State of Alaska

RECORDS & INFORMATION MANAGEMENT SERVICE MANUAL

Approved - April 2011

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APPENDICES

1. INTRODUCTION

Welcome to the Records & Information Management Service (RIMS) Manual for the State of Alaska (SoA).

This manual outlines the mission of the RIMS, the scope of the service it provides and provides procedures for all State employees, departmental Records Officers and for the RIMS staff.

2. MISSION STATEMENT

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

3. RECORDS & INFORMATION MANAGEMENT POLICY

Purpose

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

Scope of the Policy

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

Definitions

AS 40.21.150(6) "record" means 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; the term does not include library and museum material developed or acquired and preserved solely for reference, historical, or exhibition purposes, extra copies of documents preserved solely for convenience of reference, or stocks of publications and processed documents;

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

Authority

AS 40.21 (Management and Preservation of Public Records)

4 AAC 59 (Archives and Records Management Service)

Ownership

All records created or received by employees in the course of their employment are the property of the SoA and subject to its control. Employees departing the SoA are required to leave all records for their successors.

Policy

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

- Records must be retained and disposed according to either a specific agency Records Retention Schedule (RRS) or the *General Administrative Records Retention Schedule (GARRS)*. Alaska school districts, local governments and Offices of Commissioner's will adhere to their own RRS.
- Records that are of important historical and research significance must be identified and kept to maintain the corporate memory. Refer to the *Alaska State Archives Appraisal Policy*.
- Departments must ensure that business essential records are managed so that if a disaster was to occur, the records essential to its being able to function are safe, accessible and useable.
- A RRS shall be considered out-of-date if it is more than three years old at which point the RIMS will undertake to update the RRS as soon as it is practical to do so.
- Records must be disposed in an appropriate manner. All sensitive or confidential records should be securely disposed by specialist shredding/recycling companies and should not be disposed of in normal bins. A list of currently approved vendors for this purpose can be found on the RIMS homepage.
- All records will be stored in an appropriate manner i.e. a secure filing cabinet or drawer, properly indexed to enable the easy finding of the records.
- Training shall be provided by the RIMS on at least a semi-annual basis in Juneau and Anchorage and at least on an annual basis in Fairbanks.

Accountabilities

- The overall accountability for the provision of the RIMS is the Commissioner of Education and Early Development.
- The Commissioner of Education is supported in this function by the State Records Manager who will ensure the effective day-to-day management of the RIMS.
- The Chief Executive Officer of each State agency has the responsibility to ensure their agency observes all requirements under AS 40.21.

- Departmental Records Officers are accountable for ensuring that established State policy and procedures relating to records and information management are being followed throughout their department.
- All staff has the responsibility to ensure that the records they create and receive are managed in accordance with this policy, all guidance and procedures as prescribed by the RIMS and in compliance with Federal and State regulations.

Business Essential Records

It is recommended that all records that are identified as being essential to the running of the SoA should be stored in fire-proof safes/cabinets and multiple copies kept in different locations, in preferably different buildings. If business essential records are in an electronic format, a copy should be backed-up and held within off-site storage.

Please refer to the separate *Business Essential Records Manual* found on the RIMS homepage.

Electronic Records

The SoA recognizes the importance of electronic records. As a result of the unique issues related to the management of electronic records, a separate Digital Preservation Strategy and Policy is being prepared.

Records Retention Schedules

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

The ownership of records series will be established to avoid duplication of holdings across departments and agencies. Only the identified owner's copies will be retained to comply with Federal or State requirements or for permanent historical and research value. Duplicate copies will be disposed of once the administrative need for retaining them has been met.

4. SCOPE OF SERVICE

The main focus of the RIMS is to provide a service to the SoA. The service shall be consistent to the fulfillment of the Service's mission as stated in section 2 of this manual. To each of the following, the service provided will be:

State Agencies

Assist with all aspects of records and information management including but not limited to: records retention schedule development, off-site storage for inactive records, disposal of records according to an agency RRS or the GARRS, file system analysis, protection of business essential records, disaster recovery and ensuring that records are kept in the most effective media/format.

Municipalities & School Districts

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

Private Sector

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

5. GOALS & OBJECTIVES

The RIMS will:

- Lead and guide the SoA in matters relating to records and information management to fulfill the mission of the Service and to ensure compliance across the State for all relevant statutes and regulations.
- Serve client agencies in a professional manner.
- Promote records and information management policies, procedures, rules and regulations to all departments through regular training seminars and consultation.
- Provide optimal, efficient and secure off-site storage for inactive records through the use of authorized state Records Centers. Please refer to the RIMS homepage for a list of currently approved Records Centers.
- Provide technical records and information management assistance to local governments, upon request.
- Encourage and allocate resources for professional development and training opportunities for the RIMS staff.
- Review and update retention schedules every three years.
- Promote best industry practice for all records regardless of their format.

6. SERVICE STANDARDS

The RIMS will:

- Respond to enquiries received by fax or email within 24-hours. If the enquiry cannot be completely completed within 24 hours then the enquirer will be provided with an estimated time for when they can expect the request to be completed.
- Approve *Records Transfer Lists* within 24 hours (subject to correct information having been received).

- Approve *Records Transfer Lists (Microfilm)* within one week (subject to correct information having been received).

- Authorize *Records Disposition Authorization* within one week (subject to correct information having been received).

- Issue *Records Disposition Notices* generated by the semi-annual reports to departments before the disposition dates of June 30th and December 31st.

- To post amended Records Retention Schedules online within one week of final approval.

- Provide training at least twice a year in Juneau and Anchorage and at least once a year in Fairbanks.

Departmental Records Officers will:

- Provide final Records Retention Schedule approval within 2 weeks of receiving the schedule for approval.

- Provide approval of a submitted *Records Disposition Notice* within 2 weeks.

7. RECORDS RETENTION SCHEDULES (RRS)

Under AS 40.21 the SoA utilizes two types of records retention schedules: General Records Retention Schedule's e.g. General Administrative Records Retention Schedule *(GARRS); Commissioner General Records Retention Schedule* and agency RRS (both available on the RIMS homepage). The *GARRS* lists common records series found in most offices (e.g. contracts, reading files, meeting minutes etc…) and states the length of time that records are retained for.

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

All schedules are approved and authorized by the chief executive officer/designee of the agency, Attorney General, Commissioner of the Department of Administration, Records Analyst and the State Archivist. Approved schedules allow an office to legally dispose of inactive State records.

Records Retention Schedules:

- Identify all agency-specific records series in an office

- Include electronic information and records captured on paper, microform and other media.

- Establish office retention policies

- Comply with legal retention requirements
- Document confidentiality restrictions
- Fulfill operational retention requirements
- Authorize staff to dispose of records
- Authorize staff to transfer records to Records Centers
- Authorize staff to send records to the Alaska State Archives

Using Retention Schedules

- Become familiar with the records series and descriptions. Know which/when records are eligible for destruction or transfer to a Records Center or to the Alaska State Archives. Please see the examples below of how to use a RRS.
- Become familiar with the *GARRS* at:

www.archives.state.ak.us/pdfs/records_management/gen_admin_rec_retention_schedule.pdf

- Become familiar with your agency RRS at:

www.archives.state.ak.us/records_management/agency_schedules.html

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

Example 1:

Mary in the Department of Administration, Public Defender Agency has some Adult Misdemeanor Case Files in her office from 2009. She looks up her agency RRS (#24910) on the RIMS website and looks through the items on the schedule to see how long they should be retained.

She finds that these files are item 2 on the schedule and that the agency office should only keep the records in their office for one year after the case has been given a court assigned case number. She checks and they were assigned numbers in 2009. She notices that the retention schedule shows that the records are to be transferred to a Records Center for 9 years before they are disposed of after this period of time so she fills in a RTL form and submits this her departmental Records Officer, who reviews the RTL and then sends it to the RIMS to get the transfer approved and to create more space in Mary's office.

Example 2:

John works in the Office of Veteran's Affairs in the Department of Military & Veterans Affairs and he has been tasked with doing an annual clear out of files in the office.

He finds two boxes of old training materials dating back to 1992. He isn't sure if they need to be kept so he checks his agency's RRS (#91800) and he can't find anything so he checks the *GARRS* and finds that they are covered under item 92. He sends the State Archivist an email to ask whether their materials possess historical or research value as advised under the remarks within the schedule. He is told that they don't so he disposes of the records himself.

8. RIMS FORMS

There are a number of standard forms that need to be used in order to undertake a number of procedures identified in this manual.

The most current versions of all standard RIMS forms and the associated instructions can be found on the RIMS homepage.

9. RIMS GUIDANCE DOCUMENTS

The RIMS, on its homepage has made a number of guidance documents available on a number of issues relating to records and information management. These are intended to be quick guides, which will add to the understanding of the topics for all staff across the State and offer practice tools in order to improve the management of records and information across the State.

Guidance is available on, but not limited to:

- Benefits of Recordkeeping
- Records Retention Schedules
- Records Management Guides for New and Departing Staff
- Quick Guide to File Formats
- How to Name Electronic Files and Folders
- Filing and Storing Records

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

10. ELECTRONIC RECORDS

The increasing volume of electronic records poses a considerable challenge for the SoA. There are a number of unique factors to consider when preserving digital content rather than paper such as whether to migrate records to a new platform; refresh content to the same media platform or emulate a current platform but on a different platform that will be more stable into the future.

A Digital Preservation Strategy and Policy is being developed by the RIMS and the Alaska State Archives that will detail a plan to ensure that electronic records are being created, managed and disposed of in a standardized way, using best practice methods that will allow the State to utilize digital information into the future.

10.1 Emails

The SoA email archiving policy can be found at:

http://doa.alaska.gov/ets/messaging/Archiving/policy.html

A Frequently Asked Questions (FAQ) section based on the email archiving policy can be found at:

http://doa.alaska.gov/ets/messaging/Archiving/eMailArchivingFAQ.html

An email archiving video can be found at:

https://evtraining.soa.alaska.gov/login.aspx?ReturnUrl=%2fintroduction.aspx

11. GENERAL STAFF PROCEDURES

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

- Transferring records to a Records Center
- Transferring records to the Alaska State Archives
- Disposing of records
- Accessing stored records

11.1 Transferring Records to a Records Center

1. Prepare the *Records Transfer List (RTL)* in Word or Excel format. Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

Note: RIMS does not accept RTL's in PDF.

2. Send the RTL to your departmental Records Officer for review and approval who will then forward it to the RIMS for approval.

11.2 Transferring Records to the Alaska State Archives

If you have records held in your agency office(s) that you believe should be transferred straight to the Alaska State Archives, follow the procedure below:

1. Check the records series that you want to transfer to the Alaska State Archives against the retention period stated within your agency RRS or general RRS.

2. Prepare the *Transfer of Public Records to the Alaska State Archives* form found on the RIMS homepage.

3. Send this form to your departmental Records Officer for review so that they can get the form authorized and sent to the Alaska State Archives for approval.

11.3 Destroying Records Held in an Agency Office (Disposal by Agency)

When records stored in an office have met State retention requirements in accordance with an approved RRS, an agency may dispose of the records after following the steps below:

1. Verify that records are eligible for destruction under an agency RRS or general RRS. No further authorization is required.

2. Carry out authorized destruction.

Note: Pursuant to the *Personal Information Protection Act* (*PIPA*, HB 65) all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. If agency staff dispose of personal information or confidential records (e.g. onsite shredding) without the use of a contractor or third party, a signed *Records Disposition Authorization* is not required. Electronic media that is cleared, purged, or destroyed must comply with Enterprise Technology Services minimum security requirements.

11.4 Destroying Records Held in an Agency Office (Disposal by a Third Party)

1. Verify that records are eligible for destruction under an agency RRS or general RRS.

2. Prepare the *Records Disposition Authorization (RDA)* form in Word format. Please refer to the template and instructions found on the RIMS homepage for guidance on how to complete the form correctly.

3. Email completed RDA to your departmental Records Officer for review who will then send it to the RIMS for approval.

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

11.5 Destroying Records Not Identified on a Records Retention Schedule

1. Prepare the *Records Disposition Authorization (RDA)* form in Word format. Please refer to the template and instructions found on the RIMS homepage for guidance on how to complete the form correctly.

2. Email completed RDA to your departmental Records Officer for review and approval who will then send it to the RIMS for approval.

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

11.6 Accessing Records Held in a Records Center

1. If you are not currently authorized to request access to records stored in a Records Center, please send the *Records Access Authorization Form* to the Records Center. Please refer to the form found on the RIMS homepage. The head of your agency or division must sign this form. You can, as an alternative, contact your departmental Records Officer who can request access on your behalf.

2. Once authorized, prepare a *Records Reference Request* found on the RIMS homepage for the appropriate location where the records are held or email/fax the following information to the Records Center:

- Specify if request is for a file or box
- Provide the file name
- Provide barcode/box number from the RTL used to transfer the box to the Records Center
- Indicate whether file/carton must be:

a) Delivered

b) Mailed (Certified, DHL, other)

c) Held for pickup

d) Held for review at the Records Center

Fax/email request to either:

Juneau: AAA Archives (907) 780-3672; benc@aaa-moving.com

Anchorage: Alaska Archives (907) 563-7012; bprim@acsalaska.net

11.7 Accessing Records Held in the State Archives

You can contact the States Archives with your enquiry by the following methods:

1. Fill in the e-form found on the State Archives website at:

www.archives.state.ak.us/question_form.html

2. Email your request to archives@alaska.gov

3. Fax your request to (907) 465-2465

4. Phone the State Archives on (907) 465-2270

11.8 Duplicating Microform Held by the RIMS or State Archives

If your agency stores microform with either the RIMS or the State Archives and you need a copy of this microform, follow the following procedure:

1. Prepare the *Microform Duplication Request Form*. Please refer to the form found on the RIMS homepage.
2. Send the completed form by email to the Records Analyst II or fax it to the State Archives at the number at the top of the form.

12. RECORDS OFFICER'S PROCEDURES

The following section contains the procedures that all departmental Records Officers must follow when undertaking the following tasks:

- Transferring records to a Records Center
- Transferring microform to a Records Center
- Transferring microform to RIMS
- Transferring records to the Alaska State Archives
- Disposing of records
- Accessing stored records

12.1 Transferring Records to a Records Center

1. Order standard size storage carton(s) (15"x12"x10") to hold the records that will be transferred to the relevant Records Center.

Note: Plan two storage cartons per file drawer.

2. Purchase boxes from either the Anchorage or Juneau Records Center. Refer to the contracts in section 12 for prices and contact information.

3. Obtain a barcode number for each box. Contact the contractor for barcodes, if necessary.

4. Place a barcode on each carton - there should be no other writing on the box.

5. Remove inactive (paper) files from cabinets to storage carton(s).

Maintain files in same drawer order (alpha, numeric, etc).

Remove all "Pendaflex" or hanging files.

Place 3-ring binders flat in box or remove materials and place in manila folders.

Leave at least 1" of space in the box, to facilitate file pulls.

Leave additional space in boxes if files will be added later and use *OUT* cards.

6. Prepare or review the *Records Transfer List (RTL)* in Word or Excel format. Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

Note: RIMS does not accept RTL's in PDF.

7. Once prepared or reviewed and approved, email completed RTL to the Records Analyst II. If they are absent, forward the completed RTL to the State Records Manager.

8. Approval of the transfer will be emailed to you and the appropriate Records Center.

9. Schedule the transfer after approval has been received by contacting the Records Center for box pickup or arrange with department mailroom staff to deliver boxes to the Records Center.

12.2 Transferring Microform to a Records Center

1. Order standard size storage carton(s) (15”x12”x10”) to hold the microfilm that will be transferred to the relevant Records Center.

2. Purchase boxes from either the Anchorage or Juneau Records Center. Refer to the contracts in section 12 for prices and contact information.

3. Obtain a barcode number for each box. Contact the Records Center for barcodes, if necessary.

4. Place a barcode on each carton - there should be no other writing on the box.

5. Label each reel/fiche with your agency reel number (cross-referenced to section 18 on the *RTL*).

6. Put reels/fiche into the storage box(es) making sure that each box is at least half filled.

7. Prepare the *Records Transfer List (RTL)* in Word or Excel format. Please refer to the RTL template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

Note: RIMS does not accept RTL’s in PDF.

8. Email completed RTL to the Records Analyst II. If they are absent, forward the completed RTL to the State Records Manager.

9. Approval of the transfer will be emailed to you and the appropriate Records Center.

10. Schedule the transfer after approval has been received by contacting the Records Center for box pickup or arrange with department mailroom staff to deliver boxes to the Records Center.

12.3 Transferring Microform to the RIMS

1. Label each reel/fiche with your agency number (cross-referenced to section 18 on *RTL*).

2. Put microform into box(es) to send to the RIMS.

3. Prepare the *Records Transfer List (RTL)* in Word or Excel format. Please refer to the template and instructions found on the RIMS homepage for guidance on how to complete this form correctly.

4. Put the completed *RTL* into the box of microform.

5. Send the box to the RIMS for processing.

6. Approval of the transfer will be emailed to you within one week of the RIMS having received the microform.

12.4 Transferring Records to the Alaska State Archives

1. Prepare the *Transfer of Public Records to the Alaska State Archives* form found on the RIMS homepage. If you have received a form from an Agency, check the form to ensure all the details are correct and that the records are due to be transferred to the State Archives.

2. Sign the form and send it to the State Archivist.

12.5 Disposing of Records Held in a Records Center

1. You will receive Records Disposition Reports for each individual agency within your department where boxes are either due for destruction or for transfer to the State Archives.

2. Send the relevant reports to contacts within the relevant agencies within your department.

3. Agency contacts should make sure that any boxes that should be kept are identified on the report. Any changes to the disposition date should be clearly marked against the relevant box as well.

4. Once all changes have been made to the report, send this back to the RIMS contact that sent you the report.

5. The RIMS will then send you a *Records Disposition Notice* (RDN) that shows the number of boxes being destroyed and lists the boxes on the report that will be kept. This RDN will reflect the changes highlighted by the agency from the recent Records Disposition Report.

6. Issue the RDN's to the relevant agency and have them sign authorization for destruction, extension of retention or transfer to the State Archives and then send this to the RIMS contact that sent you the RDN.

Note: RDN's must be approved and sent to the RIMS within two weeks of being received or that agency's RTL's will not be approved until it has been received by the RIMS.

7. A confirmation of destruction shall be issued to you by the RIMS if the records were allocated to be destroyed.

12.6 Destroying Records Held in an Agency Office (Disposal by Agency)

When records stored in an office have met State retention requirements in accordance with an approved RRS, an agency may dispose of the records after following the steps below:

1. Verify that records are eligible for destruction under an agency RRS or general RRS. No further authorization is required.

2. Carry out authorized destruction.

Note: Pursuant to the *Personal Information Protection Act* (*PIPA*, HB 65) all personal information must be shredded, burned, pulverized, or otherwise rendered unreadable or unusable in accordance with SOA enterprise policies and agency standard operating procedures. If agency staff dispose of personal information or confidential records (e.g. onsite shredding) without the use of a contractor or third party, a signed *Records Disposition Authorization* is not required. Electronic media that is cleared, purged, or destroyed must comply with Enterprise Technology Services minimum security requirements.

12.7 Destroying Records Held in an Agency Office (Disposal by a Third Party)

1. Verify that records are eligible for destruction under an agency *RRS* or general RRS.

2. Prepare the *Records Disposition Authorization (RDA)* form in Word format. Please refer to the template and instructions found on the RIMS homepage for guidance on how to complete the form correctly.

3. Get your Division Director/designee to authorize the RDA by signing the “Division Director” box at the bottom of the RDA.

4. Sign the RDA in the “Departmental Records Officer” box at the bottom.

5. Email completed RDA to the Records Analyst II. If they are absent, forward the completed RDA to the State Records Manager.

6. Approval of the disposition will be emailed to the appropriate Records Officer and the appropriate third party.

7. Schedule disposition after approval has been received by contacting the third party for box pickup or arrange with department mailroom staff to deliver boxes to the third party.

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

12.8 Destroying Records Not Identified on a Records Retention Schedule

1. Prepare the *Records Disposition Authorization (RDA)* form in Word format. Please refer to the template and instructions found on the RIMS homepage for guidance on how to complete the form correctly.

2. Get your Division Director to sign authorization and sign the RDA yourself.

3. Email completed RDA to the Records Analyst II. If they are absent, forward the completed RDA to the State Records Manager.

4. Once final authorization has been received from the RIMS, carry out the authorized destruction.

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

12.9 Accessing Records Held in a Records Center

1. Send a *Records Access Authorization* form, listing all staff, if not already on file that should have the ability to access records in a Records Center. Please refer to the form found on the RIMS homepage.

2. Prepare a *Records Reference Request* form found on the RIMS homepage for the appropriate location where the records are held or email/fax the following information to the Records Center:

- Specify if request is for file or box
- Provide the file name
- Provide barcode number on box from the RTL used to transfer the box to the Records Center
- Indicate whether file/carton must be:

a) Delivered

b) Mailed (Certified, DHL, other)

c) Held for pickup up

d) Held for review at the Records Center

Fax/Email request to a Records Center:

Juneau: AAA Archives (907) 780-3672; benc@aaa-moving.com

Anchorage: Alaska Archives (907) 563-7012; bprim@acsalaska.net

12.10 Accessing Records Held in the State Archives

Please refer to the procedures covered in section 11.7 of this manual.

13. RECORDS & INFORMATION MANAGEMENT SERVICE STAFF PROCEDURES

13.1 Records Being Transferred to a Records Center

1. RTL received by the RIMS by fax or email. Only accept RTL's in Word or Excel format.

2. Open the RIMS database and then open the RTL table.

3. Check the first barcode from section 19 on the RTL on the *1st#* column in the RTL table to ensure no duplication.

4. Find the relevant RRS (hardcopy or electronic copy) as stated on the RTL.

5. Check details on the RTL found in sections 1 – 13b. Make any corrections or if information missing, contact the relevant Records Officer for clarification.

6. Check retention periods are correct by checking the disposition date in section 17 of the RTL form. If incorrect, contact the relevant Records Officer for clarification.

7. In the RTL table, enter the following information:

a) *RTL#* - Enter the RTL number (next sequential number)
b) *Dept.* - Pick the department number required (found on RTL)
c) *ID* - Enter the agency I.D number (found on RTL)
d) *Loc* - Pick the relevant location code (where the records are being transferred to) using the following key:

    A=Anchorage
    J=Juneau
    S=Short Street

e) *Cu. Ft.* - Enter the number of boxes being transferred – check that there are no duplicate boxes listed in section 19 of the RTL.
f) *1st#* - Enter the first barcode number in section 19 of the RTL form.

******* The entry date should be automatically generated by the database *******

8. On the RTL form, in the *Cubic Feet* section, type in the number of boxes detailed in the RTL (each box is 1 cubic feet).

9. Type in the RTL number generated previously in step 7a above onto the RTL form.

10. Type "Approved digitally by [type your name]" followed by the date and time of approval in the box provided in the top right hand corner e.g. Jan. 6, 2011 2:15 p.m.

11. Save the completed RTL to P:\RCenter, in the relevant year's transfer list file. Save the file as the RTL number.

12. If any retention period stated on the RTL is for **more** than 5 years, print a hardcopy and file it under the Agency I.D number and then by RTL number.

13. Send an email with the attached approved RTL to the relevant Records Officer. The subject of the email should be "Approved RTL#[Enter Number]. CC this message to

the relevant Records Center e.g. AAA unless the records are being transferred from the Alaska Housing Finance Corporation (AHFC).

13.2 Microform Being Transferred to the RIMS

1. Microform received into the RIMS.

2. Acknowledge receipt of microform (by email) on same business day of arrival.

3. In the box of microform there should be a completed RTL. If not, request the RTL from the appropriate departmental Records Officer. Only accept RTL's in Word or Excel format.

4. Check the contents of the box received against the RTL by checking:

a) Reel #
b) Records series

5. If the RTL is in hardcopy, convert to PDF by scanning.

6. Open the RIMS database and then open the RTL table.

7. In the RTL table, enter the following information:

a) *RTL#* - Enter the RTL number (next sequential number)
b) *Dept.* - Pick the department number required (found on RTL)
c) *ID* - Enter the agency I.D number (found on RTL)
d) *Loc* - Pick "S"
e) *Film* - Enter the number of film reels/fiche

******* The entry date should be automatically generated by the database *******

8. In the *Cubic Feet* section of the RTL, type in the number of microform reels received in the RTL followed by the letter R e.g. 15R.

9. Type in the RTL number generated previously in step 7a above onto the RTL form

9. In the RIMS database, open the Short Street Row 5B table.

10. Look for blank spaces (rows) within the database to be able to enter the details of the new microform. Refer to the Archive Box Location sheet to ensure close proximity when assigning reel numbers.

11. In the Short Street Row 5B table, enter the following information:

a) *Agency ID #* – Enter the agency number
b) *Transfer List #* - Enter the RTL number generated in step 7a
c) *Series Title* – Enter the Records Series as stated on the RTL/RRS
d) *Inclusive Dates* - Enter the inclusive dates (found on the RTL)
e) *Schedule#* - Enter the RRS number
f) *Disposition Date* – if permanent, enter "1/9999" and change the letter in the column headed *D* from "D" to "P". If it is not marked for permanent retention then leave the

letter as D.

12. Enter the individual RIMS Reel numbers from the *Short Street Row 5B* table to the RTL under section 19 for each of the respective microform.

13. Write/print the RIMS Reel# on a label and attach it to the microform.

14. In the box, on the RTL form, marked “for RM Use”, type “Approved digitally by [enter your name]” followed by the date and time of approval in the box provided in the top right hand corner e.g. Jan. 6, 2011 2:15 p.m.

15. Save the completed RTL to P:\RCenter, in the relevant year’s transfer list file. Save the file as the RTL number.

16. Send an email with the attached approved RTL to the originator of the microform.

17. Print out a copy of the approved RTL and file the hardcopy. These are filed by Agency ID Number and then by RTL number.

18. Look up the Archives Box Location sheet and look for where the reel number as generated from the “Short Street Row 5B” table under the J/K box number column and cross reference this to a row, unit and shelf number.

19. Fill in a transmittal slip with the row, unit and shelf number and attach this to the box of microfilm.

20. Put the box of microfilm in the Library Assistant I’s inbox.

13.3 Disposing of Records Held in a Records Center

The majority of the records that will be disposed of using this procedure will be triggered by the semi-annual report, requested by the RIMS and generated by the Records Centers in Juneau and Anchorage. This is a report that lists all records that should be destroyed or transferred to the State Archives as at June 30th or December 31st of that year.

Stage 1: Preparation

1. Request the disposition report, seven weeks prior to the disposition date of June 30th or December 31st. Also request a report, which states files/boxes that have been removed from the Records Center and not returned for more than six months.

Note: The rest of this procedure relates to the disposition reports only

2. The RIMS receives the reports.

3. For the individual agency, retrieve the version of the RRS as stated on the report. The RRS stated on the report could be the current RRS or one that has been superseded.

4. If the RRS version as stated on the report is not the current RRS, retrieve that also to ensure that the correct retention period is being used and that the records in the report are due to be disposed of.

5. Retrieve the associated RTL for the records stated on the report.

6. Annotate any changes on the report i.e. mark down the number of the current RRS if the one on the report has been superseded, incorrect RTL used, item numbers may have changed between versions of RRS, disposition date if retention period has changed.

   If the box should be destroyed, then mark "D" beside the disposition date and if the box is to be transferred to the State Archives, mark "TA" beside the disposition date.

   If all the boxes have their disposition date extended due to changes in the agency RRS, email the report showing these changes directly to the Records Center and do not email the agency with those changes.

7. Scan the report if in hardcopy and save it in the appropriate Disposition Report folder.

Stage 2: Division / Agency Feedback

8. Email the report to the appropriate Records Officer for changes/approval by their Division Director. Email using the prescribed template in Outlook.

9. To open the template in Outlook, choose *Tools > Forms > Choose Forms...*

10. Look In: *User Templates in File System* and choose *AAA Archive RDN# for approval* (for records held by AAA Archives) or *RDN# for approval* (if records held by Alaska Archives).

Note: All reports must be returned by agencies within one month of them being sent out or RTL's for that agency will be denied until they have been returned.

Stage 3: Gaining Division / Agency Approval

11. Once the report has been received back from an agency showing all changes to the report, open the *RIMS database* and open the *Dispositions* table.

12. In this table, enter the following information:

a) *Disposition Number* – this is a sequential number followed by a letter denoting the contractor responsible for the disposition. Please see key below:

   A=Alaska Archives (Anchorage)
   J=AAA Archives (Juneau)

b) *I.D.* - Enter agency I.D number
c) *Contact* – pick your name
d) *Department* – pick the department (found on RTL)
e) *Division* – pick the division (found on RTL)
f) *Agency* – enter the agency name (found on RTL)
g) *Action* – pick the "Destruction" or "Transfer to Archives"
h) *Confidentiality* – pick the relevant statute (found on RRS)
i) *Action Date* – enter the date of the report or the date when the RDA form was submitted.
j) *Cu. Ft.* – enter the total number of boxes being destroyed or transferred

13. In the RIMS database, go to *Macros*.

14. Select *Print Disposition*.

15. Enter the Disposition Number generated in step 13a.

16. Skip past *parameter value*.

17. This will print out a *Records Disposition Notice (RDN)*.

18. Convert this RDN along with the annotated report into a PDF file by scanning.

19. Email the RDN to the appropriate Records Officer for approval.

Note: All RDN's must be returned by agencies within two weeks of them being sent out or RTL's for that agency will be denied until they have been returned.

Stage 4: Undertaking Disposal

20. Once approval has been received, send the approved RDN with the final annotated report to the appropriate Records Center for disposal.

21. If any boxes are scheduled to be transferred to the State Archives, send a copy of the RDN and final annotated report to the Archivist II.

22. Wait for the confirmation of destruction to be received from the Records Center.

Stage 5: Updating Records

23. Scan the confirmation of destruction if in hardcopy.

24. Once confirmation has been received, file a copy of the RDN and confirmation into P:\RCenter and then by the appropriate year's disposition file and saved under the RDN number.

25. Send a copy of the confirmation of destruction along with the RDN to the appropriate Records Officer.

26. File the hardcopy of the RDN and the associated RTL (only if the whole RTL is covered by the RDN) into the appropriate filing cabinet.

27. Email a copy of the report with updated disposition dates to the Records Centers for them to update their database.

13.4 Destroying Records Held in an Agency Office (Disposal by a Third Party)

1. Receive the RDA.

2. For the individual agency, retrieve the version of the RRS as stated on the RDA.

3. Check the details in section 1-9.

4. Check, using the current RRS that the records are due to be destroyed.

5. If there is any information missing/incorrect, ask the Records Officer to re-send the RDA with all necessary corrections.

6. Open the RIMS database and open the *Dispositions* table.

7. In this table, enter the following information:

a) *Disposition Number* – this is a sequential number followed by a letter denoting the contractor responsible for the disposition. Please see key below:

   A=Alaska Archives (Anchorage)   R=REACH
   J=AAA Archives (Juneau)

b) *I.D.* - Enter agency I.D number
c) *Contact* – pick you name
d) *Department* – pick the department (found on RTL)
e) *Division* – pick the division (found on RTL)
f) *Agency* – enter the agency name (found on RTL)
g) *Action* – pick the “Destruction” or “Transfer to Archives”
h) *Confidentiality* – pick the relevant statute (found on RRS)
i) *Action Date* – enter the date of the report or the date when the Records Disposition Authorization form was submitted.
j) *Cu. Ft.* – enter the total number of boxes being destroyed or transferred

8. On the RDA form, enter the RDA number generated in step 7a into the shaded “Disposition Authorization Number” section.

9. Print out and pass the RDA to the State Archivist for approval.

10. Once approved by the State Archivist, save the PDF file to P:\RCENTER into the relevant year’s disposition list folder and then by the RDN number.

11. Send a copy of the approved RDA to the Records Officer.

13.5 Destroying Microform Held at Short Street

The majority of the records that will be disposed of using this procedure will be triggered by the RIMS on an annual basis by generating a report in January.

Stage 1: Preparation

1. For the individual agency, retrieve the version of the RRS as stated on the report. The RRS stated on the report could be the current RRS or one that has been superseded.

Note: The RIMS does not have access to specific local government RRS, so step 1 will normally be undertaken for State agencies only.

2. If the RRS version as stated on the report is not the current RRS, retrieve that also to ensure that the correct retention period is being used and that the records in the

report are due to be disposed of.

3. Retrieve the associated RTL for the records stated on the report.

5. Annotate any changes on the report i.e. mark down the number of the current RRS if the one on the report has been superseded, incorrect RTL used, item numbers may have changed between versions of RRS, disposition date if retention period has changed.

Stage 2: Division / Agency / Local Government Feedback

6. Email the report to the appropriate Records Officer or local government contact person for changes/approval.

Note: All reports must be returned within one month of them being sent out or RTL's for that agency will be denied until they have been returned.

Stage 3: Gaining Approval

7. Open the RIMS database and open the *Dispositions* table.

8. In this table, enter the following information:

a) *Disposition Number* – this is a sequential number followed by a letter denoting the contractor responsible for the disposition. Please see key below:

A=Alaska Archives (Anchorage) R=REACH
J=AAA Archives (Juneau)

b) *I.D.* - Enter agency I.D number
c) *Contact* – pick you name
d) *Department* – pick the department (found on RTL)
e) *Division* – pick the division (found on RTL)
f) *Agency* – enter the agency name (found on RTL)
g) *Action* – pick the "Destruction" or "Transfer to Archives"
h) *Confidentiality* – pick the relevant statute (found on RRS)
i) *Action Date* – enter the date of the report or the date when the Records Disposition Authorization form was submitted.
j) *Cu. Ft.* – enter the total number of boxes being destroyed or transferred

9. In the RIMS database, go to *Macros*.

10. Select *Print Disposition*.

11. Enter the Disposition Number generated in step 8a.

12. Skip past *parameter value*.

13. This will print out a RDN.

14. Convert this RDN along with the annotated report into a PDF file by scanning.

15. Save this to P:\RCenter in the relevant year's disposition list folder and then by

disposition number.

16. Email this PDF file to the relevant Records Officer or local government contact person for approval. Email using the template found in Outlook.

17. To open the template in Outlook, choose *Tools > Forms > Choose Forms…*

18. Look In: *User Templates in File System* and choose *AAA Archive RDN# for approval* (for records held by AAA Archives) or *RDN# for approval* (if records held by Alaska Archives).

Note: All RDN's must be returned within two weeks of them being sent out or RTL's for that agency will be denied until they have been returned.

Stage 4: Undertaking Disposal

19. Once approval has been received, issue a request to the Library Assistant I to retrieve the microform.

20. Once the microform has been retrieved, send the approved RDN with the microform to the appropriate contractor for disposal.

21. Wait for the confirmation of destruction to be received from the contractor.

Stage 5: Updating Records

22. Scan the confirmation of destruction.

23. Once confirmation has been received, file a copy of the RDN and confirmation into P:\RCenter and then the appropriate year's disposition file and saved under the RDN number.

24. Send a copy of the disposition confirmation along with the RDN to the appropriate Records Officer or local government contact person.

25. File the hardcopy of the RDN and the associated RTL (only if the whole RTL is covered by the RDN) into the appropriate filing cabinet.

13.6 Destroying Records Not Identified in a Records Retention Schedule

1. The RIMS receives a completed RDA form. Make sure that both the Division Director and the Records Officer has signed their authorization.

2. Check the details in section 1-9 of the RDA. If there is any information missing/incorrect, ask the Records Officer to re-send the RDN with all necessary corrections.

3. Open the RIMS database and open the *Dispositions* table.

4. In this table, enter the following information:

a) *Disposition Number* – this is a sequential number followed by a letter denoting the contractor responsible for the disposition. Please see key below:

A=Alaska Archives (Anchorage)
J=AAA Archives (Juneau)
R=REACH

b) *I.D.* - Enter agency I.D number
c) *Contact* – pick you name
d) *Department* – pick the department (found on RTL)
e) *Division* – pick the division (found on RTL)
f) *Agency* – enter the agency name (found on RTL)
g) *Action* – pick the "Destruction" or "Transfer to Archives"
h) *Confidentiality* – pick the relevant statute (found on RRS)
i) *Action Date* – enter the date of the report or the date when the Records Disposition Authorization form was submitted.
j) *Cu. Ft.* – enter the total number of boxes being destroyed or transferred

5. Send the RDA to the Attorney General, Commissioner of Administration and State Archivist to sign approval for the disposal.

6. Once approved, email the approved RDA to the relevant Records Officer and the appropriate contractor (as stated on the RDA).

Ask the Records Officer if the records being destroyed are going to be an ongoing records series or if it is for one time only. If it is going to be an on-going records series, it is a good opportunity to review the RRS of the agency and have these new records series added to the RRS.

13.7 Records Retention Scheduling

The process of updating a RRS is usually started by one of four events:

a) An agency contacts you looking to update a RRS.
b) A RRS is due for updating due to its being more than three years old and the RIMS is initiating the updating process.
c) An agency is looking to transfer records to a Records Center where that records series is not scheduled for this action based on the current RRS.
d) An agency wants to extend the retention period of records held in a Records Center when they are due for destruction.

These are all good opportunities to initiate the process of updating a RRS if the extension to the retention period is long-term i.e. the records are not to be extended on a one-time basis due to litigation, audit etc...

The following procedure is a guide on how to conduct the process of updating or creating a new RRS:

Stage 1: Initiation

1. The first thing that is needed is a contact name – someone who will be the appointed representative for an agency to work with the RIMS to update the RRS. If a contact person hasn't initiated the process (see point a above), email the appropriate Division

Director using the Outlook Template (Records Retention Schedule Update). At this stage all that is required is a contact name. Give the Division Director two weeks to return this information before contacting them again.

2. Once you have a contact name (either from a Division Director giving you that name or someone has contacted you asking for the RRS to be updated), you can now start the process of updating or creating the RRS.

3. If there is an existing RRS or a draft version already superseding the current RRS, put this into the most recent RRS Template. Please use the latest version of the RRS template. This information to be transferred can be found in the *RRS Data Table* in the RIMS RRS Information Excel spreadsheet. This should be accomplished in the two weeks after the initial email was sent to the Division Director.

4. In the *RRS Data Table*, search the table under the *Series Title* column with the records series titles in the RRS being worked on to ensure that the retention periods being used are consistent across the State.

5. If the agency does not already have a RRS (due to the fact that the agency has just been created or two or more agencies have merged), a new agency ID number will need to be assigned to it. Open the RIMS RRS Information Excel spreadsheet and in the *Current RRS Data Summary* table, create a new ID# (this is the next sequential number) and input the details of the agency. A new RRS number will also need to be generated. For this the first two numbers will represent the department that the agency is in e.g. 5 for Education & Early Development or 20 if the agency is within the Department of Corrections. The last three digits do not have a naming convention but make sure that the number has not already been used.

Stage 2: Developing the RRS

6. Email this template along with the latest version of the template instructions and the RRS Checklist to the contact person. Allow the contact person one month to return a draft schedule.

7. Type any suggested changes, comments on the draft RRS onto the template in red.

8. Once a draft schedule has been received, check the changes to the schedule. Mark any further changes or questions that you have on the template in red or list these in an email to the contact person if relevant.

Note: If there are any changes to the total retention period, ask the agency to provide any documentation relating to this as this is required by the Office of the Attorney General.

9. Send back the template with the comments and allow the contact person two weeks to respond.

Repeat steps 7 and 8 until the RRS is finished to the liking of both the agency and the lead RIMS staff member.

10. Issue the proposed RRS to the State Records Manager for their input and approval.

11. If changes are suggested, repeat steps 7 & 8.

12. Issue the proposed RRS to the State Archivist for their input and approval.

13. If the State Archivist suggests changes, repeat steps 7 and 8 until the RRS is to the liking of the agency, State Records Manager and the State Archivist.

Note: If the RRS is found to be obsolete for any reason e.g. all records series are covered by another RRS or the agency no longer exists, update the *RIMS RRS Information* spreadsheet as follows:

14. In the *Current RRS Data Summary* table:

a) Delete the row for that agency.

In the *RRS Data* table:

a) Delete the entries for that now obsolete RRS.

In the *Obsolete RRS Data Summary* table:

a) *ID#* - enter the agency ID of the now obsolete agency
b) *Department* - enter the department name.
c) *Division* - enter the division name.
d) *Agency* - enter the name of the agency.
e) *Comments* - enter any relevant comments e.g. see ID#10 if the agency has merged with another agency or more than one RRS has been merged or “Covered by RRS#” if the agency still exists but the RRS has become obsolete due to all records series being covered by another RRS.
f) *RRS#* - enter the now obsolete RRS#
g) *Notes* - enter any relevant comments not covered under comments.

Stage 3: Gaining Approval

15. Once agreed, send a hardcopy of the proposed RRS to the Attorney General/designee for their signature and to send it back to the RIMS. When sending it, attach the RRS Changes Cover Sheet – this is a quick list of the changes made to the soon to be superseded RRS. If retention periods have changed, please attach supporting documentation provided by the division showing why the retention periods have changed. Email a PDF copy of the proposed RRS to the Office of the Attorney General so they get to see it in advance of the paper copy.

16. If changes are suggested by the Attorney General, contact the agency contact and advise them of the suggested changes and if they are happy to make the suggested changes. If they are, update the RRS template and resend to the Attorney General/designee as per step 15 above. If not then negotiate with the Office of the Attorney General and the agency to get an agreement and then update the RRS template as necessary and resend to the Attorney General/designee as per step 15 above.

17. Once the approved RRS has been received from the Office of the Attorney General, issue the RRS to the agency contact person to get their Division Director/designee to sign their approval and to send it back to the RIMS.

18. Once the signature from the Division Director/designee has been received, send the RRS to the Division Director of the Division of Finance in the Department of Administration for their approval and to send it back to the RIMS. They sign on behalf of the Commissioner of Administration. When sending it, attach the RRS Changes Cover Sheet – this is a quick list of the changes made to the RRS from the soon to be superseded RRS.

19. Once the signature from the Division Director of the Division of Finance has been received, the State Records Manager or Records Analyst II should sign their approval.

20. Once the State Records Manager or Records Analyst II has signed the RRS, the State Archivist should approve the schedule.

Stage 4: Updating Records

21. Once the RRS has been authorized by all parties, scan the schedule and save it as a PDF format and save it beside the Word format copy of the RRS in P:\RCENTER\RM\RM01\RM 01.09 Records Retention Schedules\Current RRS. The RRS should be filed under Department then Division and then by Agency I.D and name with the RRS number e.g. 309AdjutantGeneral'sOffice#90703. Place the superseded RRS in the Obsolete RRS folder.

22. In the *RIMS RRS Information* spreadsheet, update the information held in the *Current RRS Data Summery* table as follows:

a) *RIMS Contact* - delete this entry.
b) *Current RRS#* - enter the RRS number of the now current RRS.
c) *Department* - make sure this is the same as that on the RRS.
d) *Division* - make sure this is the same as that stated on the RRS.
e) *Agency* - make sure this is the same as that stated on the RRS.
f) *From column H (New RRS#) to column S (Notes)* - delete the entries.

23. In the *RRS Data* table, make sure all the information held in this table is the same as on the new RRS.

24. File the original paper copy in the RRS filing cabinet under current schedules and file the superseded schedule in the obsolete file.

25. Contact the division's webmaster regarding replacing the RRS that is on the RIMS homepage.

26. Send a PDF version of the schedule to the appropriate departmental Records Officer.

13.8 Long-Term Email Folder Request

1. A request is received by the RIMS for a staff member(s) to receive a long-term email folder i.e. 25 years, 50 years or permanent.

2. If the request is approved, open Microsoft Outlook.

3. Choose *Tools > Address Book.*

4. In the Address Book drop-down menu, change from *Global Address List* to *All Groups*.

5. Search for *SOA Archive*.

6. Choose the relevant group from the following:

   SOA Archive 25-year Authorized

   SOA Archive 50-year Authorized

   SOA Archive Permanent Authorized

Note: Do not use the groups that have been *Approved QDG.*

7. The authorized group pops up. To change the members of this group, click on *Modify Members...*

8. If you add a member, the global address book will open again and search for the appropriate person to add them to the group.

13.9 Records Audit

On an ad-hoc basis, a records audit of an agency will be required. The RIMS staff will use the Records Audit form and E-Records Audit forms.

13.10 Microform Duplication

1. A *Microform Duplication Request Form* is received for the purpose of creating a duplicate copy of microform held by the RIMS service. This is typically from local government or the Alaska Court System.

2. Send the request to the Library Assistant I who then retrieves the required microform.

3. The Library Assistant I signs and dates the *Pulled By* section of the form at the bottom.

4. The Library Assistant I delivers the requested microform and *Microform Duplication Request Form* to Micrographics staff for duplication. The Library Assistant I indicates on the form at the bottom when and by what method the requester was contacted.

5. Upon delivery, a Micrographics staff member signs and dates the form at the *Checkout Signature* section at the bottom of the *Microform Duplication Request Form*.

6. The Library Assistant II makes a copy of the signed form for the requester and retains the original, which they give to the Library Assistant I. This form is then filed in the appropriate suspense file.

7. Once the microform is returned by Micrographics, the Library Assistant I replaces the microform back in its original location.

8. Once the microform is returned to its original location, the Library Assistant I signs and dates the *Returned Signature* section at the bottom of the form and files the form in the appropriate folder.

13.11 Records Taken Out of a Records Center Longer Than Six Months

When the semi-annual disposition report is requested from the Records Centers, also ask for a report to be sent which lists all boxes that have been removed from the Records Center and have not been put back in the last six months. This report should have the following details on it:

- Agency I.D. number
- Box number taken out
- The RTL number used when the box was sent to the Records Center
- Date when the box was taken out

Send this report to the appropriate departmental Records Officers stating that these boxes have been out for more than six months and that they are still paying for storage on them. If the boxes are not going to be returned, then advise them to tell the Records Center that they have removed the box permanently and this will stop them being billed.

14. RECORDS STORAGE

It is important to ensure that records are kept in adequate storage locations. All records, regardless of the format of the records e.g. electronic records including email, need to be filed in the same system or file plan and retained for the prescribed retention period.

14.1 Active Records Storage

It is important to make sure that the records that you hold in your office are managed in an efficient and effective manner in accordance with all legal requirements, which aids retrieval of information and ensures that information vital to the running of your Agency, is secure.

If you are running out of space within your office, check your Agency's RRS and see if the records can be sent to a Records Center. If they are not scheduled for transfer then it may be time to update the RRS so that they can be, especially if this situation is going to be an ongoing, long-term issue.

Please refer to guidance documents on labeling for active files, file naming conventions and file plan development on the RIMS homepage.

14.2 Inactive Records Storage

Storage space for inactive records is provided through contracted Records Centers in Anchorage and in Juneau. Agencies using these facilities are billed for each box in storage, file/box retrievals, pickups/deliveries, re-files and destruction services.

Both contract records centers in Anchorage & Juneau provide the following:

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

Please refer to the guidance document on labeling for storage boxes on the RIMS homepage.

14.3 Records Center & Shredding Contracts

You can find the AAA Archives & Records Storage contract here:

http://doa.alaska.gov/dgs/cam/pdf/11jnuarc.pdf

You can find the Alaska Archives Inc. contract here:

http://doa.alaska.gov/dgs/cam/pdf/11Archiv_Anc.pdf

You can find the REACH, Inc contract here:

http://doa.alaska.gov/dgs/pdf/ShredTC%27s.pdf

15. RECORDS MANAGEMENT TRAINING

To fulfill its mission, the RIMS will provide training for employees across the SoA. The RIMS will:

1. Provide customized training for Records Officers, divisions and other state agency workgroups as requested.

2. General records training for other SoA employees will be arranged semi-annually in Anchorage and Juneau and annually in Fairbanks in accordance with the RIMS Service Standards.

3. Training topics shall include:

- Definition of Record
- Mission of the Records & Information Management Service
- Goals and objectives of the Records & Information Management Service
- Overview of AS 40.21 & 4 AAC 59

- Benefits of recordkeeping
- Electronic Records Management
- State E-Mail Policy
- Alternative Media Solutions
- Records Retention Scheduling
- RIMS Practices/Procedures
- Standard RIMS Forms

16. ALASKA STATE ARCHIVES

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

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

Both State agency personnel and the general public use the holdings of the State Archives. The archives arrange State government records by agency of origin, not by subject or topic. Patrons complete a *Researcher Registration* form and sign the daily register on their first visit; on subsequent visits, patrons need only to sign the daily register. The archives reference staff assist patrons in determining the nature of their research and suggest appropriate record groups and series for review. Contact the reference desk, archives@alaska.gov or 465-2270 for information.

The State Archives provides a photocopier, microfilm reader/printers and microfilm/microfiche duplication through Central Microfilm Services. Copies of documents, including certification, may be made according to the fee schedule.

17. TECHNICAL AND IMAGING SERVICES

The Central Microfilm Services Unit of LAM Technical and Imaging Services operates a micrographics and digital services lab that provides services to State agencies on a charge-back basis. Micrographics Services include: filming of source documents from check size to full size engineering drawings, film processing, duplication of 16mm and 35mm roll microfilm, microfiche duplication, quality control inspection and technical and operational assistance. Digital services include the production of digital files from existing microfilm, microfiche or paper records and production of archival 16mm roll microfilm from digital files.

Digitization is done in accordance with 4 AAC 59.005(b) unless an agency requests a higher resolution. Files can be output in TIF, JPG, and PDF.

Client agencies are responsible for the arrangement and integrity of the documents prior to microfilming, page by page verification of the final product and transfer of the master microfilm to the storage contractor for security storage. They are also encouraged to prepare documents (sanitize) for microfilming—pulling staples, mending torn or damaged documents and removing redundant copies. Central Microfilm will provide document preparation at the usual hourly rate if requested by the client agency. Typing of microfiche jacket headers and microfilm labels may be done by the requesting agency or by Central Microfilm.

18. MONITORING

It is important for the RIMS to continually monitor the service that it provides to State agencies.

On an annual basis, the RIMS will survey all departmental Records Officers to find out how the previous year in order to assess the performance of the RIMS and the approved contractors.

Based on the findings of this survey, an action plan will be created in order to clarify, improve or develop new services to ensure that the records of the State of Alaska are being managed to the best standard possible.

Key operational statistics shall be kept by the RIMS for monitoring purposes.

APPENDICES

I. GLOSSARY

Active Records	Records that are still used regularly by an agency and need to be retained within the agency office for ease of retrieval.
Authentic	The record is what it purports to be and hasn't been altered.
Business Essential Records	Records containing information that is essential to the continuing operation or survival of the Agency.
Disposition	The process where a record is either destroyed or transferred to the State Archives as prescribed by the relevant RRS.
General RRS	This refers to the group of general records retention schedules including the General Administrative Records Retention Schedule (GARRS); Commissioner General Records Retention Schedule; Model Records Retention Schedule for Alaska School Districts and the Local Government General Records retention Schedule.
GARRS	General Administrative Records Retention Schedule.
Inactive Records	Records that are no longer used regularly by an agency but still need to be retained due to legal regulations. These are often transferred to a Records Center to make more space in an agency office.
LAM	Division of Libraries, Archives & Museums
Record	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; the term does not include library and museum material developed or acquired and preserved solely for reference, historical, or exhibition purposes, extra copies of documents preserved solely for convenience of reference, or stocks of publications and processed documents.
Record Center	Used to stored inactive agency records before disposition.
Records Series	A group of records filed together by their function e.g. Personnel Records.
RDA	Records Disposition Authorization.
RDN	Records Disposition Notice.

RIMS	Records & Information Management Service.
RRS	Records Retention Schedule.
RTL	Records Transfer List.
SoA	State of Alaska.

II. STAFF CONTACTS

Records & Information Management Service
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