



# POLICIES AND PROCEDURES MANUAL

**Department of Education &  
Early Development**

DIVISION OF LIBRARIES, ARCHIVES & MUSEUM  
ALASKA STATE ARCHIVES

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## **RECORDS MANAGEMENT BASICS**

### **Introduction**

Welcome to the Records and Information Management Service (RIMS) *Policies and Procedures Manual* for the State of Alaska (SOA).

This manual outlines the mission of RIMS, the scope of the service it provides, general information relating to all aspects of records and information management in the SOA and contains procedures for all state employees and Records Officers.

Please see the [RIMS Homepage](#) for the [RIMS Policies and Procedures Manual](#).

## **Mission Statement**

Our mission is to provide leadership and guidance relating to records and information management for the State of Alaska.

RIMS achieves this by:

- Maintaining records retention and disposition schedules
- Facilitating secure, cost-effective storage for inactive records
- Facilitating the disposal of records in a timely fashion
- Identifying essential records
- Providing guidance on all aspects of records and information management

## Records and Information Management Policy

### Purpose

The purpose of this policy is to establish state-wide principles, accountabilities and obligations relating to records and information management. This will ensure that records are managed in a way that supports the efficient and effective functioning of the SOA.

### Scope of the Policy

This policy covers all records created and received by the SOA. Its provisions extend to all staff conducting business on behalf of the state.

### Definitions

**AS 40.21.150(6)** defines *Record* to mean AS 40.21.150(6) defines *Record* to mean "any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them."

**AS 40.21.150(8)** "state record" means a record of a department, office, commission, board, public corporation, or other agency of the state government, including a record of the legislature or a court and any other record *designated or treated as a public record under state law*.

**AS 40.25.220(3)** defines *Public Record* to mean "books, papers, files, accounts, writings, including drafts and memorializations of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a private contractor for a public agency, and that are preserved for their information value or as evidence of the organization or operation of the public agency: public records does not include proprietary software programs."

### Authority

AS 40.21 (Management and Preservation of Public Records)

4 AAC 59 (Archives and Records Management Service)

## Ownership

Per AS 40.21.100, records of existing or defunct agencies of the state, territorial, and Russian governments in Alaska are the property of the state and shall be created, maintained, preserved, stored, transferred, destroyed or disposed of, and otherwise managed in accordance with the provisions of this chapter. Records shall be delivered by outgoing officials and employees to their successors.

## Policy

This policy further develops other specific requirements that all SOA records are subject to. In particular this policy aims to ensure that all records created and held by the SOA are authentic, secure, accessible and useable. This is regardless of their format.

- Records must be retained and disposed according to either a specific agency records retention and disposition schedule (RRDS), the *General Administrative Records Retention and Disposition Schedule (GARRDS)* or the Commissioner General Administrative Records Retention and Disposition Schedule. Model records retention and disposition schedules have been created for use by Alaska school districts and local governments.
- Records that are of important historical and research significance must be identified and kept to maintain the corporate memory.
- Departments must ensure that essential records are managed so that if a disaster occurs, the records essential to its being able to function are safe, accessible and useable.
- Records must be disposed in an appropriate manner. All sensitive or confidential records should be securely disposed of and should not be disposed of in normal bins. A list of currently approved vendors for this purpose can be found on page 18 and on RIMS homepage.

## Accountabilities

- The Commissioner of Education and Early Development who is ultimately accountability for the provision of RIMS is supported in this function by the State Records Manager who, under supervision of the State Archivist, will ensure the effective day-to-day management of RIMS.
- The Chief Executive Officer of each state agency has the responsibility to ensure their agency observes all requirements under AS 40.21.
- Records Officers are accountable for ensuring that established state policy and procedures relating to records and information management are being followed throughout their jurisdiction.
- All SOA employees have the responsibility to ensure that the records they create and receive are managed in accordance with this policy, all guidance and procedures as prescribed by RIMS and in compliance with federal and state statute and regulations.

## Essential Records

Essential records, sometimes called vital records:

1. Are necessary for emergency response.
2. Are necessary for the continuity and or resumption of operations.
3. Protect the health, safety, property, and rights of residents.
4. Would require massive resources to reconstruct.
5. Document the history of communities or families.

Essential records, regardless of format or archival value, are necessary for the daily functions of government during and after an emergency. Business continuity, disaster preparedness, and Continuity of Operations Plans (COOP) depend on identifying essential functions and records in order to restore the key functions of these organizations.

## Records Retention and Disposition Schedules

It is important that all records are kept for the correct prescribed period of time. Records shall only be kept for the times as prescribed within approved RRDS unless they are needed as part of anticipated or ongoing litigation, audit or legal regulations that requires a longer retention period.

In the GARRDS, the ownership of the *official record copy* of records series will be established to avoid duplication of holdings across departments and agencies. Only the identified *official record copy* will be retained to comply with federal or state requirements or for permanent historical and research value. Duplicate copies should be disposed of once the administrative need for retaining them has been met (please consult the GARRDS for the exact retention period of duplicate copies of records).

Records Retention and Disposition Schedules can be found on the [RIMS Homepage](#) under the section titled "Records Retention and Disposition Schedules."



## Scope of Service

RIMS provides services to:

### State Agencies

Assist with all aspects of records and information management including, but not limited to; records retention and disposition schedule development, off-site storage for inactive records, disposal of records according to an agency RRDS, the GARRDS or the Commissioner General RRDS, file system creation and/or analysis, protection of essential records, disaster recovery, ensuring that records are kept in the most effective media/format, and providing regular training on records and information management.

### Municipalities & School Districts

Provide consultative services upon request and as funds are available. Provide training, resources and other materials as appropriate. The municipality/school district shall be responsible for all travel, lodging and per diem expenses but no consultation charge shall be levied by RIMS.

### Private Sector

Provide resources to which businesses and individuals can go for expert records management guidance. Refer only under AS 40.21 as RIMS does not assist non-governmental entities, unless the requestor is a cultural or historical entity where it might be of public relations value to assist in some manner.

## **Goals and Objectives**

RIMS will:

- Lead and guide the SOA in matters relating to records and information management to fulfill the mission of the service and to help ensure compliance across the state for all relevant statutes and regulations.
- Promote records and information management policies, procedures, rules and regulations to all departments through regular training sessions and consultation.
- Provide optimal, efficient and secure off-site storage for inactive records through the use of authorized records centers. Please refer to the relevant section in this manual or RIMS homepage for a list of currently approved records centers.
- Provide records and information management assistance to local governments and Alaska school districts, upon request.
- Encourage and allocate resources for professional development and training opportunities for RIMS staff.
- Review and update records retention and disposition schedules as soon as practical.
- Promote best industry practice for the management of all records regardless of their format.

## **Service Standards**

RIMS will:

- Respond to inquiries received within 2 business days. If the inquiry cannot be completed within 2 business days then RIMS will provide an estimated time for when the request can be completed.
- Approve *Records Transfer List* (RTL) within 2 business days (subject to correct information having been received). RTLs transferring microforms will be approved within one week (subject to correct information having been received).
- Approve and send for additional signature approval, Records Disposition Authorizations (RDAs) within one week (subject to correct information having been received).
- Issue *Records Disposition Notices* (RDNs) generated by vendor reports to departments annually.
- Publish records retention and disposition schedules online within one week of final approval.
- Provide training on demand and annually in person or via webinar.
- Serve client agencies in a professional manner.

## Records Retention and Disposition Schedules (RRDS)

Records Retention and Disposition Schedules can be found on the [RIMS Homepage](#) under the section titled "Records Retention and Disposition Schedules."

### What are Records Retention and Disposition Schedules?

Records Retention and Disposition Schedules:

- Identify common records series across the SOA
- Identify all agency specific records series
- Establish office retention policies
- Comply with legal and fiscal retention requirements
- Document confidentiality restrictions
- Fulfill operational retention requirements
- Authorize state employees to dispose of records
- Authorize state employees to send records to the Alaska State Archives

### General Records Retention and Disposition Schedules

The SOA has two general records retention schedules: the *General Administrative Records Retention and Disposition Schedule (GARRDS)* and the *Commissioner General Administrative Records Retention and Disposition Schedule*.

The *GARRDS* lists common records series found in most offices (e.g., contracts, general correspondence, meeting minutes etc.), and states the length of time that records are retained for. It specifies who retains the *official record copy*.

### Commissioner General Records Retention and Disposition Schedule

The *Commissioner General Administrative Records Retention and Disposition Schedule* is similar to the *GARRDS* but is only used by Commissioner's offices. Typically the retention periods are longer due to the records being generated and maintained at the Commissioner level.

## **Agency Records Retention and Disposition Schedules**

An agency RRDS is a concise, official guide for the management of agency specific records series and provides for the prompt and orderly disposition of records no longer possessing administrative, legal or financial value; and, identifies records that have permanent historical and research value. It lists those unique records created and maintained by the agency in the conduct of the substantive functions for which it is responsible. RIMS staff assist agencies in developing agency schedules.

All schedules are approved and authorized by the relevant Division Director, Attorney General, Commissioner of the Department of Administration, State Records Manager, and the State Archivist. A designee may be used for any of these positions as long as proper delegation of authority has been arranged. Approved schedules allow an agency to legally dispose of inactive state records.

## **Using Records Retention and Disposition Schedules**

- Become familiar with the records series, descriptions and associated retention periods. Know when records are eligible for destruction or transfer to a records center or to the Alaska State Archives.
- Know the current audit and litigation situation in your agency. Do not dispose of records that may be needed for litigation, audit, or investigation.
- Set aside a specific time each year to dispose of or transfer records. The most common times are at the end of the fiscal or calendar year.
- Hold purging to a minimum. A document-by-document review of each file is costly and inefficient. If the agency has established a regular procedure for separation of file contents, such as keeping the transitory documents or working papers on one side of the folder, purging before transfer may be more practical.
- Establish a cut-off date for subject files, such as the end of a calendar or fiscal year. While the subjects themselves may be of continuing interest to the agency, the contents of the folders may not. Reference to materials that are over five years old is rare. Agencies should periodically begin a new set of subject folders so that the older folders may be destroyed or transferred to a records center.

## Forms

There are a number of standard forms that need to be used in order to undertake procedures identified in this manual. Forms for these processes may include:

- Records Transfer List (RTL) for transferring inactive records to a records center,
- Transmittal Receipt for transferring records to the Alaska State Archives,
- Records Disposition Authorization (RDA) for destroying records not identified on a records retention and disposition schedule,
- Records Access Authorization for accessing records held in a records center,
- Microform Duplication Request for duplicating of microform, and
- Long-Term Email Folder(s) Request.

**Current versions of all standard RIMS forms and associated instructions can be found on the [RIMS homepage](#) in the *Forms* section.**

## **Active and Inactive Records Storage**

It is important to ensure that records are kept in adequate storage locations. All records, regardless of their format need to be filed in the same system or file plan and retained for the retention period prescribed in either a general or agency RRDS.

### **Active Records Storage**

It is important to make sure that the records that you hold in your office are managed in an efficient and effective manner in accordance with all legal requirements, aiding in retrieval of information and ensuring that information essential to the running of your agency, is secure.

If you are running out of space within your office, you may send records to a records center. It is highly recommended that you do not transfer active records to a records center as continual access will lead to high costs and access will be more limited than if you retained them in your agency office.

Please see our Guidance on [Filing and Storing Records](#) for more details.

### **Inactive Records Storage**

Storage space for inactive records is provided through contracted records centers in Anchorage and Juneau. Agencies using these facilities are billed for the services that they use, e.g., transferring boxes to storage, file/box retrievals, pickups/deliveries, re-files and destruction services.

## State-Approved Records Centers

There are three state-approved records centers:

### Juneau

AAA Archives & Records Storage  
5350 Shaune Dr., Juneau, AK 99801  
Point of Contact: Rey Delacruz  
Tel: (907) 780-7829  
Fax: (907) 780-4521  
Email: [Reynier@aaa-moving.com](mailto:Reynier@aaa-moving.com)

**For microform only:**  
State of Alaska  
Records and Information Management  
PO Box 110571, Juneau, AK 99811-0571  
Tel: (907) 465-2276  
Fax: (907) 465-2151

### Anchorage

Alaska Archives  
1300 West 56<sup>th</sup> Avenue, Unit 14, Anchorage, AK 99518  
*Point of Contact:* Dedra Smith  
Tel: (907) 563-8349  
Fax: (907) 563-7012  
Email: [alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)

**Vendor contracts** for the state-approved records center are available online for review (note: after clicking on the [Vendor contract](#) link, refer to *SECTION XI-SERVICE CONTRACTS*).

### Records Center Services

Both AAA Archives and Alaska Archives provide the following:

- Standard one cubic foot records storage boxes and bar-coded box labels
- Box/file pickup, delivery, retrieval and re-filing
- Computerized inventory/index of client holdings
- Certified destruction of records
- Transfer of boxes to the Alaska State Archives



## Confidential Shredding Contractors

### Juneau

REACH, Inc.  
213 Third St., Juneau, AK 99801  
Point of Contact: Jason Champaco  
Tel: (907) 796-3100  
Fax: (907) 796-3101  
Email: [jchampaco@reachak.org](mailto:jchampaco@reachak.org)

AAA Archives & Records Storage  
5350 Shaune Dr., Juneau, AK 99801  
Point of Contact: Rey Delacruz  
Tel: (907) 780-7829  
Fax: (907) 780-4521  
Email: [reynier@aaa-moving.com](mailto:reynier@aaa-moving.com)

### Anchorage

Alaska Archives  
801 East 82<sup>nd</sup> Avenue, Suite B-1  
Anchorage, AK 99518  
*Point of Contact:* Dedra Smith  
Tel: (907) 563-8349  
Fax: (907) 563-7012  
Email: [alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)

Vendor contracts for the state-approved shredding contractors are available online for review (note: after clicking on the Vendor contract link, refer to *SECTION XI-SERVICE CONTRACTS*).

## **Records Officers**

The chief executive officer of each state agency shall "appoint a records officer who shall act as a liaison between the department and the agency on all matters relating to the records management program" as per AS 40.21.060(9).

The position of Records Officer is also mentioned in 4 AAC 59.010. It states that a records officer of a state agency appointed under AS 40.21.060(9) shall:

1. attend education and training courses offered by the Alaska State Archives and/or Records and Information Management Service (RIMS);
2. adhere to records management statutes and regulations and internal procedures established by the State Archivist;
3. after approval by the State Archivist, prepare for issuance by the state agency directives to establish objectives, responsibilities, and authorities for management of agency records
4. guide and monitor agency officers and employees in the application of records management practices for the economical and efficient creation, maintenance, use, and disposition of agency records; and
5. coordinate agency-wide activities to ensure compliance with AS 40.21, other state law, or this chapter for:
  - a. adequacy of documentation;
  - b. the creation, maintenance, and use of active records;
  - c. preparation of records retention and disposition schedules;
  - d. storage of inactive records;
  - e. identification and protection of essential records;
  - f. protection of records designated as archival;
  - g. transfer of archival records to the Alaska State Archives;
  - h. micro-reproduction of records; and
  - i. use of electronic records storage and retrieval systems and materials.

### **Current Agency Records Officers List**

## Guidance

RIMS has made a number of guidance documents available online. These are intended to be quick guides, which will add to the understanding of the topics for all staff across the state and improve the management of records and information.

RIMS guidance is available on, but not limited to:

- [Guidelines for Digitizing or Microfilming Records](#)
- [Tips for Good Recordkeeping](#)
- [How to use Records Retention and Disposition Schedules \(RRDS\)](#)
- [Records and Information Management Guides for New Employees](#)
- [Records and Information Management Guide for Departing Employees](#)
- [Agencies Being Reorganized or Terminated](#)
- [Quick Guide to Best Records Format](#)
- [Guidelines for Writing Email](#)
- [Naming Convention for Digital Documents](#)
- [Filing and Storing Records](#)

RIMS will continue to add guidance on important issues relating to records and information management as appropriate.

## **Electronic Records**

From email correspondence to complex geospatial databases and vital statistics, electronic records are rapidly replacing paper in state government business. Furthermore, the volume and complexity of these electronic records and information continues to increase. As such, state agencies, employees, and contractors must prioritize records management, digital preservation, and continued accessibility. Below are a few points to consider when developing a plan to manage your electronic records:

### **Take Immediate Action**

Electronic records require immediate attention to ensure they are preserved and accessible. Do not wait until your software is being replaced or a project is ending to think about how your records are going to be preserved.

### **Apply Rules**

Naming conventions, hierarchical file organizations, version control, and disposition strategies will help you now and in the long term. Ensure all state employees and contractors know and follow these rules.

### **Backup Records**

Backups serve to guarantee short-term continuity of operations, capturing a snapshot of electronic records at a certain moment in time and allowing for quick restoration after data loss, system crashes, or natural disasters.

## **Records and Information Management Training**

To fulfill its mission, RIMS provides training available to all employees across the SOA in person and/or by webinar.

Training topics covered may include:

- Introduction to the Records and Information Management Service
- Records and Information Management Terminology
- How to Manage Records
- Records Transfer Lists
- Records Disposition
- Filing and Storing Records
- Records Retention and Disposition Schedules
- Email Management
- State Email Policy

This training can be customized and provided on demand. Please contact us at [rims@alaska.gov](mailto:rims@alaska.gov).

## **Alaska State Archives**

The Alaska State Archives maintains historical records originally created or maintained by an Alaska territorial or state agency. Records eligible for permanent preservation in the archives are documented on the retention schedule; the schedule may also identify those records created or administered by the agency that have potential historical value. When records are transferred to the Alaska State Archives, the creating agency not only transfers physical custody, but also transfers legal ownership to the archives.

Archives staff assist walk-in patrons to locate records series that are applicable to their research questions and pull the appropriate boxes. Archival records cannot be removed from the archives, even by the originating agency, but copy services are available. This policy protects the records from loss, physical damage, and helps ensure their chain of custody as evidence.

Both state agency personnel and the general public use the holdings of the Alaska State Archives. The archives arrange state government records by agency of origin, not by subject or topic. The archives reference staff assist patrons in determining the nature of their research and suggest appropriate record groups and series for review. Contact the reference desk, [archives@alaska.gov](mailto:archives@alaska.gov) or 465-2270 for information.

The Alaska State Archives provides a photocopier, microfilm reader/printers and microfilm/microfiche duplication and digitization services and scanners. Copies of documents, including certification, may be made according to the fee schedule.

## **AGENCY PROCEDURES**

The following section contains the procedures that all general staff must follow when undertaking the following tasks:

1. Transferring records to a records center;
2. Transferring records to the Alaska State Archives;
3. Destroying records identified on a records retention and disposition schedule;
4. Destroying records not identified on a records retention and disposition schedule; and
5. Accessing records stored in a records center.

## Transferring Records to a Records Center

**The following steps are for the person responsible for completing the Records Transfer List (RTL) form and preparing the boxes for transfer.**

1. If necessary, purchase standard boxes and order barcodes from the relevant records center to hold the records that will be transferred. Refer to section 10 for the contact details of the records centers.
  - a. Plan on two boxes per filing cabinet drawer
  - b. Maintain files in the same drawer order e.g. alpha, numeric etc....
  - c. Remove all "Pendaflex" or hanging files
  - d. Place 3-ring binders flat in the box or remove materials and place in manila folders
  - e. Leave at least 1" of space in the box to facilitate file pulls
  - f. Leave additional space in boxes if files will be added later and use OUT cards
2. Place one barcode on each box. This number corresponds to column 18 on the Records Transfer List (RTL).
3. Complete a Records Transfer List (RTL). The RTL form and instructions can be found on the [RIMS homepage](#) under "Forms" and will provide guidance on how to complete the RTL form. If you have questions, please contact us at [rims@alaska.gov](mailto:rims@alaska.gov) or consult your agency's [Records Officer](#) for assistance.
4. Send the completed RTL to your [Records Officer](#) for review and approval.

**The following steps are for Records Officer only.**

5. Review the RTL to ensure all the details are correct. If not, please confirm with the contact person and ensure all necessary corrections are made before you approve it.
6. Once you have approved the RTL, please email it to [rims@alaska.gov](mailto:rims@alaska.gov) for a RIMS staff member to process. The RTL will be assigned to a RIMS staff member who will process your RTL and/or will contact you if updates or corrections are needed.

Note: RIMS approved RTL will be sent to the Records Officer, agency contact person and the appropriate records center.

**The following step is for the contact person stated on the RTL form.**

7. Schedule the transfer after approval has been received by contacting the records center for box pickup or arrange with department mailroom staff to deliver boxes to the records center.



## Transferring Microform to a Records Center

**The following steps are for the person responsible for completing the Records Transfer List (RTL) form and preparing the boxes for transfer.**

1. If necessary, purchase standard boxes and order barcodes from the relevant records center to hold the records that will be transferred. Contact details of the records centers can be found earlier in this manual or on RIMS homepage.
2. Place one barcode on each box. This number corresponds to column 18 on the Records Transfer List (RTL).
3. Label each reel/fiche with your agency reel number. This number corresponds to column 17 on the RTL.
4. Complete a Records Transfer List (RTL). The RTL form and instructions can be found on [RIMS homepage](#) under "Forms" and will provide guidance on how to complete the RTL form. If you have questions, please contact us at [rims@alaska.gov](mailto:rims@alaska.gov) or consult your agency's [Records Officer](#) for assistance.
5. Send the completed RTL to your [Records Officer](#) for review and approval.

**The following steps are for the Records Officer only.**

6. Review the RTL to ensure all the details are correct. If not, please confirm with the contact person and ensure all necessary corrections are made before you approve it.
7. Once you have approved the RTL, please email it to [rims@alaska.gov](mailto:rims@alaska.gov) for a RIMS staff member to process. The RTL will be assigned to a RIMS staff member who will process your RTL and/or will contact you if updates or corrections are needed.

Note: RIMS approved RTL will be sent to the Records Officer, agency contact person and the appropriate records center.

**The following step is for the contact person stated on the RTL form.**

Schedule the transfer after approval has been received by contacting the records center for box pickup or arrange with agency staff to deliver boxes to the records center.

## Transferring Microform to Records and Information Management Service

**The following steps are for the person responsible for complete the Records Transfer List (RTL) form and preparing the microform for transfer.**

1. Label each reel/fiche with your agency reel number. This number corresponds to column 17 on the RTL.

Note: Do not complete column 18 on the RTL – this will be done by RIMS staff when they receive the microform.

2. Complete a Records Transfer List (RTL). The RTL form and instructions can be found on [RIMS homepage](#) under "Forms" and will provide guidance on how to complete the RTL form. If you have questions, please contact us at [rims@alaska.gov](mailto:rims@alaska.gov) or consult your agency's [Records Officer](#) for assistance.
3. Prior to mailing box(es) of microform to RIMS, send an electronic version of the RTL to [rims@alaska.gov](mailto:rims@alaska.gov) to alert RIMS that you are sending box(es) of microform. RIMS staff member will process your RTL and/or will contact you when the box(es) arrive and if updates or corrections are needed.
4. Send the box(es) of microform with a hard copy of the RTL to RIMS at our address:

State of Alaska  
Records and Information Management Service (RIMS)  
PO Box 110571  
Juneau, AK 99811-0571

Note: RIMS staff will email the approved RTL to the agency contact person and Records Officer after the box(es) are received and the RTL processed.

## **Transferring Records to the Alaska State Archives**

**The following steps are for the person responsible for completing the *Transmittal Receipt* form and preparing the boxes for transfer.**

1. Complete the *Transmittal Receipt* form found on RIMS homepage.
2. Send this form to your Division Director or designee for review and approval. They sign section 11A on the form. Once approved, send to the Archivist II for approval.

## Destroying Scheduled Records

**The following steps are for the person(s) responsible for undertaking the destruction of state records.**

1. Verify that records are eligible for destruction under your agency RRDS or general RRDS.
2. It is highly recommended that you complete a Certificate of Records Destruction and have it signed by your Division Director and Records Officer. No authorization from RIMS is required.

Refer to the Certificate template and instructions found on the [RIMS homepage](#) for guidance on how to complete the form.

3. Carry out authorized destruction either in your agency or through an approved contractor.

Note: Pursuant to the Personal Information Protection Act (PIPA, HB 65) all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. Electronic media that is cleared, purged, or destroyed must comply with Office of Information Technology minimum security requirements.

## **Destroying Unscheduled Records**

**The following steps are for the person responsible for completing the Records Disposition Authorization (RDA) and preparing the records for destructions.**

Note: Pursuant to the *Personal Information Protection Act (PIPA, HB 65)* all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. Electronic media that is cleared, purged, or destroyed must comply with Office of Information Technology minimum security requirements.

1. Complete a Records Disposition Authorization (RDA) form.

Refer to the RDA template and instructions found on RIMS homepage for guidance on how to complete the form.

2. Send the completed RDA to your Division Director for review and approval.
3. Send the completed RDA to your Records Officer for review and approval.

**The following steps are for the Records Officer only.**

4. Review the RDA to ensure all the details are correct. If not, ensure all necessary corrections are made before you approve it.
5. Sign the RDA in the "Records Officer" section at the bottom.
6. Send the completed RDA to [rims@alaska.gov](mailto:rims@alaska.gov).

Note: RIMS approved RDA will be sent to the Records Officer and contact person.

**The following step is for the contact person stated on the RDA form.**

7. Schedule the destruction after approval has been received by contacting the third party for box pickup or arrange with department staff to deliver boxes to the third party. If you are destroying the records in your own agency, carry out the authorized destruction.

## **Disposing of Records in a Records Center**

### **The following steps are for the Records Officer only.**

1. You will receive Records Disposition Notice(s) (RDNs) for each retention schedule within your jurisdiction as Records Officer. You will also receive instructions and relevant box listings that correspond to the RDNs.
2. Forward all the relevant RDNs, instructions and associated box listings to the divisions within your jurisdiction.

### **The following steps are for staff responsible for checking the details of the RDNs and seeking approval from disposition from their Division Director.**

3. Received the RDN(s) for your division along with an instructional email guide as to what to do.
4. Follow the step-by-step email guide.
5. Once a decision on all records has been made on the RDN, send it to your Division Director/designee for review and approval.
6. Once approved, send the signed RDN cover sheet and associated box list to [rims@alaska.gov](mailto:rims@alaska.gov).

## Accessing Records in a Records Center

**The following steps are for staff not currently authorized to access their agency's records in a record center.**

1. Complete a Records Access Authorization form found on RIMS homepage.
2. Send the completed form to your Division Director for review and approval.
3. Once approved, send form to the relevant records center to be added to the list of approved staff.

Note: As an alternative, contact your Records Officer who can request access on your behalf.

**The following steps are for staff currently authorized to access their agency's records in a records center.**

4. Complete the records center specific Records Reference Request form found on RIMS homepage and email/fax the form to either AAA Archives or Alaska Archives at:

### Juneau

AAA Archives & Records Storage  
5350 Shaune Dr., Juneau, AK 99801  
Point of Contact: Rey Delacruz  
Tel: (907) 780-7829  
Fax: (907) 780-4521  
Email: [Reynier@aaa-moving.com](mailto:Reynier@aaa-moving.com)

**For microform only:**  
State of Alaska  
Records and Information Management  
PO Box 110571, Juneau, AK 99811-0571  
Tel: (907) 465-2276  
Fax: (907) 465-2151

### Anchorage

Alaska Archives  
1300 West 56th Avenue, Unit 14, Anchorage, AK 99518  
Point of Contact: Dedra Smith  
Tel: (907) 563-8349  
Fax: (907) 563-7012  
Email: [alaskaarchives3@acsalaska.net](mailto:alaskaarchives3@acsalaska.net)

## **Accessing Records in the Alaska State Archives**

**The following steps are for staff trying to access records in the Alaska State Archives.**

1. Complete the e-form found on the Alaska State Archives website at:

[Research Inquiry Form](#)

2. **OR** Email your question to [archives@alaska.gov](mailto:archives@alaska.gov)
3. **OR** Phone the Alaska State Archives on (907) 465-2270



## **Duplicating Microform Held by RIMS or the Alaska State Archives**

**The following steps are for staff wanting a duplicate copy of microform held by either RIMS or the Alaska State Archives.**

1. Complete the Microform Duplication Request form found on RIMS homepage.
2. Email the completed form to the Records Analyst at [rims@alaska.gov](mailto:rims@alaska.gov).

## APPENDIX A

<b>Active Records</b>	Records that are still used regularly by an agency so need to be retained within the agency office
<b>Archives</b>	The state agency responsible for preserving state records with permanent historical/research value
<b>Archiving</b>	The process of sending records to the Alaska State Archives
<b>Authentic</b>	The record is what it purports to be and hasn't been altered
<b>Essential Records</b>	<ol style="list-style-type: none"><li>1. Are necessary for emergency response</li><li>2. Are necessary to resume or continue operations</li><li>3. Protect the health, safety, property, and rights of residents</li><li>4. Would require massive resources to reconstruct</li><li>5. Document the history of communities and families</li></ol>
<b>Disposition</b>	The process where records are either destroyed or transferred to the Alaska State Archives
<b>Duplicates</b>	<p>Duplicates are all copies of a record that are not the Official Record Copy and are held by an agency other than the agency that holds the Official Record Copy. If your agency does not hold the Official Record Copy, you hold a duplicate and should retain the duplicate under the schedule prescribed for duplicates. However, if your copy contains alterations or markings that should be preserved for their independent informational value, your copy would be subject to the retention requirement for an original record. A duplicate that has only different metadata is also generally not a record with independent informational value, although metadata may be subject to legal discovery or to a legal hold.</p> <p>If you hold the official record copy, you may also have duplicates. Only one copy of the record should be retained according to the prescribed retention period for the official record copy.</p>
<b>Electronic Record</b>	Any information that is recorded in machine readable form

<b>General RRDS</b>	This refers to the group of general records retention and disposition schedules including the General Administrative Records Retention and Disposition Schedule (GARRDS); Commissioner General Records Retention and Disposition Schedule; School District Model General Administrative Records Retention and Disposition Schedule, and the Local Government Model General Administrative Records Retention Schedule
<b>GARRDS</b>	General Administrative Records Retention and Disposition Schedule
<b>Inactive Records</b>	Records that are no longer used regularly by an agency, but still need to be retained
<b>LAM</b>	Division of Libraries, Archives & Museums
<b>Lifecycle</b>	This refers to the different phases that a record goes through starting when it has been created or received by an agency, through its use and maintenance as an active or inactive records before being disposed of i.e. destroyed or transferred to the Alaska State Archives.
<b>Microform</b>	Microfilm and/or microfiche
<b>Official Record Copy</b>	The official record copy refers to the copy of the record that must be retained by the state to fulfill all its legal responsibilities and must be retained for the total retention period stated.
<b>Record</b>	AS 40.21.150(6) defines Record to mean “any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them.”
<b>Record Center</b>	A place to store inactive records before they are disposed of
<b>Records Series</b>	A group of alike records filed together by their content e.g. Personnel Records
<b>RDA</b>	Records Disposition Authorization
<b>RDN</b>	Records Disposition Notice

## Records and Information Management Service Manual

<b>RIMS</b>	Records and Information Management Service
<b>RRDS</b>	Records retention and disposition schedule
<b>RTL</b>	Records Transfer List
<b>SOA</b>	State of Alaska

## APPENDIX B

### Records and Information Management Service

Jennifer Treadway  
State Records Manager  
(907) 465-2276  
[jennifer.treadway@alaska.gov](mailto:jennifer.treadway@alaska.gov)

Katie Jensen  
Records Analyst II  
(907) 465-2317  
[katie.jensen@alaska.gov](mailto:katie.jensen@alaska.gov)

Email: [rims@alaska.gov](mailto:rims@alaska.gov)  
PO Box 110571, Juneau, AK 99811-0571

### Imaging and Microfilm Service (IMS)

Jerry Duncan  
Microfilm Equipment Operator II  
(907) 465-1301  
[gerald.duncan@alaska.gov](mailto:gerald.duncan@alaska.gov)

Greg Philson  
Imaging/Microfilm Operator II  
(907) 465-1015  
[gregory.philson@alaska.gov](mailto:gregory.philson@alaska.gov)

Clayton Hainebach  
Microfilm Equipment Operator II  
(907) 465-6377  
[clayton.hainebach@alaska.gov](mailto:clayton.hainebach@alaska.gov)

### Alaska State Archives (ASA)

Karen Gray  
State Archivist  
(907) 465-2275  
[karen.gray@alaska.gov](mailto:karen.gray@alaska.gov)

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(907) 465-2241  
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