Alaska Land Mobile Radio Communications System

Records Management Procedure 300-1

Version 16

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Document Revision History

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Acronyms and Definitions

Alaska Federal Executive Association (AFEA): federal government entities, agencies, and organizations, other than the Department of Defense, that operate on the shared ALMR system infrastructure.

Alaska Land Mobile Radio (ALMR) Communications System: the ALMR Communications System as established in the Cooperative and Mutual Aid Agreement.

Alaska Municipal League: a voluntary non-profit organization in Alaska that represents 165 cities, boroughs, and unified municipalities.

Alaska Public Safety Communication Services (APSCS): a State of Alaska (SOA) office in the Department of Public Safety (DPS) that operates and maintains the SOA Telecommunications System (SATS) supporting ALMR and provides public safety communication services and support to state agencies.

Department of Defense – Alaska: Alaskan Command, US Air Force and US Army component services operating under United States Pacific Command and United States Northern Command.

Department of Public Safety (DPS): a State of Alaska (SOA) department where the SOA Telecommunications System (SATS) and ALMR programs reside.

Executive Council: governing body made up of three voting members and two associate members representing the original four constituency groups: the State of Alaska, the Department of Defense, Federal Non-DOD agencies (represented by the Alaska Federal Executive Association), and local municipal/government (represented by the Alaska Municipal League and the Municipality of Anchorage).

For Official Use Only (FOUO): a document designation, not a classification. This designation is used by the Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release.

Freedom of Information Act (FOIA): a law ensuring public access to U.S. government records. FOIA carries a presumption of disclosure; the burden is on the government - not the public - to substantiate why information may not be released. Upon written request, agencies of the United States government are required to disclose those records, unless they can be lawfully withheld from disclosure under one of nine specific exemptions in the FOIA. This right of access is ultimately enforceable in federal court.

Information Assurance (IA): information operations that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and non-repudiation. This includes providing for restoration of information systems by incorporating protection, detection, and reaction capabilities.

Local Governments: those Alaska political subdivisions defined as municipalities in AS 29.71.800(14).

Member: a public safety agency including, but not limited to, a general government agency (local, state, tribal, or federal), its authorized employees and personnel (paid or volunteer), and its service provider, participating in and using the system under a membership agreement.

Municipality of Anchorage (MOA): the MOA covers 1,951 square miles with a population of over 300,000. The MOA stretches from Portage, at the southern border, to the Knik River at the northern border, and encompasses the communities of Girdwood, Indian, Anchorage, Eagle River, Chugiak/Birchwood, and the native village of Eklutna.

Operations Manager (OM): represents the User Council interests and makes decisions on issues related to the day-to-day operation of the system and any urgent or emergency system operational or repair decisions. In coordination with the User Council, the Operations Manager establishes policies, procedures, contracts, organizations, and agreements that provide the service levels as defined in the ALMR Service Level Agreement.

Operations Management Office (OMO): develops recommendations for policy, procedures, and guidelines; identify technologies and standards; and coordinates intergovernmental resources to facilitate communications interoperability with emphasis on improving public safety and emergency response communications.

State of Alaska (SOA): the primary maintainer of the SATS (the State's microwave system), and shared owner of the system. The State of Alaska sponsors local/municipal agencies onto the system.

State of Alaska Telecommunications Systems (SATS): the State of Alaska statewide telecommunications system microwave network.

System Management Office (SMO): the team of specialists responsible for management of maintenance and operations of the system.

User: an agency, person, group, organization, or other entity which has an existing written membership agreement to operate on ALMR with one of the parties to the Cooperative and Mutual Aid Agreement. The terms user and member are synonymous and interchangeable. All terms and conditions of the Cooperative and Mutual Aid agreement defined apply to local/municipal government agencies that are sponsored/represented by the State of Alaska.

User Council: governing body responsible for recommending all operational and maintenance decisions affecting the system. Under the direction and supervision of the Executive Council, the User Council has the responsibility for management oversight and operations of the system. The User Council oversees the development of system operations plans, procedures and policies under the direction and guidance of the Executive Council.

1.0   Purpose

This procedure shall serve as a guide for the Alaska Land Mobile Radio (ALMR) Communications System staff and associated agencies regarding all aspects of the ALMR Records Management Program by providing general information/guidance, by documenting standards and procedures, and by providing a basic outline of records management file structures.

Where appropriate, guidelines are included to provide specifics on applying the standards, required formats, or completing procedures, illustrative diagrams (e.g., forms samples, illustrations, etc.) are also included, where practical.

2.0   Overview

For this document, records are any data, written or electronic, which serves as recorded evidence of a business activity/transaction (i.e., charters, maps, surveys, purchase orders, meeting minutes, emails, etc.). Individual working papers are not considered official documents until 90 days from date of creation, at which time they must be maintained or destroyed according to established records destruction procedures.

Specifically, records are all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency or in connection with the transaction of public business and preserved, as appropriate, by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities because of the informational value of data in them. Records are information preserved and managed; they exist independent of format.

Electronic records are data in a form that can be read and processed by a computer and satisfies the legal definition of a record. A database is still considered an electronic record, even if the output products are converted to paper records. Electronic records may include data files and databases, machine readable indexes, electronic spreadsheets, electronic mail, and electronic messages, as well as other text or numeric information. Electronic recordkeeping involves the use of computers to create, store, retrieve, analyze, transmit, or delete records.

Records play a vital role in managing and operating activities. They serve as the memory of the organization, a record of past events, and the basis for future actions. Records managed systematically are complete, easily accessible, and properly arranged to serve current and future management needs and enhance effectiveness and economy of operations.

3.0   Roles and Responsibilities

3.1   Executive Council

The Executive Council (EC) shall be responsible for the management and enforcement of sanctions when violations of the Records Management Procedure warrant such action.

3.2   User Council

The User Council (UC) shall be responsible for the formal approval of the Records Management Procedure and any substantial revisions hereafter.

3.3   Operations Management Office

The Operations Management Office (OMO) shall be responsible for ensuring ALMR personnel comply with the requirements outlined in this instruction, any legislation affecting management of records, and with supporting regulations and codes.

3.3.1 The OMO will ensure:

- Adequate records of business activities are created and preserved.
- ALMR has the information needed to form a reconstruction of activities or transactions that have taken place.
- Appropriate access to applicable records is provided for all authorized users.
- Location, access, and display of the information are consistent.
- Records can be interpreted.
- Record context is clear - who created the record, during which business process was the record created, and how the record relates to other records.
- Records can be trusted.
- Records reliably represent the information that was actually used in or created by the business process and its integrity and authenticity can be demonstrated.
- Records can be maintained through time.
- Quality of accessibility, interpretation, and trustworthiness can be maintained for as long as the record is needed, perhaps permanently, despite changes of formats.
- Records required for business or accountability purposes are retained and remain useable for as long as they are needed.
- Records of long-term value are identified and preserved as archives.
- Other records are destroyed, when no longer required.

3.3.2 The Documentation Specialist will plan, develop, implement, maintain, and update the Records Management Procedure, when appropriate, and the files maintenance and disposition plan, if applicable, and any corresponding documents.

If requested, the Documentation Specialist will also assist all ALMR offices with integrating their respective records into the plan, establishing their files and determining cutoff and retention in accordance with applicable National Records and Archives Administration (NARA), ALMR Records Management, DOD records standards, Federal Non-DOD records standards, Air Force records standards, Army records standards, State of Alaska General Administrative Records Retention Schedule, and Municipality of Anchorage records standards, when warranted and as applicable.

3.4   Other Staff

All other staff members are responsible for the day-to-day maintenance of their respective records and are accountable to the Operations Manager, System Manager, and their respective supervisors for compliance with this procedure and with related policies, standards, and guidance. Staff members must identify any new records to the Documentation Specialist for inclusion in the files.

3.5   Associate Agencies

Department of Defense, State of Alaska, Federal Non-DOD, Municipality of Anchorage, or other agency records custodians partnering in ALMR should follow their respective records management guidance, but are encouraged to advise, discuss, and provide additional input/guidance to the ALMR Records Management Program.

4.0   Filing

4.1   File Structure. Technology has changed the flow of communication and contributed to the challenges of managing records in media other than paper. Various automated systems already store information as records. Conversion of paper documents to electronic format as well as scanning documents to a portable document format is acceptable. Electronic records are the media of choice for use, storage, and maintenance.

File structures are designed to allow ease of retrieval of records by anyone requiring access. The Documentation Specialist may not always be available to pull a filed record copy. Anyone within the office should be able to locate the record, if needed. By utilizing an established file plan and a common file structure, records can be easily managed.

4.1.1   The original ALMR project was structured around deliverables and a sequence of events leading to full operational status. Therefore, the original file structure and plan was designed to mirror that structure as closely as possible. The current file structure and plan is designed around sustained operations and maintenance (O&M). NOTE: File plans normally are associated with hard copy files rather than electronic files. Therefore, not all electronic records will fall under one of the original file structure categories.

4.1.2   The file plan should be reviewed on an annual basis, at a minimum, and updated, if appropriate.

4.1.3   Many standard paper filing structures start with the main file series to the far left., the first sub-series would take the center tab position, and any additional subdivision would remain at the right tab regardless of how many subdivisions exist. Electronic versions of the file structure/plan should mirror the paper version, to the greatest extent possible and when feasible.
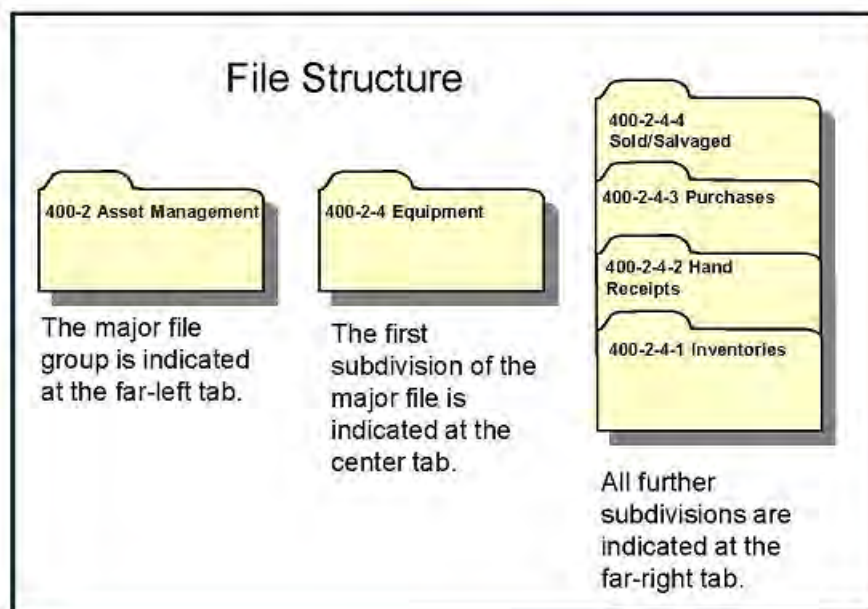
Figure 4-1. Sample Basic File Structure

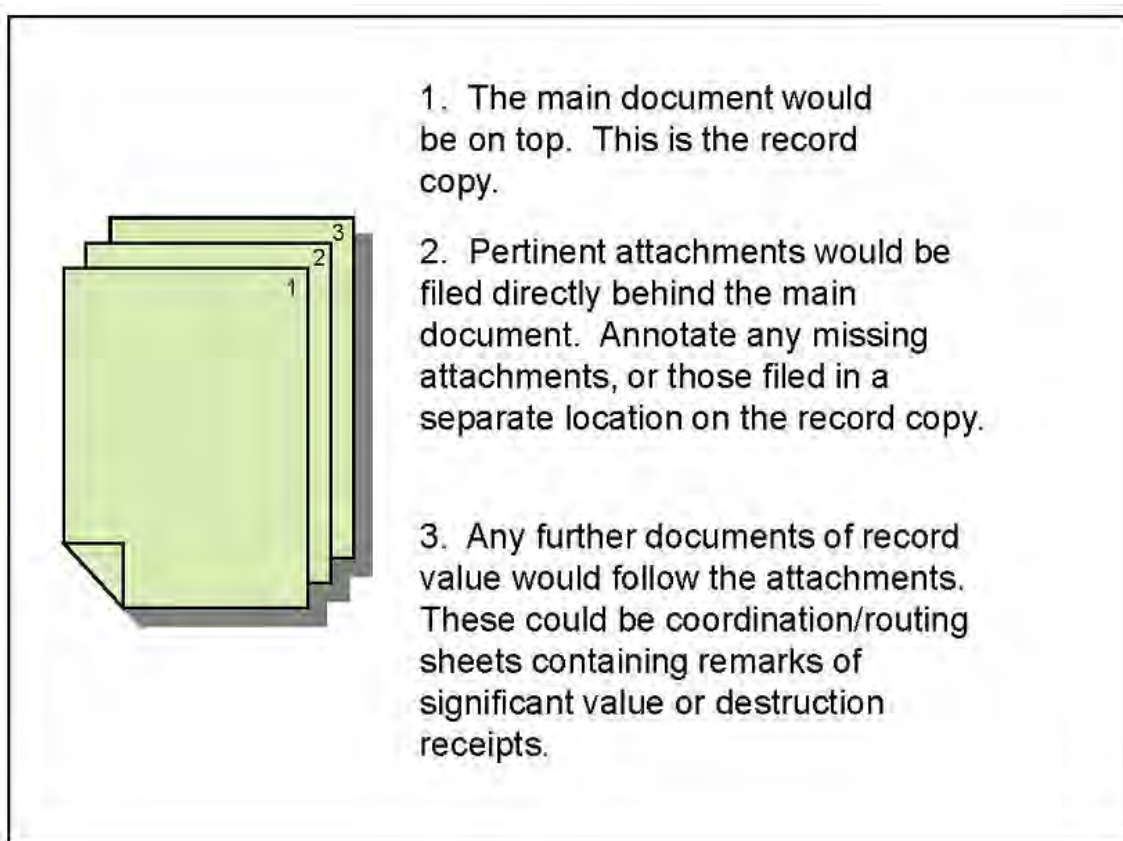4.1.4   All activities are encouraged to eliminate paper records whenever possible. Paper records should be converted to electronic format as soon as possible unless required to comply with historical requirements or required by law to be hard copies.

4.2   Marking record copies for filing. Make sure all actions are complete and records are ready for filing. For paper copies of records, mark records for file by using

the word "file" and the appropriate file code in the upper right-hand corner of the record followed by your initials and the current date (i.e., the date filed). Understandably, most electronic files will not have file codes annotated unless the record was in paper copy and was annotated and then scanned into the filing system. Mark all electronic files in the footer using the same standard file coding format as for paper copies, whenever feasible. When not feasible, file by date and subject for ease of retrieval.

4.2.1   Assemble paper documents for filing in the same manner as required for creation, coordination, and use with the latest action on top. Save the last e-mail response to capture an entire dialogue and save e-mail attachments in their original format. Make sure the record is complete; keep or account for all attachments. If the file is not complete, take the necessary actions to get the missing records or information included in the file, or make a notation to show what part of the file is missing, or if it is filed in a separate location. When converting to electronic format, the final document should mirror the paper document to the greatest extent possible.

1. The main document would be on top. This is the record copy.

2. Pertinent attachments would be filed directly behind the main document. Annotate any missing attachments, or those filed in a separate location on the record copy.

3. Any further documents of record value would follow the attachments. These could be coordination/routing sheets containing remarks of significant value or destruction receipts.

Figure 4-2. Assembling Record Copies of Paper Documents for Filing

4.2.2   For paper records, remove all mail control forms and receipts, envelopes, and memo routing or coordination slips, except those containing remarks of significant

record value. If the record requires a destruction certificate, you may file a copy of the destruction certificate with the record.

4.3   File plan. All records, both paper and electronic, and their locations, should be annotated on the file plan, whenever possible. There can be one centralized file location or many separate locations depending on the size of your organization. Design your file structure to what best suits your agency's needs. This concept was designed to support paper files and may not work in an organization where sections work mostly independently of one another.

The following sample file structure/plan demonstrates a record, both in paper and electronic form, and the locations where filed.

Series	Series Name	Location (s)	Cut off	Disposition
300	**Operations Management**			
300-1	**General Administration**			
300-6-1	Bulletins	Central Bulletin Board/Rm 12 and SharePoint Server	31 Dec (The file is closed out on 31 Dec of each calendar year.)	Destroy after one year. (The file is held inactive for one year after cutoff and then destroyed.)

Figure 4-3. Sample File Structure

4.3.1   The following numbering series shows an outline of a basic file structure.

<u>Series</u>	<u>Title</u>
100	Governance
200	Security
300	Operations Management
400	System Management
500	Project Management (archives)

4.3.2   All ALMR records currently fall into one of the five above series. Each of the series can be further expanded into sub-series (i.e., Operations Management could cover areas such as records management, training, budget, etc.) The following example is provided to demonstrate the numbering convention.

300-1	Executive Council Support
300-2	User Council Support
300-3	SMO Oversight
300-4	Training
300-5	Outreach
300-6	Records Management

4.3.3   Sub-series can be further subdivided to cover individual areas. The following example is provided to demonstrate this, using example record series 400-2, Asset Management. The following example is provided for demonstration purposes only.

400-2-1   Inventories
400-2-2   Hand Receipts
400-2-3   New equipment purchases
400-2-4   Equipment sold, salvaged, or turned in

4.3.4   File plans can be modified at any time to meet the needs of the offices served. A copy of the ALMR file plan will be maintained electronically by the OMO Documentation Specialist.

4.3.5   At a minimum, the file plan should show the record series and applicable subdivisions, the location(s) of the records (if located in a separate area from the main files), and cut off instructions and disposition schedule, if applicable.

NOTE: Disposition schedules for ALMR records have not been determined at this time but may be developed and implemented at such time all records have been accounted for, and the class and value of the record has been determined.

5.0   File Naming Conventions

5.1   Standards. File procedures explain, in detail, how records management functions are performed within ALMR.   A file naming convention has been established based on an independent review done by the International Standards Organization (ISO), a "Best Practices in File Naming Conventions" written by the Gartner Group in September 2003, and historical interviews with ALMR Joint Program Office (JPO) representatives. This naming structure will allow better search and access of electronic files created throughout the duration of ALMR.

A documentation plan should detail a document directory structure naming hierarchy and document archive selection criteria and schedule. As of November 7, 2005, all working documents, specifically those items to be shared in electronic format, began using this format.

5.1.1   The first eight characters of a file name are the date, in the form of "YYYYMMDD." This simplifies a document search by pre-ordering all the files into the year, month and then day with the earliest year being at the top (by default). The first eight characters are followed by an underscore "_" separating the date to make the rest of the file name more readable.

5.1.2   The next eighteen characters of a file name can be any combination of upper- and lower-case letters and numbers. There should be no spaces, hyphens, or special characters. Some exceptions will exist when the name of the document would be confusing otherwise,

Titles should contain an appropriate keyword, activity descriptor or subject. Do not use self-styled abbreviations. The title may make sense now to you, but in several years' time the meaning may be lost. Stick to standard abbreviations (e.g., rpt = report, ltr = letter, mtg = meeting, etc.).

For certain document types, a version number would be inserted. This is addressed later in this chapter. File titles should reflect the contents of the file. Be consistent and refer to other file titles already created, so all titles are structured the same. Keep file titles as short and succinct as possible; a very long title will cause confusion. Terms such as 'miscellaneous' or 'general' should never be used in file titles.

5.1.3   The next position is the "." (period) separator between the file name and its file type.

5.1.4   The last three positions are the file type, shortened to the first three letters of a file type, when required (e.g., html would become htm). Eliminating the last letter has no impact on any file system's ability to discern what type of file is presented.

5.1.5   This format can be rapidly searched both manually and electronically, making it easy to archive any current media, and can be read and opened on virtually any operating system in use as of the writing of this document. Here is a sample:

<div align="center">20160205_FilePlanStructureV2.xls</div>

It is clear when the document was written, what the document is, what type of document it is and how current it is.

5.2   Version Numbers. There is no single recognized approach to identify a document version. In many cases, when substantive changes have been made to a document, a new version is created. This proposed standard does not allow the use of periods. All drafts are annotated with a number followed by a lowercase letter. Published versions are annotated with a number only.

V0a	First Draft
V0b	Second Draft, and so on
V1	Version 1 – first version published

V1a	First Draft of changes to Version 1
V1b	Second Draft of changes to Version 1
V2	Version 2 - second version published
V2a	First Draft of changes to Version 2

This standard assumes that there would be no more than 26 draft revisions to a single version, e.g., "V1z" would translate as "the twenty-sixth draft of changes to Version 1. In the event there are more than 26 draft revisions to a document, the lower-case letter would be doubled, starting at the letter "a" (e.g., V1aa), and would continue from there.

6.0   Record Retention and Disposition

6.1   Record Inventory and Data Analysis. The initial step in developing a records retention schedule/file plan is the creation of a documentation records inventory. This inventory is a comprehensive listing of all records series within the organization along with all supporting information. A record series is a group of records that serve a similar function and is usually filed as a unit (e.g., Executive Council meeting minutes).

6.2   Determining Record Values. Each record series may have value in one or more of the following areas. You must determine which area best suits the needs of the organization, and which value best suits the long-term need for the record.

6.2.1   Administrative Value. This is the timeframe the records are vital to the function of the office. These documents would likely be used in the development of a program or policy.

6.2.2   Operational Value. This is the timeframe during which the record is used to perform its primary function.

6.2.3   Legal Value. Enabling legislation prescribes a retention schedule for these records. These records are necessary to defend an action. Legal value will also be determined by examining the record retention policies of the Department of Defense, State of Alaska, Federal Non-DOD, and local agencies, as applicable.

6.2.4   Fiscal Value. Files that control or document the generation, expenditure, or movement of public funds.

6.2.5   Historical Value. The record has long-term value to document past events.

6.3   Determining the Retention Period. After the record inventory and appraisal, a formal record retention schedule can be developed. Each record will be held in an active filing area for the time specified in the operational column and in the inactive records area for the remainder of the retention period.

6.4   Determining the Disposition.   The proper disposition of records may require their transfers to historical archives for permanent preservation. When this is the case, it should be noted on the retention and disposition schedule. Records dispositions covering paper records also cover e-records in the same series.

Record destruction procedures will ensure that the records are destroyed in a controlled, supervised environment. A relatively small number of records may be classified as proprietary or confidential and may require shredding, maceration, or pulping.

6.5   Release of Records

Certain types of information pertaining to a function may be designated as For Official Use Only, Controlled Unclassified Information, or Law Enforcement Sensitive. Types of information providing detailed System infrastructure, high-priority assets, security measure, procedures for restoring the System, or System vulnerabilities fall into these categories, and present a real and substantial risk to the System and the general safety of the public.

In such cases, release of this information would not be in the best interest of the safety and security of the System and may be exempt from release to the public under the Freedom of Information Act and the Privacy Act. Any requests for release of sensitive information pertaining to ALMR shall be submitted to the OMO and will be reviewed on a case-by-case basis. The UC and the EC shall be advised of such requests and the final outcome. Release of information requires approval by the Security Manager, the SOA APSCS Director, and the Alaskan Command J6.

6.6   Finalizing the Retention and Disposition Program. The retention and disposition schedule/file plan should be interdependent with the Records Management Procedure. From this document any interested party could determine the status and location of a record.

6.6.1   All additional requirements must be submitted to the Documentation Specialist for inclusion in the file plan.

6.6.2   All working papers should be retained, and after 90 days, become part of the official document or be destroyed.

6.7   Long-term Requirements.   All organizations must establish plans for long-term records management and disposition.

6.7.1   Compliance with the record management program should be verified annually and records should be destroyed in an orderly manner in the normal course of business.

6.7.2   Prior to destruction of certain sensitive records, approval from a manager or supervisor in charge of the agency/section owning the record should be gained. A record of destruction should be maintained in such cases, which states the title(s) and date(s) of the document(s) and the method(s) of destruction.

6.7.3   Any destruction schedules should be suspended if litigation or investigation is imminent.

7.0   Compliance

Compliance with the Records Management Procedure is outlined in ALMR Records Management Policy Memorandum 300-1.