RECORDS MANAGEMENT POLICY

I. GENERAL

It is the policy of the Fairbanks North Star Borough to provide an organizational method for the efficient and secure storage, retrieval, retention, preservation, and disposal of Borough records to reduce administrative cost, and to ensure public confidence in compliance with federal and state records retention guidelines.

II. PURPOSE

The purpose of this policy is to establish organizational principles, accountabilities, and obligations relating to records management. This will ensure that records are managed in a way that supports efficient and effective Borough operations.

III. RESPONSIBILITY

A. Department directors shall ensure their department staff follow the procedures set forth in this policy.

B. Compliance is the responsibility of each Borough employee conducting business on behalf of the Borough.

C. The Borough Clerk's Office is responsible for managing Borough records and for providing and maintaining the off-site Records Center.

D. The Department of Digital Services is responsible for providing and maintaining the IT infrastructure required for effective storage of electronic records as required by the Borough's Records Retention and Disposition Schedule (RRDS).

E. Human Resources shall maintain this policy.

IV. POLICY

A. This policy applies to all Borough records to ensure that all records created and received by the Borough are authentic, secure, accessible, and useable regardless of format.

B. The Borough Clerk is the records management officer for the Borough. The Borough Clerk is responsible for managing and ensuring compliance with Borough, state, and federal laws and regulations relating to the storage, retention, preservation, and disposal of Borough records. The Records Manager will ensure the effective day-to-day management of and will support the Borough Clerk in this function.

C. All records created or received by employees in the course of their employment are the property of the Borough and subject to this policy. Employees departing the
Borough are required to ensure accurate retention and disposition of all Borough records within their custody.

D. Records shall be retained and disposed of according to the Borough’s Records Retention and Disposition Schedule (RRDS).

E. Vital records shall be managed so that if a disaster occurs essential Borough records are safe, accessible, and useable.

F. All records will be stored and secured in the appropriate manner according to the RRDS and properly indexed to enable easy retrieval.

G. All records shall be disposed of in the manner described in Section VI of this policy.

H. The Records Management Division shall provide training to new Records Coordinators and employees within 30 days of hire. Additional training sessions will be provided, at a minimum, every six months.

I. The Records Manager shall meet with departments annually to review the department’s RRDS. Departments shall notify the Records Manager when a new program or service is implemented, so that any record created or received is incorporated into the RRDS.

V. PROCEDURE - RETENTION

A. Electronic Records – The Borough uses an electronic records management system (ERMS).

   1. Records Management and Digital Services shall meet with departments to design and build applications for department records within the ERMS.

   2. Upon completion of testing application department directors are responsible for signing off on the design and user security (read/write or read-only) for all new applications. Any changes, additions, or deletions shall require a completed Encompass Access Request Form for current and new employees.

   3. Records Management and Digital Services shall meet with each department to create standard naming conventions for documents and folders within the department’s shared drive to mirror the ERMS applications and indexing fields. The department’s shared drive will be used as a temporary repository while the record is being compiled and completed.

   4. Departments are required to upload/scan and index completed records into the applicable ERMS application.

   5. Departments are required to perform a first level quality control check on all records uploaded or scanned into the ERMS. (See attachment “Scanning Requirements for the ERMS & the Financial Management System (FMS) Electronic Records.”) The Records Manager or designee shall perform a second level quality control check within 90 days. Source documents (i.e. the original record, whether physical or
electronic) should not be deleted or disposed of prior to the second
level quality control completion.

6. During the first level quality control process, if it is determined a
record has been uploaded to the incorrect application, a document or
page within a document needs to be deleted, or the image quality
does not pass the quality control test then the user shall notify the
Records Manager or designee by email and cc the department
director/manager requesting the record’s deletion.

7. The Records Manager or designee shall perform a second level
quality control check on all records uploaded into the ERMS.

8. The Records Manager or designee shall prepare the “Second-Level
Quality Control and Disposal of Source Document” form and submit to
the department for completion.

9. The Records Manager or designee shall dispose of the paper source
document of record when the uploaded record has passed the
second level quality control test.

10. Upon authorization from the Records Manager or designee,
departments shall be responsible for disposal of all electronic copies
of the record stored in the temporary repository on the shared drive
and any other electronic copies, including email copies.

11. Audit reports of deleted records shall be generated weekly and be
reviewed by the Records Manager. The Records Management
Security Group shall review any abnormal results. The Records
Management Security Group shall be the Borough Clerk, Records
Manager, Business Integration Manager, and Borough Attorney.

12. Digital Services shall generate a rolling 30-day backup of the ERMS
for recovering deleted records. Digital Services shall dispose of
backups older than 31 days.

B. Physical Records – (In Office and Off Site Records Center)

1. Departments shall maintain a system for file structure, security, and
storage of records within their custody.

2. Departments shall submit a Records Transfer List to transfer long-
term records to Records Management for storage in the off-site
records center.

3. Records Management shall maintain the security of records stored in
the off-site records center.

C. Physical - Microfilm

1. The Records Management Division shall microfilm records that are
permanent, vital, and historical according to the RRDS.

2. Departments shall prepare the record for microfilming in accordance
with Records Management guidelines and complete a Records
Transfer List for Microfilming form.
3. Alaska State Archives/Records and Information Management Services (ASA/RIMS) located in Juneau, Alaska, shall store and secure the original rolls of microfilm.

4. Records Management shall maintain and secure the duplicate microfilm library in the FNSB Records Management Division.

5. Records Management shall perform a first level quality control check on records prior to processing the microfilm and shall perform a second level quality control check after the microfilm is developed.

6. All paper source documents scanned by the Records Management Division will be destroyed upon completion of the second level quality control check for the developed microfilm, and upon confirmation from ASA/RIMS that the original microfilm roll has been received.

D. Electronic Records (Software Systems other than the ERMS)

1. Departments shall follow the Borough's RRDS for retention and shall be responsible for maintaining the records stored within software systems other than the ERMS, including but not limited to, Aurora, NOVAtime, Route Match, Chameleon, and Origami.

2. Departments are required to perform a first level quality control check on all records uploaded or scanned into a designated software system for records storage.

3. The Records Manager or designee shall perform a second level quality control check within 90 days. Source documents (i.e. the original record, whether physical or electronic) should not be deleted or disposed of prior to the second level quality control completion.

4. The Records Manager or designee shall prepare the "Second-Level Quality Control and Disposal of Source Document" form and submit to the department for completion.

5. Records Management shall dispose of the source document of a record that meets the following: passed the second level quality control check.

6. Upon authorization from the Records Manager or designee, departments shall be responsible for disposal of all electronic copies of the record stored in the temporary repository on the shared drive and any other electronic copies, including email copies.

E. Litigation Holds

1. The Legal Department shall notify those department directors known to be affected and the Records Manager, of any legal holds placed on Borough records. Department directors and the Records Manager shall notify the Legal Department of any additional FNSB departments that may have records relevant to the legal hold.

2. All copies of identified records, physical and electronic, shall be held from destruction until the Legal Department has notified the director and Records Manager that the hold has been removed. Any activity
regarding held records shall be pursuant to the advice of the Legal Department when a litigation hold is in place.

VI. PROCEDURE - DISPOSITION

A. Departments are responsible for destroying records within their custody and shall complete the Records Destruction Authorization Form for records that have met the retention period defined in the Borough’s RRDS.

B. Records Management is responsible for destroying records stored in the ERMS and shall complete the Records Destruction Authorization Form for records that have met the retention period defined in the Borough’s RRDS.

C. Records Management is responsible for destroying records stored at the off-site records center and shall complete the Records Destruction Authorization Form for records that have met the retention period defined in the Borough’s RRDS.

D. The department director, Records Manager, Borough Attorney, and Borough Clerk must sign off on the Records Destruction Authorization Form prior to the destruction of any record.

E. Department Records Coordinators shall witness the destruction of records and shall complete and sign the Records Destruction Verification Form for records destroyed by the department.

F. The Records Manager and the Business Integration Manager shall witness the destruction of records in the ERMS and shall complete and sign the Records Destruction Verification Form.

G. The Records Manager or designee shall witness the destruction of records and shall complete and sign the Records Destruction Verification Form for records destroyed by the Records Management Division.

H. All confidential paper records shall be disposed of in accordance with both this policy and FNSB Policy No. 75.02.

VII. SUPPLEMENTAL INFORMATION

A. References –

   1. Borough’s Records Retention and Disposition Schedule (RRDS)
   2. FNSBC 3.08.030, Records Management
   3. FNSB Policy No. 75.02, Disposal of Consumer/Confidential Information
   4. National Archive and Records Administration (NARA)

B. Definitions –

   “Active Record” means a record, which is still actively being used and retained by the record holder.
“Disposition” means the final stage of a record’s lifecycle, in which the record is either destroyed or retained permanently.

“Duplicate Copy” means courtesy copy, which can be disposed of without affecting the business transaction or process.

“Electronic Record” means any text, graphic, data, audio, pictorial, or other digital record captured in machine-readable form.

“Historical Record” means an original document containing important historical information about the organization or persons within the organization.

“Lifecycle” means the different phases that a record goes through starting when it is created or received by the Borough, through its use and maintenance as an active or inactive record, including disposition.

“Microfilm” means a roll of film containing scaled down, photographic images of printed or electronic records.

“Official Record” means the copy of the record that must be retained by the Borough to fulfill all of its legal responsibilities and must be retained for the total retention period stated.

“Permanent Record” means a record determined to have permanent legal, administrative, research, historical, or other value to the organization and is preserved indefinitely.

“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 (Borough), as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision (Borough) 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.

“Records Retention and Disposition Schedule” (RRDS) means a document listing the different records series within the Borough and the period of time the records are retained, the legal, fiscal, historical, or other justification for their retention, and final disposition of the records.

“Records Series” means a physical or electronic record or group of records relating to a particular subject or function.

“Retention Period” means the period of time records are retained.
“Records Center" means the off-site center where inactive physical records are kept for long-term or permanent storage.

“Source Document” means the original record, whether physical or electronic.

"Vital Record" means records that are essential in the function and operational responsibility of the organization and must be retrievable under any circumstance, including emergency or disaster conditions.

C. Attachments -

1. Criteria for the ERMS Document and Page Deletion
2. Scanning Requirements for the ERMS and the Financial Management System (FMS) Electronic Records
3. FNSB Records Destruction Authorization
4. FNSB the ERMS Records Transfer List for Microfilm
5. FNSB Paper Records Transfer List Being Scanned or Microfilmed
6. FNSB Records Transfer List for Boxes to Records Center

D. Revision History --

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