amp; Safety – Employee Training Records</b> Series is hardcopy and electronic and includes course material, attendance records, correspondence & documentation of training. Filed by location in date order.	C+1	2	-	C+3		<p>C = Date individual participated in 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>Copy of Record</p> <p><b>Electronic Files:</b> Located on Server Harding under Risk.</p> <p>Refer also to the GRS, Item 105, Employee Training Records-Haz/Toxic Substances &amp; Blood-Borne Pathogens.</p> <p>See also categories .11 &amp; .16</p>

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.14	<p><b>Hazardous Waste Remediation Files</b> Series is hardcopy and includes documents relating to remediation of AHFC-owned properties affected by hazardous substances. Filed alphabetically by location.</p>	C+1	29	-	C+30		<p>C=Date real property disposed and AHFC no longer has a legal interest in the property. 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>Recommend microfilming.</p> <p>Copy of Record.</p>
.15	<p><b>Property/Facility Inspections</b> Series is hardcopy and electronic and includes internal health &amp; safety inspections. Filed by location.</p>	C+1	2	-	C+3		<p>C=Current year.</p> <p><b>Electronic Files:</b> Located on Server Harding under Risk.</p> <p>Refer also to the GRS, Item 86, Inspection Records.</p> <p>See also category .08 and .18</p>

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.16	<p><b>Safety Database Files</b></p> <p>Series is electronic only containing information relating to employee training including employee name, course/class taken, date of participation, video library contents, employee medical records, OSHA compliance reports.</p>	C+1	29	-	C+30	X	<p>C= Date employment terminated. Refer also to the GRS, Item 105, Employee Training Records-Haz/Toxic Substances &amp; Blood Borne Pathogens &amp; Item 107, Employee Medical Records. See also categories .11 &amp; .13</p> <p><b>Electronic Files:</b> Stored on the Server Harding under Risk.</p>
.17	<p><b>Claims Database Files</b></p> <p>Series is electronic only and 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>	C+1	6	-	C+7	X	<p>C= Date of settlement and all legal aspects resolved.</p> <p><b>Electronic Files:</b> Stored on the Server Harding under Risk</p> <p>Refer also to the GRS, Item 53, Automotive Management (Major) and Item 85, Incident and Unusual Occurrence Reports.</p> <p>See also .02 and.03</p>

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.18	<p><b>Inspection Database Files</b> Series is electronic only and 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 &amp; Safety Policy, Illuminated Emergency Exits/Lights, Ladders, MSDS, Respirators, Sanitation, Storage of Chemicals &amp; Flammables, Ventilation, Work Areas, Workplace Violence, and other safety areas.</p>	C+1	2	-	C+3		<p>C= Current year.</p> <p>Refer also to the GRS, Item 86, Inspection Records.</p> <p><b>Electronic Files:</b> Located on Server Harding Under Risk.</p> <p>See also .08 and .15</p>
.19	<p><b>Key &amp; Badge Issuance Records - Electronic</b> Series is electronic only and consists of the key control system for keycards and/or security or identification badges issued by employees of the Risk Management Department.</p>	C	-	-	C		<p>C=Until employee is terminated and permission obtained from Human Resources.</p> <p><b>Electronic Record:</b> located on Server WhiskeyHill</p> <p>Refer also to the GRS, Item 87, Key &amp; Badge Issuance Records.</p> <p>See also .20</p>

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.20	<b>Key &amp; Badge Issuance Records - Hardcopy</b> Series is hardcopy reports of keycard activity, system overrides.	C+2	-	-	C+2		C=Current Year  See also .19
.21	<b>Insurance Policies</b> Series is hardcopy and electronic and includes original insurance policies and endorsements (with related correspondence) such as general liability, automobile, property, REO/VSI, and workers' compensation. Filed by year of expiration.	C+1	49	-	C+50	X	C = Date policy expired Copy of Record  <b>Electronic Files:</b> located at \\ahfc\DFS\Administrative Services\Risk\Insurance Policies
.22	<b>Employee Orientation Forms</b> Series is hardcopy 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.	C+1	-	-	C+1		C=Employee Terminated.

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.23	<p><b>Risk Management Department Shared Folder (Private, Risk Management only)</b> Series consists of electronic copies of forms, spreadsheets, documents, etc. that departmental personnel use on a daily basis.</p>	C	-	-	C		<p>C=Until information is obsolete, superceded or administrative need met.</p> <p><b>Electronic Record:</b> located at \\ahfc\DFS\Administrative Servies\Risk</p> <p>Private: Only the Risk Management Department.</p>
.24	<p><b>Risk Management Department Shared Public Files</b> Series consists of electronic files (.HTM, .JPG, .PDF, etc.) located on the intranet under Public File System.</p>	C	-	-	C		<p>C=Until form, spreadsheet or document obsolete, superceded or administrative need met.</p> <p><b>Electronic Record:</b> located at \\ahfc\DFS\Public\Administrative Servies\Risk</p>
.25	<p><b>Intranet Files</b> Series consists of electronic files (.HTM, .JPG, .PDF, etc.) located on the Portage server, under departments, Risk Management. Files are informational in nature and contain policies and procedures for dealing with the Risk Management department.</p>	C	-	-	C		<p>C=Until form, spreadsheet or document obsolete, superceded or administrative need met.</p> <p><b>Electronic Record:</b> located at <a href="http://athome/rsk/index.htm">http://athome/rsk/index.htm</a></p>