



Department of Education and Early Development
 Division of Libraries, Archives & Museums
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)
 P.O. Box 110525, 141 Willoughby Avenue
 Juneau, AK 99811-0525
 T: (907) 465-2317/2275
 F: (907) 465-2465

STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 275 Schedule No: 08-275.1

DEPARTMENT OF COMMERCE, COMMUNITY AND ECONOMIC DEVELOPMENT
 REGULATORY COMMISSION OF ALASKA (RCA)
 275 - RECORDS AND FILING

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted all records series are nonconfidential under 3 AAC 48.040. This schedule supersedes #83605.

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

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

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

Division Director T.W. Patch	Signature of Division Director <i>Original signature held on file.</i>	Date 8/20/2012
Attorney General/Designee <i>Original signature held on file.</i>	Date 10/8/2012	Commissioner of Administration/Designee <i>Original signature held on file.</i> Date 8/24/2012
State Archivist <i>Original signature held on file.</i>	Date 8/2/2012	Records Analyst <i>Original signature held on file.</i> Date 8/27/2012

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Docket Files</p> <p>This series is the official record of all proceedings of the RCA and contains filings, pleadings, orders, correspondence, and related materials. Hearing records, tapes, cd's, transcripts, exhibits. Also includes formal complaints under 3 AAC 48.130; Registration files under 3 AAC 52.358; and Provisional Certification files under 3 AAC 52.720.</p> <p>Arranged by docket number.</p>	H	C+30	Y	C = Until docket is closed.
<p>001.2 - Docket Files of Historical Importance</p> <p>This series is the official record of all proceedings of the RCA and contains filings, pleadings, orders, correspondence, and related materials. Hearing records, tapes, cd's, transcripts, exhibits. Also includes formal complaints under 3 AAC 48.130.</p> <p>This series only contains records determined by the RCA to have permanent historical value.</p> <p>Arranged by docket number.</p>	H	PA	Y	Docket Files determined to have permanent historical importance will typically comprise less than 15% of all docket files.
<p>002 - Open Pipeline Dockets</p> <p>Refer to item #001.1 or #001.2 for file contents.</p> <p>Arranged by docket number.</p>	H	T	Y	T = Upon closure, the file is withdrawn from the records center and goes through a formal closing procedure. The file then becomes item #001.1 or #001.2.
<p>003 - Docket Books</p> <p>This series consists of the log pages for each docket proceeding which records the docket number, title, beginning date, nature of the proceeding, dates of all filings and orders, and judicial cross reference to the order book.</p> <p>Arranged in numerical order by docket number.</p>	H & D	PO	Y	<p>Docket books are created annually. Used as a daily reference.</p> <p>Prior to 1985 administered only on paper.</p> <p>Prior to 2007, electronic versions are created in MS Word or Word Perfect.</p> <p>Beginning in 2007, electronic versions are created in the database. Hard copies are printed for reference at the time of archiving.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
---	---	---

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>004 - RCA Orders (Originals)</p> <p>This series consists of all original orders issued by the RCA. Orders are numbered as they relate to a particular docket and are bound in books chronologically. Copies are filed in the related docket file.</p>	H	PO	Y	
<p>005 - Draft Orders and Draft Letter Orders</p> <p>This series consists of draft documents which contain initialed action by the Commissioners.</p> <p>Arranged chronologically.</p>	H	CY+5		
<p>006.1 - Company Records (Company Files)</p> <p>Company files consist of general correspondence and miscellaneous reports of the regulated companies. Regulated companies are required to file an annual report on a form prescribed by the RCA.</p> <p>Arranged alphabetically by company.</p>	H	CY+14		
<p>006.2 - Company Records (Company Annual Reports)</p> <p>Company files consist of general correspondence and miscellaneous reports of the regulated companies. Regulated companies are required to file an annual report on a form prescribed by the RCA.</p> <p>Arranged alphabetically by company.</p>	H	CY+14		
<p>007 - Public Meeting Materials</p> <p>This series documents the public meetings held by the Commission and serves as the formal record of each meeting. No other formal minutes are kept. CDs are made of all public hearings, and may or may not be fully transcribed.</p> <p>Arranged chronologically.</p>	H	PA		<p>Recordings prior to 2006 are on tape, use of CD-ROM's began in 2006.</p> <p>Off site recordings may include either tapes or CD-ROM's.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
---	---	---

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>008 - Daily Mail Sheets</p> <p>Daily listing of all incoming and outgoing documents filed with or sent by the Commission.</p> <p>Arranged chronologically.</p>	H & D	CY+14		<p>Administered in the database.</p> <p>Daily Mailsheets have been maintained in the database since June 1, 2007</p>
<p>009 - Certificates of Public Convenience and Necessity</p> <p>The RCA issues certificates of public convenience and necessity (with appendices of service area) to qualified utilities and pipeline carriers. A certificate essentially acts as a license to operate and details how service providers must conduct business with consumers or shippers concerning rates.</p> <p>Arranged in certificate number.</p>	H	C+10		<p>C = Until name is changed, or utility is bought out by another firm or goes out of business.</p> <p>Original certificate is held by utility; duplicate originals are maintained by RCA. Duplicate originals are maintained in a records center. Boxes are rotated annually.</p>
<p>010 - Power Cost Equalization Files</p> <p>This series documents Commission action regarding the Power Cost Equalization (PCE) program. The Commission is responsible for computing the power costs and resultant state assistance amounts for customers of participating electric utilities. Includes filings, correspondence and memoranda.</p> <p>Arranged alphabetically by utility.</p>	H	C+6		<p>C = Until file is closed.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p align="center">Retention Key</p> <p>A = Until Audit PO = Permanent (Retain in agency office) C = Cut-off event/date S = Until Scanned CY = Current Year T = Transfer CFY = Current Fiscal Year TO = Term of Office PA = Permanent (Transfer to State Archives)</p>	<p align="center">Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p align="center">Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
--	--	--