



# STATE OF ALASKA GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

## Schedule #100.3

January 2009



**Department of Education & Early Development  
Division of Libraries, Archives & Museums  
Archives & Records Management Program  
141 Willoughby Avenue  
Juneau, Alaska 99811-0525**

[http://www.archives.state.ak.us/records\\_management/records\\_management.html](http://www.archives.state.ak.us/records_management/records_management.html)

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE  
#100.3  
AUTHORIZATION & APPROVAL**

The purpose of *General Administrative Records Retention Schedule #100.3* is to list and describe common records series that many State agencies administer; and, prescribe mandatory minimum retention periods for those records. These records include paper documents, magnetic tape, compact discs, dvd's, flash drives, hard drives, floppy disks, microfiche, microfilm, maps and all other recorded information, regardless of medium or characteristics as defined in AS 40.21.150 (6). Commissioner Office staff should refer to the Commissioner *General Records Retention Schedule* for guidance.

Records and their proper maintenance are a matter of law and fact. Alaska Statute 40.21 (*State Records Management Act*) and 4 AAC 59 (Archives & Records Management Services) provide the necessary legal framework for the administration of the State of Alaska's records. As records constitute a risk that must be managed properly to minimize the liability to the State, Alaska has established an archives and records management program within the Division of Libraries, Archives & Museums to assist state agencies in mitigating this risk.

4 AAC 59.020 (c) requires agencies to follow general records retention schedules that Archives & Records Management establishes. This general schedule enables offices to further comply with AS 40.21.060 (2), which mandates each agency chief executive officer to establish and maintain an active, continuing program for the efficient management of its records and to apply the provisions of approved records retention schedules to ensure the orderly disposition of state records.

Records Management developed the *General Administrative Records Retention Schedule* using the knowledge, skills and abilities of subject matter experts. The following individuals assisted with this publication:

Victor Leamer, Division of General Services	Sylvia Watson, Office of the Governor
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**AUTHORIZATION & APPROVAL**

Under the authority of AS 40.21 and 4 AAC 59 the records listed on *General Administrative Records Retention Schedule #100.3* are approved for retention and disposition as indicated.

<b>/for/ Commissioner of Administration</b>	<b>Date</b>	<b>/for/ Attorney General</b>	<b>Date</b>
<i>Kim Garnero /s/</i>	<b>1/8/09</b>	<i>Craig Tillery /s/</i>	<b>12/29/08</b>
<b>State Archivist</b>	<b>Date</b>	<b>State Records Manager</b>	<b>Date</b>
<i>Glenn Cook /s/</i>	<b>12/12/08</b>	<i>D. Dawson, CRM /s/</i>	<b>12/12/08</b>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**  
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**GENERAL INFORMATION & INSTRUCTIONS**

**Benefits of Utilizing the General Records Schedule**

- ✔ **Locate** the right information quickly
- ✔ **Reduce Volume** of records stored in paper-based and electronic systems
- ✔ **Improve** storage and retrieval systems
- ✔ **Increase Efficiency** of office operations
- ✔ **Reduce Costs** for equipment, supplies, space, and personnel
- ✔ **Identify and Protect** vital and confidential records
- ✔ **Improve** customer relations and accountability of public funds
- ✔ **Reduce Risk and Liability**
- ✔ **Ensure Compliance** with applicable laws, rules, and regulations

**Disposition of State Records—General Rule**

The suggested timeframes for retaining common records series must be followed by all state agencies, unless the agency has a program records retention schedule that stipulates a longer retention period. Offices that dispose of unscheduled records must dispose of them in accordance with 4 AAC 59.025. Whenever the records contractor or other vendor in Juneau or Anchorage performs destruction services for scheduled, unscheduled or confidential records, the agency must complete a *Records Disposition Authorization* form. The Division Director, Records Officer and State Archivist must sign this document to fully authorize the destruction. Duplicate copies of documents may be disposed after all administrative and management need is met.

In the event you become aware of a public records request under 2 AAC 96, actual or threatened litigation, audit or investigation that may concern a group of records, **Do Not Dispose** of records until authorized to do so by the Division Director or the Attorney General's Office.

# GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

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## GENERAL INFORMATION & INSTRUCTIONS

### The General Schedule & Electronic Records

This *General Administrative Records Retention Schedule* applies to records regardless of their physical format. Therefore, records created or maintained as the **Record Copy** in electronic format must be retained in accordance with the minimum retention requirements presented on this schedule.

### Definition of Record

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."

### Definition of Electronic Record

AS 40.21.150 (4) defines "electronic record" to mean "any information that is recorded in machine readable form." Refer to 4 AAC 59.005 regarding requirements for the retention and preservation of electronic records.

### "Record" Electronic-Mail [E-mail]

The State of Alaska runs on e-mail. E-mail is created, received, and transmitted on an electronic mail system. E-mail that constitutes a "record" as defined above in AS 40.21.150 (6), including attachments that are transmitted with the e-mail, are subject to this *General Records Schedule* and individual agency records retention schedules. Record e-mail, which also may include text and instant messages (text messages in real-time), shall be retained for the same period of time as the records series that most closely matches the subject matter contained within the e-mail. If there is no entry that resembles or matches the subject matter of the e-mail, the agency retention schedule must be updated to include the entry as a separate series. E-mail that is declared a record shall be archived in retention folders or buckets within the *Enterprise E-mail Archive System* [or other system approved by the State Archivist]. E-mail that is listed as **Permanent** on a records schedule shall be archived in a 99-year retention bucket and printed out for transfer to the Alaska State Archives in accordance with the appropriate schedule.

### Non-Record E-mail

E-mail, attachments, text and instant messages that are not "records" as defined in AS 40.21.150 (6) may be destroyed immediately. Non-record communications include those of a transitory nature primarily generated for informal transmission of information, not the perpetuation or formalization of knowledge. [Refer also to Item 76, Transitory & Miscellaneous Administrative Information.] Personal messages constitute non-records as they are not "accounts" or "writings" "developed or received by a public agency," and are not "preserved for their informational value or as evidence of the organization or operation of the public agency" under AS 40.25.110.

# GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE

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## GENERAL INFORMATION & INSTRUCTIONS

### Other Relevant Statutory References

AS 40.25.110. Provides in part that unless specifically provided otherwise, the public records of all public agencies are open to inspection by the public under reasonable rules during regular office hours.

AS 40.25.120. Every person has a right to inspect a public record in the state, including public records in recorders' offices... [Exceptions are provided in law.]

AS 40.25.122. A public record that is subject to disclosure and copying under AS 40.25.110 - 40.25.120 remains a public record subject to disclosure and copying even if the record is used for, included in, or relevant to litigation, including law enforcement proceedings, involving a public agency, except that with respect to a person involved in litigation, the records sought shall be disclosed in accordance with the rules of procedure applicable in a court or an administrative adjudication.

AS 40.25.220 (3) "public records" means 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 informational value or as evidence of the organization or operation of the public agency; "public records" does not include proprietary software programs.

AS 09.80.195. *Uniform Electronic Transactions Act*—Use of electronic records and electronic signatures; retention of electronic records.

AS 45.48. Breaches of security involving personal information, credit report and credit score security freezes, consumer credit monitoring, credit accuracy, protection of social security numbers, care of records, disposal of records, identity theft, furnishing consumer credit header information, credit cards, and debit cards.

AS 40.17. Recording of documents by the Recorder's Office, Department of Natural Resources.

### Abbreviations Used on this Records Schedule

**AAC:** Alaska Administrative Code  
**AKSAS:** Alaska State Accounting System  
**APSIN:** Alaska Public Safety Information Network  
**AS:** Alaska Statutes  
**ADA:** Americans with Disabilities Act  
**AFLA:** Alaska Family Leave Act  
**CD:** Compact Disk  
**CFR:** Code of Federal Regulations  
**DGS:** Division of General Services  
**DAS:** Division of Administrative Services  
**DOF:** Division of Finance  
**DOPLR:** Division of Personnel & Labor Relations

**EEO:** Equal Employment Opportunity  
**ESD:** Employment Security Division  
**FMLA:** Family & Medical Leave Act  
**IT:** Information Technology  
**MOA:** Memoranda of Agreement  
**NCIC:** National Crime Information Center  
**OMB:** Office of Management & Budget  
**OSHA:** Occupational Safety & Health Admin.  
**RSA:** Reimbursable Services Agreement  
**SEF:** Statewide Equipment Fleet  
**URL:** Uniform Resource Locator  
**VPN:** Virtual Private Network

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**BUDGET PREPARATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p align="center"><b>1</b></p>	<p><b>Agency Budget Request (Final Submission):</b></p> <p>This records series constitutes the Department's copy of its final budget request submitted to Office of Management &amp; Budget (OMB).</p> <p>May include: amendments; revised programs; supplemental requests; personal services information, including expenditure data; component financial summaries; supplies, equipment and contractual detail; data relating to interagency transfers (RSA's) of both operating and capital funds; correspondence; and, other component supporting documentation.</p>	<p><b>Record Copy: OMB retains. Retentions vary.</b></p> <p><b>Agency Copy: Retain 3 years after current fiscal year.</b></p>	<p><b>Record Copy</b> of budget requests, budget amendments, supplemental requests and revised programs are maintained permanently by OMB in most cases.</p> <p><b>Agency</b> administers <b>Record Copy</b> of Reimbursable Services Agreements (RSA's) that do not require OMB approval for 3 years after closeout (refer to Item #23).</p>
<p align="center"><b>2</b></p>	<p><b>Agency Budget Workpapers (Original Preparation File):</b></p> <p>This series consists of the working papers of department budget analysts and line staff used for the preparation of the fiscal year budget submission to OMB. Includes the following types of documents: budget instructions, operating and capital budget submissions, cost allocations, amendments, revised programs, supplementals, correspondence, and other supporting backup.</p>	<p><b>Record Copy: OMB or State Archives retains permanently.</b></p> <p><b>Agency Copy: Retain 3 years after current fiscal year.</b></p>	
<p align="center"><b>3</b></p>	<p><b>Program Unit Budget Request Files (Working File):</b></p> <p>This fileset includes documents created and used by program managers to develop budget requests including cost statements, estimates, justifications, and supporting backup. The program budget request is submitted to department budget analyst and maintained as part of Item #1.</p>	<p><b>Record Copy: Retain 1 year after current fiscal year.</b></p>	<p><b>Agency</b> administers <b>Record Copy</b>.</p>

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**GENERAL ACCOUNTING RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
20	<p><b>Disbursement Accounting (AKSAS Original Document File):</b></p> <p>These records are payment documents prepared by agencies and include payments related to accounts payable, petty cash, and vendors.</p>	<p><b>Record Copy: retain current fiscal year plus 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p><b>AKSAS:</b> Alaska State Accounting System</p>
21	<p><b>PAYROLL ACCOUNTING Automated Payroll Reports:</b></p> <p>These records document payroll related transactions input to the payroll system. Records set includes, but is not limited to:</p> <ol style="list-style-type: none"> <li>1. Cash Value of Leave</li> <li>2. Leave Activity Report</li> </ol>	<p><b>Record Copy: DOF retains. Retentions vary.</b></p> <p><b>Agency Copy: Retain current fiscal year plus 3 years.</b></p>	<p>The Division of Finance (DOF) administers <b>Record Copy</b> of Automated Payroll Reports under <i>Records Schedule #29000</i>. DOF retains Employee Payroll Files for 75 years.</p>
22	<p><b>PAYROLL ACCOUNTING Pay/Leave Records (Originals):</b></p> <p>These records document payroll related transactions input to the payroll system. Records set includes, but is not limited to:</p> <ol style="list-style-type: none"> <li>1. Timesheets</li> <li>2. Leave Request/Report (Form 02-035)</li> <li>3. Adjustments to timesheets</li> <li>4. Retroactive pay worksheets</li> <li>5. Taxable moving, mileage, and per diem payment documentation.</li> </ol>	<p><b>Record Copy: DOPLR retains current calendar year plus 3 years.</b></p> <p><b>Agency Copy: Retain 1 year.</b></p>	<p>The Division of Personnel &amp; Labor Relations (DOPLR) administers <b>Record Copy</b> of <b>Pay/Leave Records</b>.</p> <p>Retention Authority:  AS 23.05.080 (Employer's Records);  AS 23.10.100 (Employer to Keep Records);  2 AAC 08.030 (Leave Accounting).</p>

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
23	<p><b>Reimbursable Services Agreements:</b></p> <p>This records series documents interagency transfers for both operating and capital project funds.</p> <p>Refer also to Item #1, Agency Budget Request (Final Submission.)</p>	<p><b>Agency &amp; Record Copy:</b></p> <p><b>Retain until RSA closed out plus 3 years.</b></p>	<p><b>Record Copy</b> administered by OMB, unless OMB approval not required in which case both servicing and requesting agencies maintain record copy.</p> <p>Closeout may be at end of fiscal year or end of project.</p>
24	<p><b>Travel Accounting:</b></p> <p>These records document travel approvals, per diem, transportation, etc.</p>	<p><b>Record Copy:</b></p> <p><b>DAS retains current fiscal year plus 3 years.</b></p> <p><b>Agency Copy:</b></p> <p><b>Retain current fiscal year plus 3 years.</b></p>	<p>The Division of Administrative Services (DAS) within each Department administers the <b>Record Copy</b>.</p> <p><i>Alaska Administrative Manual</i> 60 sets forth travel policies for state employees.</p>
25	<p><b>Vendor Files:</b></p> <p>This records series documents the purchase of commodities and services and includes: copies of financial transaction registers, delivery orders, purchase orders, logs, supply requisitions, advertising orders, invoices, confirmation of delivery receipts, container shipment records, bills of lading, and postage meter receipts.</p>	<p><b>Record Copy:</b></p> <p><b>DAS retains current fiscal year plus 3 years.</b></p> <p><b>Agency Copy:</b></p> <p><b>Retain current fiscal year plus 3 years.</b></p>	<p>Refer also to Procurement Records, pages 9 - 11.</p> <p>The Division of Administrative Services (DAS) within each Department administers the <b>Record Copy</b>.</p>

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
26	<p><b>Adjusting Entries (AJE's)</b>  <b>AKSAS Document File:</b></p> <p>Documents include the Financial Transaction Reports and backup for adjusting journal entries and journal entry logs.</p>	<p><b>Record Copy:</b>  <b>DAS retains current fiscal year plus 3 years.</b></p> <p><b>Agency Copy:</b>  <b>Retain current fiscal year plus 3 years.</b></p>	<p>The Division of Administrative Services (DAS) within each Department administers the <b>Record Copy.</b></p>
27	<p><b>Accounting Reports:</b></p> <p>This records series consists of routine balancing and status reports output from AKSAS reflecting expenditures and receipts of an agency and includes, but is not limited to, these informational reports:</p> <ol style="list-style-type: none"> <li>1. Financial Transaction Reports (FTR)</li> <li>2. Documents Outstanding File (DOF)</li> <li>3. Audit Trail</li> <li>4. Cash Availability</li> <li>5. Field Warrant</li> </ol>	<p><b>Record Copy:</b>  <b>DAS retains current fiscal year plus 3 years.</b></p> <p><b>Agency Copy:</b>  <b>Retain current fiscal year plus 3 years.</b></p>	

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
28	<p><b>Revenue Accounting</b> (As Part of AKSAS Documentation):</p> <p><b>Source Documentation</b> related to: billing, cash receipt records, daily cash transaction records, deposit slips, FTP's, write-off's/bad debt, paid damages, etc.</p> <p><b>Accounts Receivable Records &amp; Ledgers</b> Includes: bank returned items held for collection, along with correspondence, and backup.</p>	<p><b>Record Copy:</b> Retain source documentation current fiscal year plus 3 years.</p> <p><b>Retain accounts receivable records</b> current fiscal year plus 3 years.</p>	<p>Agency administers <b>Record Copy</b>.</p>
29	<p><b>Banking Records</b> (As Part of AKSAS Documentation):</p> <p>Records of bank transactions for revenue and payments including uncollectible checks; deposit slips; transmittal of receipts; and, other filesets related to routine payments, revenue, or collected monies of an agency.</p> <p><b>Original Bank Statements:</b></p>	<p><b>Record Copy:</b> Retain current fiscal year plus 3 years.</p> <p><b>Retain original bank statements</b> current fiscal year plus 7 years.</p>	<p>Agency administers <b>Record Copy</b>.</p> <p>Refer to Item #28 for documents being held for collection.</p>
30	<p><b>Reconciliation Workpapers:</b></p> <p>Intermediate fiscal records of receipts and disbursements used to reconcile accounts, including spreadsheets, proof sheets or trial balance worksheets, abstracts of receipts, disbursements or claims, warrant reconciliation sheets, and other supporting documents.</p>	<p><b>Agency Copy:</b> Retain current fiscal year plus 3 years.</p>	<p>Agency administers <b>Record Copy</b>.</p> <p>Workpapers are used for audit purposes.</p>

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>31</b></p>	<p><b>Redeemed Warrants:</b></p> <p>Warrants are scanned (both sides) by the bank on a daily basis as they are redeemed. A master CD of redeemed general warrants is sent to the Department of Revenue; a master CD of redeemed benefits warrants is sent the Department of Labor &amp; Workforce Development each month.</p> <p>Some agencies also receive CD's that contain images for a specific warrant class.</p>	<p><b>Record Copy:</b>  <b>Treasury retains 7 years; ESD retains 5 years.</b></p> <p><b>Agency Copy:</b>  <b>Retain until administrative need is met.</b></p>	<p>The bank retains the original redeemed warrants or a scanned image for 45 days, at which point the originals are destroyed.</p> <p>The Treasury Division retains the <b>Record Copy</b> of Warrants for 7 years.</p> <p>The Employment Security Division (ESD) retains the <b>Record Copy</b> of Benefits Warrants for 5 years.</p>
<p><b>32</b></p>	<p><b>Forgery &amp; Fraud Investigation Case Files:</b></p> <p>This records series documents formal investigation of suspected forgery and fraud and may consist of investigator's request for warrants, copies of warrants, agency response, and other notes and materials.</p>	<p><b>Record Copy:</b>  <b>Retain until case is closed plus 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**GRANT MANAGEMENT RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>40</b></p>	<p><b>Grant Administration Files (State Issued—Grantor Agency):</b></p> <p>This records series consists of financial, management and any other related material that is generated subsequent to application for and/or expenditure of grant funds to an entity by a state agency. Includes the following: applications and copy of notification of grant award; agreements/contracts; special conditions; fiscal reports; correspondence; monitoring data; closeout documents; copy of audit report; reports prepared by grantee regarding status, progress, or compliance with grant agreement; and, other supporting documentation.</p>	<p><b>Record Copy: Retain 6 years after grant closeout.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>If any litigation, claim, audit or dispute is started before the expiration of the 6 year period, retain records until all issues involving the records have been resolved and final action taken.</p> <p>Under AS 09.10.120 the statute of limitation for contract actions brought in the name of the State is 6 years from the date of accrual of the cause of action. For fraud: limitation commences from the time of discovery by the aggrieved party.</p>
<p><b>41</b></p>	<p><b>Grant Administration Files (State Received—Recipient):</b></p> <p>This records series consists of financial, management and any other related material that is generated subsequent to application for and/or expenditure of grant funds received by the State. Includes: copies of RSA's, grant pass-thru documentation, and agency reports (status, progress, compliance, performance).</p>	<p><b>Record Copy: Retain until federal audit is completed; or, 6 years after grant closeout, whichever is later.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>If any litigation, claim, audit or dispute is started before the expiration of the 6 year period, retain records until all issues involving the records have been resolved and final action taken.</p> <p>Under AS 09.10.120 the statute of limitation for contract actions brought in the name of the State is 6 years from the date of accrual of the cause of action. For fraud: limitation commences from the time of discovery by the aggrieved party.</p>
<p><b>42</b></p>	<p><b>Grant Solicitation Files:</b></p> <p>Documents created in developing a request for services or in soliciting proposals from applicants for grant funds.</p>	<p><b>Record Copy: Retain until grant close-out.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**GRANT MANAGEMENT RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p align="center"><b>43</b></p>	<p><b>Applications &amp; Responses: (Not Awarded)</b></p> <p>This records series consists of rejected applications received in response to <b>state issued</b> grant solicitation documents. May include: initial proposal, pre-screening documents, cover sheets, reasons for rejection, etc.</p> <p>Refer to Item #40 for awarded grants.</p>	<p><b>Record Copy: Retain 1 year.</b></p>	<p><b>Agency administers Record Copy.</b></p>
<p align="center"><b>44</b></p>	<p><b>Evaluations &amp; Recommendations of Responses:</b></p> <p>This records series documents evaluation criteria used and recommendations for <b>state issued</b> grant awards.</p>	<p><b>Record Copy: Retain 1 year.</b></p>	<p><b>Agency administers Record Copy.</b></p>



**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

#100.3

**PROCUREMENT, LEASING & PROPERTY RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>50</b></p>	<p><b>Procurement Files:</b></p> <p>These records document agency procurement of supplies, services and professional services, including the solicitation, selection, award, and administration of contracts.</p> <p>May include the following: vendor contacts and responses, purchase/delivery orders, invoices, price quotations, <i>ITB, RFQ, RFP, RAP</i> backup, public notices, bid correction or withdrawal documents, bid totals, protests, final decisions, written determinations, <i>Notice of Intent to Award</i>, procurement reports, evaluation criteria, and score sheets.</p> <p>Also consists of original contract and amendments/renewals, special conditions, payment logs, reports (fiscal, progress, final), appropriation data, bond verification (bid security), transcripts, audio tapes, and correspondence.</p>	<p><b>Record Copy: Retain formal contracts for life of contract plus 6 years.</b></p> <p><b>Record Copy: Retain all other files for current fiscal year plus 3 years.</b></p>	<p><b>Record Copy</b> may be maintained by the Administrative Services Division in the Department, the Division of General Services (DGS) or delegated <b>Agency</b>.</p> <p>Authority: <i>AS 36.30 State Procurement Code, 2 AAC 12</i></p> <p>Under <i>AS 09.10.120</i> statute of limitation for contract actions brought in the name of the State is 6 years.</p> <p>Under <i>AS 09.10.053</i> statute of limitation for contract cases is 3 years.</p> <p>Certain technical information, proprietary data, and trade secrets submitted by actual or prospective bidders or offerors may be confidential. <i>ITB: Invitation to Bid RFQ: Request for Quotation RFP: Request for Proposal RAP: Request for Alternate Procurement</i></p>
<p><b>51</b></p>	<p><b>Lease Administration Files:</b></p> <p>This records series documents administration of State leases and includes: notification of award, original lease and any amendments or renewals, special conditions, fiscal reports, payment logs, correspondence, and/or reports.</p>	<p><b>Record Copy: DGS retains master lease for 6 years after lease expires.</b></p> <p><b>Agency Copy: Retain leases for 3 years after lease expires.</b></p> <p><b>Retain all other documents for 3 years.</b></p>	<p>The Division of General Services, Leasing Section administers the Master Lease <b>Record Copy</b>.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**  
**#100.3**  
**PROCUREMENT, LEASING & PROPERTY RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
52	<p><b>Equipment Records—Originals:</b></p> <p>May include the following: warranty information, repair/maintenance history, instruction/operating manuals, preventive maintenance logs, portable fire extinguisher tests, and daily boiler inspection logs/reports.</p> <p><b>Equipment Records—Copies:</b></p> <p>Includes: delivery order, correspondence, general/preventative maintenance records, and inventory lists.</p>	<p><b>Record Copy:</b>  <b>Retain for the life of the equipment plus 4 years.</b></p> <p><b>Agency Copy:</b>  <b>Retain 3 years.</b></p>	<p>Agency administers <b>Record Copy</b> with one exception: the Statewide Equipment Fleet administers Vehicle Documentation.</p> <p><b>JUSTIFICATION FOR RETENTION:</b> Most torts carry a two-year statute of limitations; some have three. The Department of Law doesn't always get brought into a case immediately upon expiration of the statute of limitations. Retaining warranty data, manuals and repair/maintenance history records for the life of the equipment plus four years will protect the State in 99% of its cases.</p>
53	<p><b>Automotive Management (Major Records):</b></p> <p>Includes copies of the following: <i>Motor Vehicle Accident Reports, Certification of Insurance, Lost-Stolen-Damaged Property Reviews</i>, inspection reports, maintenance records (parts, service, repair estimates, work orders) <i>Liability Accident Notices</i>, registrations, and titles.</p>	<p><b>Record Copy:</b>  <b>SEF retains 2 years after vehicle is disposed.</b></p> <p><b>Agency Copy:</b>  <b>Retain 3 years.</b></p>	<p>SEF: Statewide Equipment Fleet. The SEF is responsible for procuring, maintaining, and disposing of vehicles equipment owned/operated by the State.</p> <p>The Division of Risk Management administers Claim Files <b>Record Copy</b>.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

#100.3

**PROCUREMENT, LEASING & PROPERTY RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
54	<p><b>Automotive Management (Minor Records):</b></p> <p>Includes copies of the following: credit card usage reports, fuel/lubricant receipts, monthly travel/mileage logs, sign-out logs regarding acceptance/receipt of vehicles for use, vehicle assignment records which documents the long-term or permanent use of vehicle to specific individuals or agencies.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency or SEF administers Record Copy.</b></p>
55	<p><b>Property Control Records:</b></p> <p>Agency copies of controlled property management reports, property tag register, excess property reports, interdepartmental property transfer documents, <i>Lost-Stolen-Damaged Property Reviews, Property Destruction Authorizations</i>, and correspondence.</p>	<p><b>Record Copy: DGS retains 5 years.</b></p> <p><b>Agency Copy: Retain for 3 years or until audit is completed, whichever comes first.</b></p>	<p>The Division of General Services, Property Management Section administers the <b>Record Copy</b>.</p> <p>Maintain reports on any federally funded property until audit is completed.</p>
56	<p><b>Property (Land &amp; Buildings):</b></p> <p>These files support total costs of property acquisition or improvement and include, but is not necessarily limited to: purchase orders, claim schedules, invoices, contracts, deeds, titles, plat maps, as-builts, easements, surveys, patents, site plans, classification orders, conveyance documents, covenants, checks, worksheets, statements, and correspondence.</p> <p>Property records are active as long as the State of Alaska owns the land or building.</p>	<p><b>Record Copy: The State Recorder retains public property ownership records permanently.</b></p> <p><b>Agency Copy: Retain until the State no longer has an interest in the property plus 4 years.</b></p>	<p>This retention meets federal requirements for real property acquired with federal funds (34 CFR 74.53).</p> <p><b>Note For Files Having Potential Litigation:</b> AS 46.03.822 relates to "strict liability for the release of hazardous substances" and impacts retention requirements for property documents. Liability, current or future, pertaining to the release of hazardous substances, attaches to property owners. Contact the Attorney General regarding disposition of records for real property with known or suspected contamination.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
60	<p><b>Administrative Systems Studies &amp; Operational Plans—Major &amp; Minor:</b></p> <p>Consists of studies, plans, synopses, detailed reports and special projects of a Commissioner, Director, Board or Commission that assess the need for administrative systems improvements in the area of information management. Contents include: business process reengineering documents, workflow schematics, workload and organizational data; logs; time studies; interviews; questionnaires; final report; correspondence; and, authorized actions.</p>	<p><b>Record Copy: Retain one year after system terminated; or, when no longer needed for reference, whichever is later.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Contact the State Archives regarding appraisal of <b>Major Studies</b> that may have historical significance.</p> <p>Recommend review every five years.</p>
61	<p><b>Program History Files:</b></p> <p>These records document function, organizational structure, history, activities and accomplishments of a state agency. Includes: media releases, public information files, photographs (digital, prints, negatives), videotapes/discs, scrapbooks, clipping files, audio tapes/cd's, speeches by program manager, written histories, strategic plans, monographs, and other publications (brochures/leaflets/pamphlets) related to the statutory functions for which the agency is responsible.</p>	<p><b>Record Copy: Retain until administrative or management need is met; then, transfer to the State Archives.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Recommend review/transfer every five years.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

#100.3

**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
62	<p><b>General Correspondence &amp; Central Files:</b></p> <p>Consists of original incoming and copies of outgoing letters and memoranda related to the general administration and operation of the agency, often arranged topically according to a file classification system. Includes the following types of correspondence: intra/inter-departmental, legislative, professional association, steering committee, and public. Also may consist of conference/training notes, organizational charts, delegations of authority, share campaign, inventories/logs, studies, etc.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>
63	<p><b>Legal Opinions:</b></p> <p>Series may consist of opinions received from the Attorney General's Office, correspondence, and backup.</p>	<p><b>Record Copy: DOL retains permanently.</b></p> <p><b>Agency Copy: Retain until administrative or management need is met.</b></p>	<p>DOL: Department of Law.</p>
64	<p><b>Legislation &amp; Regulation Working Files:</b></p> <p>These records consist of copies of bills/regulations, proposed legislation, review letters, fiscal notes, departmental analyses, public comments, mailing lists, copies of documents from other states, attorney notes, and impact statements.</p>	<p><b>Record Copy: DOL retains Permanently.</b></p> <p><b>**Agency Copy: Retain until administrative or management need is met.</b></p>	<p><b>**Regulations: Retain Public Comments [AS 44.62.215] and Mailing Lists</b> until repealed or defunct as there is no statute of limitation on challenging the validity of a regulation.</p> <p>Contact the Department of Law Regulations Section for legal questions regarding whether the management need of a regulation has been met.</p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
65	<p><b>Minutes &amp; Meeting Files— Major Policy Making:</b></p> <p>Documents all state boards, commissions, advisory councils, task forces, special committees and major policy making group activities. Includes the following: agenda, information packets, reports, notes, transcripts, media releases, meeting summaries, public testimony statements, and questionnaires.</p>	<p><b>Record Copy: Retain until administrative or management need is met; then, transfer to the State Archives.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>These records document the policies, decisions and historical activities of state-funded entities.</p>
66	<p><b>Minutes &amp; Meeting Files— Non-Policy Making:</b></p> <p>For all general staff, routine and operational meetings that do not result in changes to state positions or procedures. Consists of agenda, minutes, notes, and other backup.</p>	<p><b>Record Copy: Retain for 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>
67	<p><b>Program Policies &amp; Procedures—Major:</b></p> <p>Substantive and binding agency issued policies, procedures, directives, decisions, orders, rules, guidance, agreements, understandings, and manuals that address mission essential functions for which the agency is statutorily responsible.</p> <p>These records document agency functions and have archival research value.</p>	<p><b>Record Copy: Retain for 3 years after policy is obsolete or superceded, then transfer to the State Archives.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p><b>Policy:</b> a governing principle established at the executive level, which mandates or constrains action and has enterprise-wide application.</p> <p><b>Procedure:</b> a set of effective and logical interrelated steps that implement a policy.</p>
68	<p><b>Program Policies &amp; Procedures—Routine:</b></p> <p>Routine agency issued policies, procedures, directives, decisions, rules, organizational charts, and manuals that address internal functions and operating procedures.</p>	<p><b>Record Copy: Retain for 3 years after policy is obsolete or superceded.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
69	<p><b>Advertisements: Legal</b></p> <p>This records series consists of agency advertisements which have been posted on the <i>Online Public Notice System</i>, appeared in newspapers, or other periodical of general circulation. Public notices may regard: teleconferences, invitations to bid, new/updated regulations, hearings/meetings, competitive lease sales, water rights, utility tariff filings, etc.</p>	<p><b>Record Copy: Lt. Governor retains permanently.</b></p> <p><b>Agency Copy: Retain 3 years after posted.</b></p>	<p>The Lt. Governor's Office approves all online public notices/hearings postings.</p> <p>The Office of the Governor Division of Administrative Services administers the <i>Online Public Notice System</i>.</p>
70	<p><b>Public Records Log &amp; Requests for Public Information:</b></p> <p>Unless a request is governed by 2 AAC 96.300, under 2 AAC 96.320 a public agency shall maintain a log of each written request for public records that it receives. The log must include date of request, requestor name, and tracking information.</p>	<p><b>Record Copy: Retain 1 year.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Retention Authority: 2 AAC 96</p> <p>2 AAC 96.300 pertains to records prepared for routine public distribution including pamphlets, maps, press releases, forms, applications, etc.</p>
71	<p><b>Reading Files:</b></p> <p>Copies of outgoing letters, memoranda, and messages. Maintained as a discrete records series, these files are used for various administrative purposes. Arranged chronologically.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Copy often placed in General Correspondence &amp; Central Files, Item #62.</p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	
72	<p><b>Records &amp; Information Management Files:</b></p> <p>Consists of file plans/system outlines; records retention schedules; records transfer lists, records disposition notices; transmittal/receipts; records audit forms; records management policies and procedures; correspondence with agencies, records contractor and records manager; accounting, holdings, and billing information</p>	<p align="center"><b>Record Copy:</b> Records schedules, transfer lists, disposition notices, transmittal/receipt and cumulative holdings information are retained by Archives &amp; Records Management.</p> <p align="center"><b>Agency Copy:</b> <b>Retain File Plans, Records Schedules and Policies &amp; Procedures until superceded.</b></p> <p align="center"><b>Retain transfer lists until last box on list is disposed.</b></p> <p align="center"><b>Retain Disposition Notices, Audit Forms, Correspondence &amp; Account data for 3 years.</b></p>	
73	<p><b>Reports—Staff:</b></p> <p>Consists of agency produced monthly, quarterly, activity, routine management; and travel reports.</p>	<p><b>Record Copy:</b> <b>Retain 3 Years.</b></p>	<p><b>Agency administers Record Copy.</b></p>
74	<p><b>Reports—Annual:</b></p> <p>Reports and publications issued by state agencies that describe responsibilities, functions, activities, and events.</p>	<p><b>Record Copy:</b> <b>Retain 5 Years; then, transfer to the State Archives.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Under AS 14.56.120 each agency must provide four copies of its state publications to the State Publications Program; or, provide a publications link for web-based monographs.</p>



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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
75	<p><b>Reports—Audit:</b></p> <p>Audit reports authored by Legislative Audit, the Office of Management &amp; Budget (OMB), internal auditors and contractors documenting the financial accountability and statutory/regulatory compliance of the agency.</p>	<p><b>Record Copy: Retentions vary.</b></p> <p><b>Agency Copy: Retain until administrative or management need is met.</b></p>	<p>Legislative Audit administers Audit Reports permanently and are confidential until the report has been approved for release under AS 24.20.311.</p> <p>OMB retains Performance Audits 5 years.</p> <p>The Division of Finance administers <b>Record Copy</b> of State and Federal Single Audit Reports 5 years.</p>
76	<p><b>Transitory &amp; Miscellaneous Administrative Information:</b></p> <p>This records series consists of documents that are created primarily for the communication of information, as opposed to communications designed for the perpetuation of knowledge. Transitory messages do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt. Includes: e-mail, voice mail, and text messages with short-lived or no administrative value (including messages received on cell/smart phones and personal digital assistants), self-adhesive notes, data input documents, appointment books/calendars, invitations, intra-office correspondence tracking logs, word processing files, suspense files, temporary instructions, publication bulletins, notary certificates (copies) meeting notices, announcements, and training flyers.</p>	<p><b>Record Copy: Retain until administrative need is met.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Microsoft Outlook Calendar Items are retained for five years.</p>
77	<p><b>Technical Reference Files:</b></p> <p>Consists of technical studies, publications, consultant reports, internet printouts from any source related to program administration, and functions.</p>	<p><b>Record Copy: Retain until administrative or management need is met.</b></p>	<p>Agency administers Record Copy.</p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
78	<p><b>Special Projects:</b></p> <p>Includes the following information related to the special projects of an Agency: goals; objectives; meeting agendas/minutes; reports; correspondence; budget; Gantt Charts and other schedules; and, project management, task assignments, tracking, and resource allocation data.</p>	<p><b>Agency Copy: Retain until administrative or management need is met.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Offer special projects of historical significance to the State Archives for permanent retention.</p> <p>Refer to Item #60 regarding Administrative Systems Studies (IT) and Item #129 (Change Management).</p>
79	<p><b>Functional Forms Files:</b></p> <p>Collection of current forms used for control precedent, comparison, and general reference.</p>	<p><b>Record Copy: Destroy after discontinued, superseded, revised or replaced.</b></p>	<p><b>Agency administers Record Copy.</b></p>
80	<p><b>Numerical Forms Files:</b></p> <p>Request for approval of forms, or similar documents, submitted by office of primary responsibility for the form, and all revisions; latest printing specifications; latest review of form, showing status of form; records about the form; final draft/master or a copy of the current edition; and, a copy of each printed edition of the form.</p>	<p><b>Record Copy: Retain 1 year after obsolescence.</b></p>	<p><b>Agency administers Record Copy.</b></p>
81	<p><b>Forms Management Reports:</b></p> <p>Reports of forms management activities, progress, status, and costs.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
82	<p><b>Emergency Response, Disaster Prevention &amp; Recovery Plans:</b></p> <p>This records series consists of emergency response plans, disaster preparedness, and/or recovery documentation.</p>	<p><b>Record Copy: Retain until plan is superceded.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>The Division of Emergency Services may also have <b>Record Copy.</b></p>
83	<p><b>Disaster Preparedness Drills:</b></p> <p>This records series consists of the results of disaster preparedness exercises and the supporting documents including scenarios, location of safety related drills, timetables, response times, probable outcomes, areas of difficulties, description of how difficulties were resolved, and areas for improvement. Types of drills include: fire, earthquake, safety, and chemical spills.</p>	<p><b>Record Copy: Retain 3 years</b></p>	<p><b>Agency administers Record Copy.</b></p>
84	<p><b>Drafts &amp; Working Papers:</b></p> <p>This series contains documents, correspondence, reports, memoranda, and other materials in preliminary or developmental form before their iteration as a final product. Drafts may include copies of materials circulated for review for grammar, spelling and content. Working papers may include notes and miscellaneous documents used in compiling and assembling the final product.</p>	<p><b>Record Copy: Retain until obsolete, superceded or administrative or management need is met.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>May be confidential under statute, regulation, attorney client privilege, deliberative process privilege, or other rule, directive or guidance.</p>

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**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
85	<p><b>Incident &amp; Unusual Occurrence Reports:</b></p> <p>This records series consists of reports of strange occurrences or incidents which occur at an agency owned/leased property and may include: alarm or lock malfunctions, security breaches, documentation of hostile actions by employees or the public, suspicious persons, maintenance problems, or any other circumstance that should be noted for future reference or follow-up. Types of data listed: name of reporting staff member, date/time/location of the incident, persons involved or witnesses, the extent of the problem, emergency response, supervisors notified, and general outcome.</p>	<p><b>Record Copy: Retain 4 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>
86	<p><b>Inspection Records:</b></p> <p>Fire, security and safety inspection reports, checklists, and remedial/corrective action documentation.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>
87	<p><b>Key &amp; Badge Issuance Records:</b></p> <p>This records series consists of the key control system which includes receipts for keys and security or identification badges issued by employees.</p>	<p><b>Record Copy: Retain until employee terminates.</b></p>	<p><b>Agency administers Record Copy.</b></p>
88	<p><b>Supply Records:</b></p> <p>This records series consists of documentation of consumable supplies located in a central supply office for use by agency staff. Includes a listing of all available supplies which is distributed periodically or upon request.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
89	<p><b>Security Recordings:</b></p> <p>This records series consists of surveillance video and digital recordings created to monitor activities occurring both within and outside of state facilities.</p>	<p><b>Record Copy: Retain 30 days, then erase &amp; reuse, provided any necessary images are saved.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Agency should create an internal management policy regarding preservation of images necessary for prosecution or disciplinary actions. If a recording has evidentiary value, retain until legal action is completed.</p>
90	<p><b>Visitor Logs:</b></p> <p>This records series consists of records documenting employees' and visitors' entrance into an agency building during and/or after office hours. Logs may require time, date, signature, reason for visit, and location or person visited.</p>	<p><b>Record Copy: Retain 3 years.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Civil litigation for personal injuries statute of limitations is 2 years to file a lawsuit. Oftentimes the lawsuit is not served for another 90 days or more after filing. Visitor logs are helpful to establish potential witnesses or to corroborate the presence of witnesses.</p>
91	<p><b>Complaints: Citizen/Consumer/Employee:</b></p> <p>This records series consists of individual complaints from citizens, consumers or employees and may include: name, address, date, telephone number, narrative of complaint, to whom referred and date, action taken, and signature of person taking the action.</p>	<p><b>Record Copy: Retain 1 year after resolution provided applicable audits have been released.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Does not include claims of harassment or discrimination among employees. Refer to Personnel Records, Item #109, Grievance Case Files.</p>

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<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>92</b></p>	<p><b>Training Materials:</b></p> <p>This records series consists of materials used in training, such as films, compact disks, electronic files, slides, commentaries, manuals, workbooks, and other related items.</p>	<p><b>Record Copy: Retain until obsolete, superceded or administrative need is met</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Contact the State Archives regarding appraisal of <b>Training Materials</b> that may have historical significance.</p> <p>Refer to Items #100 &amp; #101 for employee training records.</p>
<p><b>93</b></p>	<p><b>Mail &amp; Telephone Records:</b></p> <p>Consists of mail files or logs that document transmittal/posting of United States Post Office materials and returned/undeliverable first class mail. Also includes: telephone logs, message books, and phone number lists.</p>	<p><b>Record Copy: Retain 1 year.</b></p>	<p><b>Agency administers Record Copy.</b></p>
<p><b>94</b></p>	<p><b>Postage Records:</b></p> <p>Consists of a detailed listing showing the amount of postage used, date, unused balance and purpose. Record of a United Parcel Service, DHL or Federal Express package sent by your agency to another would also fit within this series.</p>	<p><b>Record Copy: Retain 3 years or after audit, whichever comes first.</b></p>	<p><b>Agency administers Record Copy.</b></p>
<p><b>95</b></p>	<p><b>Parking Decal/Permit Records:</b></p> <p>This records series consists of copies of parking applications for motor vehicles authorized to park on State owned/leased lots.</p>	<p><b>Record Copy: DGS retains 3 years after expiration.</b></p> <p><b>Agency Copy: Retain 1 year.</b></p>	<p><b>DGS: Division of General Services.</b></p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

#100.3

**GENERAL OFFICE ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>96</b></p>	<p><b>Memoranda of Understanding/Agreement:</b></p> <p>MOU express mutual accord on an issue between the State and two or more parties. MOU may be legally binding, based on the rights and obligations addressed in them. Also called letter of intent.</p> <p>MOA establish an agency's scope of association with another entity and mutual responsibilities.</p>	<p><b>Record Copy: Retain 6 years after expiration.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>MOU/A: Memoranda of Understanding/Agreement</p> <p>Under <i>AS 09.10.120</i> statute of limitation for contract actions brought in the name of the State is 6 years.</p>
<p><b>97</b></p>	<p><b>Lost &amp; Found Records:</b></p> <p>Consists of who, what, when, where, why-type documents related to lost/found objects.</p>	<p><b>Record Copy: Retain 1 year.</b></p>	<p><b>Agency administers Record Copy.</b></p>
<p><b>98</b></p>	<p><b>Web Site Content, Management &amp; Operations Records:</b></p> <p>This records series consists of agency internet and intranet web site content documentation. May include: web master policies; procedures; notes; content pages that compose the site, inclusive of the HTML markup; records generated when a user interacts with a site; lists of URL's referenced in the site's hyperlinks; web site design records; records addressing usage of copyrighted material; software applications used to operate the site; web snapshots; site maps depicting directory structure saved after substantive site changes have been implemented; server environment configuration specifications; and, correspondence.</p>	<p><b>Record Copy: **Retain 5 years or until obsolete, superseded or administrative need is met, whichever comes later.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>**Contact the State Archives regarding web site records that may have historical value.</p> <p>Back-end programmatic databases for which a web page serves as the interface should be listed on the agency program records schedule.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
<p><b>100</b></p>	<p><b>Individual Personnel Files—Classified, Partially Exempt &amp; Non-Permanent:</b></p> <p>Agency copies of <b>non-medical</b> personnel employment history records that must include date of hire, rehire documentation, date and cause of termination or suspension. May include the following: applicant profiles, applicant certifications, job qualification summaries, job service referral cards, union notifications, Vocational Rehabilitation referrals, resume, personnel actions, performance evaluations, declaration of familial relationships and nepotism waivers, confidentiality statements, applications for insurance and benefits, kudos/accolades, disciplinary actions, memos for approved leaves/absences, ethics disclosures, conflicts of interest, and training course completion notices.</p> <p>The Master DOPLR file may also include employment eligibility verifications (Form I-9), <i>Drug Free Workplace Act</i> forms and the following signed statewide policies: <i>EEO, Harassment, ADA, Diversity, Use of Office Technology, Ethics Disclosures, and Statewide Policy Acknowledgements.</i></p> <p>Refer to Payroll Accounting (General Accounting Section) for Employee Time &amp; Attendance Records; Item #107 for Employee Medical Records; and, Item #'s 111-113 for Ethics Records.</p>	<p><b>Record Copy:</b>  <b>DOPLR retains 50 years after employee terminates.</b></p> <p><b>Agency Copy:</b>  <b>Retain 1 year after employee terminates.</b></p>	<p><b>DOPLR:</b> Division of Personnel &amp; Labor Relations</p> <p>DOPLR, Employee Planning &amp; Information Center administers <b>Record Copy.</b></p> <p>Federal form I-9 retained under 8 CFR 274a.2.</p> <p>Confidential under AS 39.25.080 &amp; 2 AAC 7.910(c).</p> <p>Retention Authority: 8 AAC 85.020 requires hire &amp; termination documentation.</p> <p>EEO: Equal Employment Opportunity</p> <p>ADA: Americans with Disabilities Act of 1990</p>



**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
<p><b>101</b></p>	<p><b>Individual Personnel Files—Exempt:</b></p> <p>Official <b>non-medical</b> employment history for exempt personnel.</p> <p>Refer to records series description in Item #100 for list of document types.</p> <p>Refer to Payroll Accounting (General Accounting Section) for Employee Time &amp; Attendance Records; and, Item #107 for Employee Medical Records.</p>	<p><b>Record Copy:</b>  <b>DOPLR retains 50 years after employee terminates.</b></p> <p><b>Agency Copy:</b>  <b>Retain 1 year after employee terminates.</b></p>	<p><b>Record Copy</b> located in the Payroll Section of the Human Resource Service Center within the DOPLR.</p> <p>I-9 form retained under 8 CFR 274a.2.</p> <p>Confidential under AS 39.25.080 &amp; 2 AAC 7.910(c).</p> <p>8 AAC 85.020 requires hire and termination documentation.</p>
<p><b>102</b></p>	<p><b>Recruitment, Selection &amp; Appointment Records:</b></p> <p>Departments may have the authority to recruit and examine certain classes of positions directly. This records series may include: applications, transcripts, position vacancy announcements, and hiring approvals.</p> <p>Letters of introduction, test answer sheets, examination papers, records of ratings of applicants, selection criteria, interview questions and notes, and correspondence must also be retained.</p>	<p><b>Record Copy:</b>  <b>Retain 2 years from date of hire.</b></p> <p><b>Agency Copy:</b>  <b>Retain 6 months.</b></p>	<p><b>Record Copy</b> may be maintained by the DOPLR or by authorized hiring agency.</p> <p>Confidential under AS 39.25.080.</p> <p>Retention Authority:                  2 AAC 07.113</p> <p>6 AAC 30.840 (Human Rights Commission) requires 2-year retention of recruitment records. If EEO action is initiated, retain agency copies 1 year after settlement.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<b>103</b>	<p><b>Unsolicited Employment Inquiries:</b></p> <p>This records series consists of inquiry communications (letter/e-mail), resumes, and applications from individuals interested in state employment. May include agency response.</p>	<p><b>Record Copy: Retain 6 months.</b></p>	<p><b>Agency administers Record Copy.</b></p>
<b>104</b>	<p><b>Position Control Number (PCN) Files:</b></p> <p>PCNs are assigned by the DOPLR for the classified and partially-exempt service. This records series includes: job/position descriptions, classification actions, requests for reclassification, allocation memos, flex training plans, correspondence, and other historical accounts of PCN's and job classes.</p>	<p><b>Record Copy: DOPLR retains for classified, partially exempt, &amp; exempt positions 10 years after PCN is no longer valid.</b></p>	<p><b>Record Copy</b> of PCN Files is administered by DOPLR.</p> <p>The Employee Planning &amp; Information Center administers <b>Record Copy</b> for classified and partially exempt position records not in the electronic <i>Online Position Description System</i>.</p> <p>DOPLR Service Centers administer <b>Record Copy</b> for exempt positions.</p> <p>Agencies do not maintain copies of PCN files.</p> <p>These files do not contain confidential information.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

Item No.	Records Series & Description	Retention & Disposition	Remarks
<p><b>105</b></p>	<p><b>Employee Training Records-- Hazardous/Toxic Substances &amp; Blood-Borne Pathogens:</b></p> <p>Includes: training material, attendance records, correspondence, and documentation of training in proper use and handling of hazardous substances. Refer to appropriate <i>Code of Federal Regulations (CFR)</i> section for documentation required to meet compliance standards.</p> <p><b>Note:</b> Agency maintains list of employees who handle hazardous substances.</p>	<p><b>Record Copy: Retain 10 years after employee terminates.</b></p>	<p><b>Record Copy</b> is maintained by agency.</p> <p>When medical conditions are at issue in workers' compensation or personal injury lawsuits, the <i>discovery</i> rule often applies. This rule provides that rather than the standard 2 year statute of limitations, the rule is 2 years from the date when a person reasonably should be on notice that they have a potential claim. This rule operates to extend the statute of limitations considerably.</p> <p>AS 18.60.066 [Employee Safety Education Programs]                  29 CFR 1910.1001 [Asbestos] 29 CFR 1910.1030 [Blood-borne Pathogens] 29 CFR 1910.1200 [Employee Training]</p>
<p><b>106</b></p>	<p><b>Hazard Communication &amp; Material Safety Data Sheets:</b></p> <p>This records series documents compliance with OSHA regulations regarding hazardous chemicals received by an agency. Consists of information relating to comprehensive hazard communication programs, including container labeling/warning information; and, material safety data sheets, which list chemical name, description, composition, intended use, flash point, transportation, hazards, safe handling, extinguishing methods, and related documentation. Material Safety Data Sheets document usage of a hazardous chemical in the workplace and must be readily accessible to staff during each work shift. [Refer to Item #107 for Records Pertaining to Actual Exposure of Employees to Hazardous Substances.]</p>	<p><b>Record Copy: Retain 30 years.</b></p>	<p><b>Record Copy</b> maintained by agency receiving chemicals.</p> <p>29 CFR 1910.1200 [Hazard Communication Standard]                  29 CFR 1910.1450 [Hazardous Chemicals]</p> <p>Under 29 CFR 1910.1020c(5) material safety data sheets constitute an "employee exposure record."</p> <p>Under 8 AAC 61.1110 (Additional Hazard Communication Standards), each employer shall have a data sheet for each physical agent present in the employer's workplace</p>

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**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>107</b></p>	<p><b>Employee Medical Records:</b></p> <p>This records series consists of medical records of employees who may have or did come into contact with blood or other potentially hazardous materials (e.g. asbestos). Documents include: copy of on-the-job accident or illness reports, medical reports, hepatitis B vaccination status, results of examinations, a copy of the healthcare professional's written opinion, a list of complaints which may be related to the exposure, Workers' Compensation forms/correspondence, <i>Certification of Health Provider</i>, a copy of information transmitted to healthcare professional, and other information regarding an employee's medical history.</p> <p>May also consist of data relating to the exposure or possible exposure of an employee to a blood-borne pathogen, contagion, radiation and chemicals above acceptable limits or dosage including: statistical analyses, incident reports, material safety data sheets, copies of reports, risk management assessments, and other necessary data to support the possibility of exposure.</p> <p>Refer also to:                      #107a: Report of Occupational Injury or Illness                      #107b: ADA Accommodation Records                      #107c: FMLA/AFLA Files                      #107d: Drug Test Records</p>	<p><b>Record Copy: DOPLR retains 30 years after employee terminates.</b></p> <p><b>Agency Copy [classified, partially exempt, &amp; non-permanent employees]: Retain 1 year after employee terminates.</b></p>	<p>DOPLR Service Center maintains <b>Record Copy</b> medical files for <i>current</i> employees.</p> <p>DOPLR Employee Planning &amp; Information Center maintains <b>Record Copy</b> for separated classified and partially exempt employees for 30 years after employee terminates employment.</p> <p>DOPLR Service Center maintains <b>Record Copy</b> for <i>separated</i> exempt staff for 30 years after employee terminates employment.</p> <p>These records are administered separately from an employee's employment history file.</p> <p>Confidential under AS 39.25.080.</p> <p>Retention Authority:                      29 USC 657 [OSHA Recordkeeping];                      29 CFR 1904.2 [OSHA Recording &amp; Reporting Occupational Injuries &amp; Illnesses];                      29 CFR 1910.1020 [Occupational Safety &amp; Health Standards]</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
107a	<p><b>EMPLOYEE MEDICAL RECORDS</b>  <b>Report of Occupational Injury or Illness:</b></p> <p>Reports for on-the-job accidents or illnesses that are forwarded to Statewide HR Operations in the DOPLR and the state insurance fund for worker's compensation or disability benefits claims.</p> <p>Refer to Item #107, Employee Medical Records related to hazardous substance exposures.</p>	<p><b>Record Copy:</b>  <b>Division of Workers' Compensation &amp; Division of Risk Management.</b></p> <p><b>Agency Copy:</b>  <b>Retain 1 year after employee terminates.</b></p>	<p>The Division of Risk Management administers <b>Record Copy</b> Claim Files for 7 years after claim is settled and all legal issues are resolved.</p> <p>The Division of Worker's Compensation administers <b>Record Copy</b> Case Files for 40 years.</p> <p><b>Note:</b> Do not file copies in employee's personnel file; copies should be placed in the employee medical file.</p>
107b	<p><b>EMPLOYEE MEDICAL RECORDS</b>  <b>ADA Accommodation Records:</b></p> <p>This records series documents the agency's reasonable accommodation and provisions for its employees with disabilities in compliance with the ADA. Includes: employee requests, medical information, engineering and design plans, complaint and labor relations documentation, and related correspondence.</p>	<p><b>Record Copy:</b>  <b>DOPLR retains 6 years after employee terminates.</b></p> <p><b>Agency Copy:</b>  <b>Retain 3 years.</b></p>	<p>ADA: Americans with Disabilities Act of 1990</p> <p>DOPLR Service Center maintains <b>Record Copy</b> ADA files for <i>current</i> employees.</p> <p>Under 29 CFR 1602.14 these records must be retained for one year from date record made or personnel action taken, whichever is later.</p>

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**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
107c	<p><b>EMPLOYEE MEDICAL RECORDS FMLA/AFLA Files:</b></p> <p>The FMLA and AFLA are designed to assist employees balance the demands of their jobs and the needs of their families. This records series consists of basic payroll and identifying employee data, pay documentation, dates FMLA leave is taken, copies of Family Leave qualification determinations, dispute data, medical certifications, written statements, correspondence, and other backup material.</p> <p><b>FMLA:</b> <i>Family &amp; Medical Leave Act of 1993</i> <b>AFLA:</b> <i>Alaska Family Leave Act</i></p> <p>Confidential under AS 39.25.080.</p>	<p><b>Record Copy: DOPLR retains 30 years after employee terminates.</b></p> <p><b>Agency Copy: Retain 3 years after employee terminates.</b></p>	<p>DOPLR Service Center maintains <b>Record Copy</b> FMLA/AFLA files for <i>current</i> employees.</p> <p>DOPLR Employee Planning &amp; Information Center maintains <b>Record Copy</b> for <i>separated</i> classified and partially exempt employees for 30 years after medical leave use or after employee terminates employment.</p> <p>DOPLR Service Center maintains <b>Record Copy</b> for <i>separated</i> exempt staff for 30 years after medical leave use or after employee terminates employment.</p> <p>These records are administered separately from an employee's employment history file.</p> <p>Although 29 CFR 825.500 stipulates a 3 year retention, the DOPLR will administer 30 years along with the rest of the medical files.</p>

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**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
107d	<p><b>EMPLOYEE MEDICAL RECORDS</b>  <b>Drug Test Records:</b></p> <p>This records series consists of the positive or negative results of a drug test under the <i>Drug Free Workforce Act</i> or as required for a Commercial Driver License (CDL) or other drivers under USDOT regulations. Includes: pre-employment screening and background checks, copy of signed acknowledgement form for CDL employees, copies of required medical cards, documents generated in decisions to administer reasonable suspicion or post-accident testing and verifying medical data; employer's copy of alcohol test form, including the results of the test; a copy of the controlled substances test chain of custody control form; notice to report for testing; affidavit signed by the employee regarding any prescription drug or over the counter medication usage; work clearance forms; and, correspondence related to employee refusal to take or submit samples for an alcohol and/or controlled substance test.</p>	<p><b>Record Copy:</b>  <b>DOPLR retains 5 years.</b></p> <p><b>Agency Copy:</b>  <b>Retain 1 year after employee terminates.</b></p>	<p>The DOPLR Service Center administers <i>current Record Copy</i>. Transferred to Employee Planning &amp; Information Center after employee terminates.</p> <p>Retention Authority:  49 CFR 382.401 (Controlled Substances &amp; Alcohol Use/Testing)</p> <p>Confidential under the <i>Alaska Constitution</i>, Article 1, Section 22.</p>

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**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>108</b></p>	<p><b>EEO &amp; Affirmative Action Complaint Files:</b></p> <p>Consists of EEO and affirmative action complaints, departmental actions, correspondence, and investigative materials.</p>	<p><b>Record Copy: DOPLR retains for 10 years after case is closed</b></p> <p><b>Agency Copy: Retain 5 years after complaint has been closed</b></p>	<p>DOPLR Office of Equal Employment Opportunity administers the <b>Record copy</b> of Complaint Case Files for 10 years after the case is closed.</p> <p>Confidential under AS 18.80.115.</p>
<p><b>109</b></p>	<p><b>Grievance Case Files (Agency Level):</b></p> <p>Consists of grievances filed by employees against an agency which are responded at the agency level. Resolution documentation includes: investigative notes, reports, correspondence, and decisions.</p>	<p><b>Agency Copy: Retain 5 years after resolution &amp; execution of any stipulations.</b></p>	<p><b>Agency administers Record Copy.</b></p> <p>Confidential under AS 39.25.080; AS 23.40.245.</p> <p>Copies of all written contract grievances are forwarded to DOPLR; however, Labor Relations does <b>not</b> maintain records of grievances resolved at the <b>Agency</b> level.</p>



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**#100.3**

**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
<p><b>110</b></p>	<p><b>Background/Security Checks:</b></p> <p>This records series consists of background/security checks for potential new hires and promotions. These checks include: background and driver’s license screening, reference check, APSIN/NCIC checks, verification of academic standing, notices of not being hired based on the outcome of a security check and rebuttal documentation, fingerprint cards, copy of driver’s license, copy of transcript release form, and returned form reference letters.</p>	<p><b>Record Copy:</b>  <b>Retain</b>  <b>3 years</b>  <b>after</b>  <b>employee</b>  <b>terminates.</b></p> <p><b>Agency Copy:</b>  <b>Retain</b>  <b>3 years</b>  <b>after</b>  <b>employee</b>  <b>terminates.</b></p>	<p>The DOPLR Special Recruitment Unit processes backgrounds for the Departments of Corrections and Public Safety. The Alaska Police Standards Council retains background forms (F-3) and related data for 20 years.</p> <p>Civil litigation for personal injuries statute of limitations is 2 years to file a lawsuit. Oftentimes the lawsuit is not served for another 90 days or more after filing. Background/Security Checks information is important if an unsuccessful applicant or an applicant given a conditional offer of employment challenges the employment decision in a lawsuit.</p> <p>Confidential under the <i>Alaska Constitution</i>, Article 1, Section 22.</p>
<p><b>111</b></p>	<p><b>Ethics Disclosure Forms:</b></p> <p>Consists of certain disclosures required by the <i>Alaska Executive Branch Ethics Act</i>, AS 39.52. All public officers must disclose certain gifts and interests in grants, contracts, leases and loans awarded, executed or administered by the agency the officer serves. Public employees must disclose compensated outside employment and services and any volunteer activities that may conflict with official duties. Each designated ethics supervisor reviews and approves or disapproves the disclosure.</p>	<p><b>Record Copy:</b>  <b>DOPLR retains</b>  <b>original</b>  <b>ethics disclosure</b>  <b>form</b>  <b>for</b>  <b>50 years.</b></p> <p><b>Ethics Supervisors:</b>  <b>Retain copy of</b>  <b>ethics disclosure</b>  <b>form and related</b>  <b>determination</b>  <b>for</b>  <b>3 years.</b></p>	<p>Original forwarded to the DOPLR for placement in the Individual Personnel File. Refer to Items 100/101.</p> <p>Disclosure provisions: AS 39.52.130, .150, .170. Board or commission member disclosures, ethics files and reports may be maintained by the executive director or other support personnel.</p> <p>Regulatory Authority: 9 AAC 52, Executive Branch Code of Ethics.</p>

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**PERSONNEL ADMINISTRATION RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
112	<p><b>Ethics Files:</b></p> <p>Consists of ethics supervisors general files containing formal or informal notification of potential violations and requests for ethics determinations, investigation materials, if any, and related determinations for advice. Also includes: requests for advisory opinions to the Attorney General and the related advisory opinions request, requests for waivers and decisions, complaint and hearing documentation.</p>	<p><b>Record Copy: Ethics supervisors retain ethics files for 5 years.</b></p> <p><b>Retain records related to complaints referred by the attorney general for 5 years after the matter has been resolved.</b></p>	<p>Regulatory Authority: 9 AAC 52.110. Under (b) designated supervisors shall segregate confidential material from other ethics file material that is available for public inspection.</p> <p>Confidentiality may be provided under AS 39.52.240, .260, .340 &amp; 9 AAC 52.140, .160.</p>
113	<p><b>Ethics Reports:</b></p> <p>Consists of quarterly reports and statistical summaries submitted to the Attorney General.</p>	<p><b>Record Copy: Ethics supervisors retain ethics reports for 3 years.</b></p>	<p>Retention Authority: Required by AS 39.52.260.</p> <p>Confidential under AS 39.52.260(c).</p> <p>The Department of Law also retains <b>Record Copy</b>.</p>

**GENERAL ADMINISTRATIVE RECORDS RETENTION SCHEDULE**  
**#100.3**  
**INFORMATION TECHNOLOGY RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
120	<p><b>Feasibility Study Reports:</b></p> <p>These reports document the analysis of information management problems to determine effective operational, economical and technical solutions and include data collection material such as: logs, time studies, interview notes, questionnaires, computer printouts, requirements analysis documents, and related correspondence.</p>	<p><b>Record Copy: Retain for 4 years after successful implementation or following an audit, whichever is later.</b></p>	<p><b>Agency administers Record Copy.</b></p>
121	<p><b>Systems Analysis &amp; Design Documentation:</b></p> <p>This records series documents the examination of an IT problem and the creation of its solution. Includes: logs, time studies, interview notes, questionnaires, computer printouts, diagrams, wiring schemas, workflow documents, computations, correspondence, and other documents related to systems analysis and design.</p>	<p><b>Record Copy: Retain for 5 years after successful implementation.</b></p>	<p><b>Agency administers Record Copy.</b></p>
122	<p><b>Testing Data:</b></p> <p>These filesets document programmer and user testing processes created prior to implementation of a new or revised application.</p> <p>Contains a sample of every category of valid data as well as many invalid conditions as possible and includes: test programs/scripts with their results, instructions, routines, validity checking and verification data, user acceptance tests, and other test documentation.</p>	<p><b>Record Copy: Retain for 1 year after successful implementation.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**#100.3**  
**INFORMATION TECHNOLOGY RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
123	<p><b>Program Source Code &amp; Programmer Documentation:</b></p> <p>This records series consists of programming statements and instructions that are written by a programmer, and convertible into machine language by compilers, assemblers or interpreters; and, other documentation the programmer utilizes for application implementation. May also include: data systems/file specifications, codebooks, file layouts, and output specifications.</p>	<p><b>Record Copy: Retain for 2 years after successful implementation.</b></p>	<p><b>Agency administers Record Copy.</b></p>
124	<p><b>Program (User) Documentation &amp; Training Materials:</b></p> <p>Includes: user guides, notes, computations, reports, computer printouts, data systems/file specifications, codebooks, file layouts, output specifications, brochures, and other end user material regarding the use of an application.</p>	<p><b>Record Copy: Retain for 1 year after the system is no longer operational. As materials are updated, retain previous version for 1 year following update.</b></p>	<p><b>Agency administers Record Copy.</b></p>
125	<p><b>IT General Documentation File:</b></p> <p>Documentation includes: usage/inventory reports, application software licenses/agreements, security information, disaster recovery/backup procedures; and, Worldwide Web page data, statistics, and other development materials utilized in the creation and maintenance of Agency Internet site.</p>	<p><b>Record Copy: Retain until documentation is obsolete, superseded or administrative need is met.</b></p> <p><b>Retain application software licenses and agreements for six years after termination.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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**#100.3**  
**INFORMATION TECHNOLOGY RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
126	<p><b>Post Implementation Evaluation Reviews &amp; Reports:</b></p> <p>Assessments conducted following the completion of each IT project that address operational problems (whether the project met proposed objectives, was completed within the anticipated time and budgetary constraints, and achieved the proposed benefits). Includes: surveys, gap analysis checklists, third party recommendations, and auditor comments.</p>	<p><b>Record Copy: Retain for 5 years after successful implementation.</b></p>	<p>Agency administers <b>Record Copy.</b></p>
127	<p><b>IT Asset Audits (Inventories):</b></p> <p>Consists of information used to accurately locate and monitor software assets of the agency, including: analyses, reports, reviews, listings, logs, risk assessment documents, and other software-audit tool outputs.</p>	<p><b>Record Copy: Retain for 4 years, the inventory is superseded, or the asset is no longer operational/owned by the Agency, whichever is later.</b></p>	<p>Agency administers <b>Record Copy.</b></p>
128	<p><b>IT Access Authorizations:</b></p> <p>Records documenting the issuance or selection of passwords, personal identity management, security administration, and monitoring of an agency network. Consists of network administration/user passwords, VPN requests, user/customer acknowledgements, computer change requests, remote access agreements, web filtering waivers (request for blocked internet sites), temporary/permanent firewall access requests, and profiles. Forms contain appropriate Department sign-offs.</p>	<p><b>Record Copy: Retain 4 years after employee no longer has access.</b></p>	<p>Agency administers <b>Record Copy.</b></p> <p>Enterprise Technology Services may also administer <b>Record Copy.</b></p> <p>VPN: Virtual Private Network</p>

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**#100.3**  
**INFORMATION TECHNOLOGY RECORDS**

<b>Item No.</b>	<b>Records Series &amp; Description</b>	<b>Retention &amp; Disposition</b>	<b>Remarks</b>
129	<p><b>Change, Configuration &amp; Release Management Records:</b></p> <p>These records documents the steps project teams complete to assess and address impacts on users of changes brought about by new systems. As agencies implement new tools, technologies and business processes, it is important that minimal disruption to ongoing operations occurs. Includes: objectives; committee meeting agendas/minutes; request for change submittals; change log; cost/benefit analyses; process flow diagrams; service level agreements; release package; authorizations; and, planning, tracking, budgetary, milestone, and post-implementation backup.</p>	<p><b>Record Copy: Retain for 5 years after successful implementation.</b></p>	<p><b>Agency administers Record Copy.</b></p>

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