ALASKA ENERGY AUTHORITY

Alaska Energy Authority
Personnel Committee
January 28, 2025, 9:30 AM
AGENDA

Dial 1 (888) 585-9008 and enter code 212-753-619# Public comment guidelines are below.

1. CALL TO ORDER
2. ROLL CALL COMMITTEE MEMBERS
3. AGENDA APPROVAL
4. PUBLIC COMMENTS (2 minutes per person) see call in number above
5. OLD BUSINESS – None
6. NEW BUSINESS
    A. AEA Personnel Guidelines and Policies
7. EXECUTIVE SESSION – Discuss confidential personnel issues.
8. MEMBER COMMENTS
9. ADJOURNMENT

Public Comment Guidelines

Members of the public who wish to provide written comments, please email your comments to publiccomment@akenergyauthority.org by no later than 4 p.m. on the day before the meeting, so they can be shared with board members prior to the meeting.

On the meeting day, callers will enter the teleconference muted. After board roll call and agenda approval, we will ask callers to press ***9** on their phones if they wish to make a public comment. This will initiate the hand-raising function.

We will unmute callers individually in the order the calls were received. When an individual is unmuted, you will hear, *"It is now your turn to speak."* Please identify yourself and make your public comments.

813 West Northern Lights Boulevard, Anchorage, Alaska 99503 **T** 907.771.3000 **Toll Free** 888.300.8534 **F** 907.771.3044

ALASKA
ENERGY
AUTHORITY

EMPLOYEE POLICIES AND GUIDELINES

2024

www.akenergyauthority.org

@alaskaenergyauthority

@alaskaenergyauthority

Inside Front Cover

Photo caption: Clockwise From Top: Bradley Lake Hydroelectric Project, Pillar Mountain Wind Farm, Alaska Intertie, Powerhouse, Bulk Fuel Tank Farm, Solar Panel.

COVER *1*

PART I: ABOUT THE AUTHORITY *7*

PART II. RECEIPT OF EMPLOYEE POLICIES AND GUIDELINES *8*

PART III: POLICIES & GUIDELINES *9*

BENEFITS *10*

1. HOLIDAYS 11
   Legal Holidays 11
   Work Performed on a Holiday 11

2. INSURANCE AND RETIREMENT 12

3. LEAVE ACCRUAL, USE OF LEAVE, AND LEAVES OF ABSENCE 13
   Accrual: 13
   Use of Leave: 13
   Mandatory Usage of Accrued Leave: 14
   Leave Cash-In: 14
   Donation of Leave: 15
   Leave Balance at Separation (Terminal Leave): 15
   Posting of Leave Accrued and Taken 15
   Leave and Holidays: 15
   Court Leave: 15
   Medical Leave: 15
   The Family and Medical Leave Act of 1993 and the Alaska Family Leave Act 16
   The Family and Medical Leave Act (FMLA) 16
   Reasons for Taking Leave 17
   Advance Notice and Medical Certification 17
   Expressing Breast Milk at the Workplace 17
   Military Leave 18
   Leave of Absence Without Pay 19
   Cancellation of Leave of Absence 19
   Effect of Leave Without Pay on Anniversary Date 19

COMPENSATION *20*

1. COMPENSATION 21
   Hourly and Salary Rates: 21
   Overtime Pay: 21
   Work Performed on a Holiday: 21
   Total Remuneration: 21
   New Employee’s Pay: 22
   Promoted Employee’s Pay: 22
   Temporary Promotion Pay (Acting in a Higher Range): 22
   Transferred Employee’s Pay: 22
   Re-evaluated Position: 23
   Demoted Employee’s Pay: 23
   Merit Increases: 23
   Merit Anniversary Date (MAD): 23
   MAD and Performance Evaluations: 23
   Step Increases and Pay Increments: 23
   Cell Phone Reimbursement: 24

2. HOURS OF WORK 25

Scheduled Hours of Work: 25
Minimum Work Week: 25
Normal Work Week: 25
Normal Work Day: 25
Overtime Hours: 25
Timesheets: 25
Work Performed on a Holiday: 25
Office Closures: 26
Returning to Duty: 26
Flex Time: 27
Telework: 27
Other Employment: 27

3. TRAVEL 28

EMPLOYMENT LAWS, ADMINISTRATIVE ORDERS, AND RELATED POLICIES 29

1. ALCOHOL AND DRUG-FREE WORKPLACE 30

2. AMERICAN WITH DISABILITIES ACT 31

3. BUSINESS USE-ACCEPTABLE USE POLICIES 32
3.1 Artificial Intelligence Guidance Summary 33

4. DISCRIMINATION and DIVERSITY IN THE WORKPLACE 35

5. EFFECTS OF VIOLATIONS OF FEDERAL OR STATE LAW 36

6. EMPLOYMENT OF IMMEDIATE FAMILY 37

7. EQUAL EMPLOYMENT OPPORTUNITY: 38

8. INFORMATION TECHNOLOGY, PUBLIC RECORDS AND RECORD RETENTION 39

9. PROHIBITIONS AND PENALTIES 40
Code of Ethics: 40
Outside Employment: 40
Securing of Positions: 40
Party Assessments: 40
Party Endorsement: 40
Post Authority Employment: 40
Nomination and Candidacy: 41
Misrepresentation: 41
Rights of Others: 41
Investments: 41
Use of Information: 41
Use of Office Technologies: 41
Gifts and Favors: 41
Purchases of Commodities and Services: 42
Legal Counsel: 42

10. RETURN TO WORK AFTER RETIREMENT 43

11. SEPARATIONS, SUSPENSION AND DEMOTION 44
Retirement: 44
Resignation: 44
Layoff: 44
Dismissal: 44
Suspension: 44

Demotion: 44

12. SEXUAL HARASSMENT AND OTHER DISCRIMINATORY HARASSMENT 45

13. TRAVEL POLICY SUMMARY (AAM 60) 46
Duty Station: 46
Lodging Allowance: 46
Meals and Incidental Expense (M&IE): 46
Non-Commercial Lodging Facility: 46
Per Diem: 46
Residence: 46
Ticket Class: 47
Travel Expenses: 47
Travel Status: 47

14. WHISTLEBLOWER ACT 48

OFFICE AND EMPLOYEE CONDUCT ***49***

1. COMPLAINT PROCEDURE 50

2. CONFIDENTIALITY AND EMPLOYMENT RECORDS 51
Confidentiality 51
Employment Records 51

3. DRESS CODE 53

4. DELEGATION OF AUTHORITY 54
Delegation of Procurement Authority 54
Violations of Procurement Regulations and Delegations of Authority 55

5. EXPENSES: FOOD, ENTERTAINMENT, GIFTS POLICY 56

6. EXTERNAL COMMUNICATIONS 57
Authorized Spokespersons 57
Procedures 57
Are there exceptions? 58

7. MEETING ROOMS AND RECORDING MEETINGS 59

8. OFFICE CONDUCT 60

9. PUBLIC RECORDS REQUEST 61

10. SOCIAL MEDIA 63

11. SMOKING 64

12. VEHICLE PARKING, USAGE, AND SEAT BELTS 65
Employee Parking: 65
Personal Vehicle Use for State Business: 65
Insurance 65
Seat Belt Requirement: 66

13. VISITORS IN THE WORKPLACE 67
Visitors 67
Contractors 67
Office Events 67

PERFORMANCE MANAGEMENT ***68***

1. PERFORMANCE MANAGEMENT 69

I. Employee Information ... 69
II. Performance Expectations ... 69
III. S.M.A.R.T. Goals ... 70
IV. Learning and Development Plan ... 70

2. TUITION ASSISTANCE AND TRAINING ... 72

DEFINITIONS ... 73

PART IV: APPENDIX ... 77

A: TELEWORK ... 78
AEA Teleworking Policy & Guidelines ... 79
AEA Telework Request and Work Agreement (TWA) Form ... 85

B: TUITION REIMBURSEMENT AND TRAINING ... 91
In-Person/Online Training Request form ... 92
University Tuition Reimbursement Request form ... 93
AEA Tuition Reimbursement Guidelines ... 94
AEA Tuition Reimbursement Recovery Agreement ... 95

C: CONFIDENTALITY ... 96

D: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES ... 99
D.1: ALCOHOL AND DRUG FREE WORKPLACE ... 100
D.2: AMERICAN WITH DISABILITIES ACT ... 101
D.3: BUSINESS USE/ACCEPTABLE USE POLICIES ... 109
D.4: DISCRIMINATION AND DIVERSITY IN THE WORKPLACE ... 120
D.5: FAMILY AND MEDICAL LEAVE ACT AND ALASKA FAMILY LEAVE ACT ... 123
D.6: EMAIL RETENTION POLICY ... 126
D.7: HOW TO NAME ELECTRONIC FILES AND FOLDERS ... 129
D.8: RECORD RETENTION AND DISPOSITION SCHEDULE ... 130
D.9: RETENTION OF PUBLIC RECORDS ... 134
D.10: RETIREE RETURN TO WORK POLICY ... 185
D.11: SEAT BELT POLICY (AO 85) ... 187
D.12: SEXUAL HARRASSMENT AND OTHER DISCRIMINATORY HARASSMENT ... 189
D.13: SOA ETHICS INFORMATION ... 192
D.14: TRAVEL POLICY (AAM 60) ... 198

F: OFFICE AND EMPLOYEE CONDUCT POLICIES ... 228
F.1 EXPENSES: FOOD, ENTERTAINMENT, GIFTS POLICY ... 229
F.2 MEETING ROOMS POLICY ... 230
F.3 RECORDING MEETINGS POLICY ... 231
F.4 SOCIAL MEDIA ... 233

BACK COVER ... 239

PART I: ABOUT THE AUTHORITY

Alaska Energy Authority (AEA)

AEA was established in 1976 as a public corporation of the State of Alaska governed by a board of directors with the mission to “reduce the cost of energy in Alaska.” AEA is the state's energy office and the lead agency for statewide energy policy and program development. To achieve its mission, AEA strives to diversify Alaska's energy portfolio — increasing resiliency, reliability, and redundancy.

As part of its $1.5 billion energy portfolio, AEA owns the largest hydropower installation in Alaska, the Bradley Lake Hydroelectric Project, as well as over 200 miles of transmission line that comprises the Alaska Intertie (170 miles) and the Sterling to Quartz Creek Transmission Line (39.4 miles) on the “Railbelt,” which refers to the 700-mile-long transmission corridor that stretches from Fairbanks through Anchorage to the Kenai Peninsula where about 75 percent of Alaskans live.

Rural Alaska has more than 200 rural communities served by standalone electrical grids. AEA has a long history in these remote areas of designing and constructing bulk fuel tank farms and powerhouse systems. To ensure this critical energy infrastructure lasts its full lifecycle, AEA manages the Circuit Rider Program, a team of trained technicians who provide remote troubleshooting and onsite technical support, operator training, procurement and logistics support, and emergency assistance.

AEA also administers the Power Cost Equalization Program, a $48 million program that helps to lower electricity costs for approximately 82,000 rural Alaskans to levels comparable to Alaska’s larger cities.

In addition, AEA offers grants and loans for power-related projects across the state. Since its creation in 2008, the Renewable Energy Fund program has secured over $327 million in state funds, leveraged over $300 million in federal and local funds with rural-community projects making up over 80 percent of all REF awards, and displaced approximately 85 million gallons of diesel fuel.

Since 2020, AEA has secured over $700 million in federal Infrastructure Investment and Jobs Act and Inflation Reduction Act funds. The funds support several programs including the Grid Resilience and Innovation Partnerships Topic 3 (Grid Innovation), the Greenhouse Gas Reduction Fund Solar for All Program, Statewide Grid Resilience and Reliability, the National Electric Vehicle Infrastructure Formula Program, and the Home Efficiency Rebates and Home Electrification and Appliance Rebates. Collectively, these federal awards, in combination with $166 million in Railbelt utility bonding, have increased AEA’s capital budget by over 2,600 percent.

AEA is committed to providing energy solutions to meet the unique needs of Alaska’s rural and urban communities, now and in the future.

PART II. RECEIPT OF EMPLOYEE POLICIES AND GUIDELINES

These employee policies and guidelines have been written to provide employees with general information about the Authority's employment practices. The information in this manual is subject to change without notice to the employees. The information in this manual is not intended to create an employment contract of any kind and does not represent implied or actual contract provisions.

The intent of the information in this manual is to comply with all federal, state, and local laws applicable to the Authority and its operations. The Authority offers no employment contracts nor does it guarantee any minimum length of employment. Authority employees have no seniority rights or benefits. All employment is based upon the Authority's desire for employee services and the Authority reserves the right to terminate any employee at any time "at will" with or without cause. A supervisor or Officer of the Authority has no authority whatsoever to make any contrary representations to any employee. No exception is possible other than in an express written agreement authorized by the Board of the Authority and signed by the Executive Director of the Authority. However, it is the policy of the Authority to not enter into any employment contracts.

EXCEPTION TO EMPLOYEE GUIDELINES

The Executive Director serves at the pleasure of the Board, and the AEA Directors work for the Executive Director to whom they report. Therefore, they are not subject to all the provisions included in this manual. All employees are subject to the State, Federal, and local laws referenced in this manual.

If you have any questions or wish to have further information about any particular policy or guideline in this manual, please contact the Human Resources Department.

These policies and guidelines supersede all previous manuals, letters, memoranda and understandings.

ACKNOWLEDGEMENT

By signing below, I acknowledge I have received a copy of the 2024 Employee Policies and Guidelines. I understand I am to read the entire manual and become familiar with its contents. If I have questions or do not understand any portion of this manual I know it is my responsibility to ask my supervisor or the Human Resources Department and get my questions answered. I understand that these policies and guidelines outline my responsibilities and AEA's expectations while I am employed here. I further understand that my employment is considered at will, subject to termination by the Authority at any time, with or without cause.

Date Employee Signature

Printed Name

PART III: POLICIES & GUIDELINES

Part III covers:

- Section 1: Benefits
- Section 2: Compensation
- Section 3: Employment Laws, Administrative Orders and Related Policies
- Section 4: Office and Employee Conduct
- Section 5: Performance Management
- Section 6: Definitions

Section 1

BENEFITS

This section covers:

- Holidays
- Insurance and Retirement
- Leave Accrual, Use of Leave and Leave of Absence

Part III: Section 1: BENEFITS

1. HOLIDAYS

<u>Legal Holidays:</u> Authority employees are State employees. The Authority observes the following as paid Authority holidays for non-temporary employees:

(1) The 1st of January, known as New Year's Day
(2) The 3rd Monday in January, known as Martin Luther King, Jr. Day
(3) The 3rd Monday in February, known as President's Day
(4) The last Monday in March, known as Seward's Day
(5) The last Monday in May, known as Memorial Day
(6) The 19th of June, known as Juneteenth
(7) The 4th of July, known as Independence Day
(8) The first Monday in September, known as Labor Day
(9) The 18th of October, known as Alaska Day
(10) The 11th of November, known as Veteran's Day
(11) The fourth Thursday in November, known as Thanksgiving Day
(12) The 25th of December, known as Christmas Day, and,
(13) Every day designated by public proclamation by the Governor of the State as a legal holiday.

Part-time employees will be entitled to those holidays on which they are regularly scheduled to work and will receive compensation only for those hours for which they would have been regularly scheduled to work.

If a holiday listed above falls on a Sunday, the following Monday shall be a holiday. If a holiday listed above falls on a Saturday, the preceding Friday shall be a holiday.

<u>Work Performed on a Holiday</u>:
Prior approval is required before working on a holiday for all employees.

For hourly/overtime eligible employees, all hours worked on a holiday will be paid at the holiday premium rate of straight time holiday pay in addition to seven and one-half (7.5) hours regular holiday pay. Hours that an employee works and for which the employee is compensated at the holiday premium rate will be considered hours worked for purposes of computing straight time overtime as well as 1.5 overtime eligibility.

For salaried/overtime ineligible employees who work on a holiday, all hours worked on a holiday will be recorded as regular hours worked; however, the employee will be credited the equivalent in personal leave, up to 7.5 hours, if the entire holiday was spent working. If the employee works only part of the holiday, a leave slip must be submitted for the amount of time not worked. For example, if an employee whose schedule is 7.5 hours per day, works 4 hours on a holiday, a leave slip must be completed for 3.5 hours to account for the difference in added to their leave bank.

Part III: Section 1: BENEFITS

2. INSURANCE AND RETIREMENT

Eligible employees are entitled to participate in several State benefit packages:

- Alaska Care Health Plans (employer provided with optional programs)
- Life Insurance (employer provided with optional coverage available)
- Alaska Public Employees' Retirement System (PERS) (mandatory for regular employees)
- Supplemental Benefits System (SBS) (mandatory for all employees)
- Deferred Compensation Plan (optional)
- Health Reimbursement Arrangement

For more information on these benefit packages, including additional optional benefits, contact the State of Alaska, Division of Retirement and Benefits or the Human Resources Department.

For more benefits information go to: http://doa.alaska.gov/drb/employee/index.html

Part III: Section 1: BENEFITS

3. LEAVE ACCRUAL, USE OF LEAVE, AND LEAVES OF ABSENCE

Effective 6/1/2020, the Authority converted to a bi-weekly pay period and therefore a bi-weekly leave accrual system. The following accruals are expressed in terms of hours and minutes. For example, 7:30 means 7 hours and 30 minutes.

Accrual:
Full-time, non-temporary employees of the Authority hired **after July 1, 2013**, accrue "Personal Leave" at the following rates:

1. 6:04 for each full bi-weekly pay period if the employee has less than two (2) years of State service.
2. 6:55 for each full bi-weekly pay period if the employee has two (2) but less than five (5) years of State service.
3. 7:47 for each full bi-weekly pay period if the employee has five (5) but less than ten (10) years of State service.
4. 8:39 for each full bi-weekly pay period if the employee has ten (10) but less than fifteen (15) years of State service.
5. 10:23 for each full bi-weekly pay period if the employee has fifteen (15) or more years of State service.

Full-time, non-temporary employees hired **prior to July 1, 2013**, accrue "Personal Leave" at the following rates:

1. 6:55 for each full bi-weekly pay period if the employee has less than two (2) years of State service.
2. 7:47 for each full bi-weekly pay period if the employee has two (2) but less than five (5) years of State service.
3. 8:39 for each full bi-weekly pay period if the employee has five (5) but less than ten (10) years of State service.
4. 10:23 for each full bi-weekly pay period if the employee has ten (10) or more years of State service.

Part-time employees accrue leave on a prorated basis.

There shall be no accrual of leave for any pay period during which an employee is absent without approved leave. The accrual will be adjusted for periods of approved leave without pay. Leave is not available for use until after 30 days of employment.

For purposes of leave accrual, "State service" includes work for the State prior to joining the Authority.

Use of Leave:
With prior supervisory approval, via email, calendar notification, or another written method agreed upon by the supervisor, an employee may take accrued Personal Leave when the Authority's business makes such leave convenient. Employees should make every effort to provide a 30 day advance notice when leave is being requested. If a 30 day advance notice is not possible,

as much notice as reasonably possible is expected. Leave in excess of two consecutive weeks requires the advance approval of the Executive Director.

Employees who are unable to continue working their scheduled hours due to an unplanned event need to notify their supervisor as soon as possible, making an effort to notify their supervisor prior to leaving for the day.

The Authority uses an electronic timesheet system that requires all leave to be documented. This electronic system automatically generates a leave form for each segment of leave taken. When a supervisor approves the employee's timesheet, they are also approving the leave form(s) required for processing payroll.

Mandatory Usage of Accrued Leave:

Leave accrued but not used shall carry over from one year to the next and accumulate until separation from service. However, AAM 280.060 requires that some mandatory days of Personal Leave must be used each leave year. Employees and their supervisors shall be advised during the month of November each year if the employee has not yet met the minimum requirement. If the employee does not schedule the mandatory days of leave, the supervisor may direct that the leave be taken to satisfy the requirement.

AS 39.20.225 (c) mandates ten days of personal leave usage in a leave year for employees covered by the statute that have a personal leave balance of 400 hours or less on the first day of the leave year and AS 39.20.240 (d)(2) mandates fifteen days of personal leave usage in a leave year for employees who have a balance in excess of 400 hours on the first day of the leave year.

AS 39.20.225 and AS 39.20.240 (d)(2) both state that unused mandatory leave will be subtracted, without pay, from the employee's accrued leave balance, unless the head of the agency (the Executive Director) certifies in writing that the employee was denied the opportunity to take the mandatory leave. In such cases, the employee may request to have that leave preserved. Such requests must be received by the HR Department by December 15th. The HR Department will verify that the requested leave was denied and no alternative dates were available. Once this verification takes place, the HR Department will work with the Executive Director to provide the required written certification to the SOA payroll department. In cases where the employee declined alternative dates proposed by the department leadership, the request to preserve unused leave most likely will be declined.

Please note: Each employee is responsible for tracking his/her leave usage. Employees may opt to cash in up to five days of leave to meet the mandatory usage of accrued leave requirement.

Leave Cash-In:

Employees with more than five (5) days of accrued personal leave may cash in personal leave up to six (6) times a year as provided in AAM 280.180 and 2 AAC 08.065. An employee may not reduce the employee's personal leave balance below 37.5 hours. For each leave cash-in request, the employee's leave balance will be reduced by the number of hours/days requested and the leave cash value will be reduced based on a first-in-first-out basis (the value of the leave accrued earliest shall be subtracted first). The amount paid to the employee will be the value reduced from the leave balance.

Donation of Leave:
Employees may donate accrued Personal Leave to another employee for medical leave purposes only. Donated leave will be deducted from the donor's account and credited to the recipient's leave account during the next payroll period. The amount of donated leave is based upon the hourly rate of the donor at the time of transfer. The total donation in hours by the donor will be transferred to the recipient in equal dollar amount but translated into hours based upon the recipient's hourly rate at the time of transfer. Leave donations must be submitted on the appropriate form available from the Human Resources Department. No leave is transferable or usable until properly posted.

Leave Balance at Separation (Terminal Leave):
An employee shall receive a lump sum payment within 30 days of separation of employment for any unused accrued Personal Leave. Compensation for leave balances shall equal the leave cash value of the employee's leave account at the time of termination.

Posting of Leave Accrued and Taken: Records of leave accrued and taken shall be maintained by DOPLR. An employee cannot use leave time before it has been accrued.

Leave and Holidays:
1. If an employee is on leave without pay (LWOP) all day before or after a holiday, the employee is considered to be on leave without pay for the holiday.
2. Personal Leave is not deducted for holidays falling within a period of paid Personal Leave.
3. If the employee's termination is effective on a holiday because the employee worked on that holiday, the employee will be paid for that holiday.
4. An employee's final day cannot be a leave day, unless it relates to a medical reason (i.e., workers' compensation, family leave, sickness, etc.).

Court Leave:
A full-time employee called to serve as a juror or subpoenaed as a witness is entitled to court leave at no loss of pay. If released before the end of the normal work day, the employee must return to work.

Court leave must be supported by written documents, such as subpoena, court clerk's statement of attendance, payment for jury duty, jury duty per diem and travel pay, etc.

An employee shall submit payment received from the Court for jury duty to the Authority's Finance Division.

Medical Leave:
An employee may take Personal Leave for medical reasons upon notification to the employee's supervisor. The supervisor may require written notification from a physician to verify the medical leave requirement for an absence exceeding one day. Written notification may be requested to verify the employee's ability to safely return to work.

The following constitute "medical reasons" for taking accrued leave and are subject to the conditions noted:

1. Illness or injury of an employee is a medical reason for taking accrued leave.
2. Illness or injury of a member of an employee's immediate family is a medical reason for taking accrued leave, provided that the employee's attendance to the immediate family member is required.

3. A medical condition of an employee that makes the employee's presence at work a danger to the health of fellow employees is a medical reason for taking accrued leave.
4. Death of a member of an employee's immediate family is a medical reason for taking five days of accrued leave. Additional days may be granted at the discretion of the supervisor.

An employee on approved medical leave will receive payment at the employee's current pay to the extent the employee has Personal Leave accrued.

If wage continuation payments are made to the employee under the Alaska Workers' Compensation Act, leave eligible employees will be placed on personal leave for absences that are the result of a workers' compensation injury or illness. Additionally, family leave entitlements are invoked for those employees who meet the required thresholds. Refer to AAM 280.360 – Family Leave.

Once a Report of Occupational Injury or Illness is filed, the Authority must ensure the employee reports all hours of leave related to the injury or illness and clearly identifies the leave as 'workers' compensation' on the leave slip. To meet this requirement a qualified leave slip will automatically be generated each time an employee uses the workers' compensation code option in the Authority's timesheet system.

An employee retains all workers' compensation lost wage payments. The employee's use of accrued leave is proportionately offset by the amount of work time represented by such payments. The work time represented by the lost wage payment is considered workers' compensation leave-without-pay.

The Department of Finance, Payroll Section, is responsible for processing all retroactive leave adjustments for workers' compensation claims.

The Family and Medical Leave Act of 1993 and the Alaska Family Leave Act:
The Authority complies with all requirements under the federal Family and Medical Leave Act of 1993 and the Alaska Family Leave Act (AS 39.20.500-.550). The provisions of these acts are complex and employees are encouraged to consult with the Human Resources Director with respect to the applicability of the Acts to particular circumstances. For more details and your rights and responsibilities under these Acts, please refer to **Appendix D.5.**

The following is a general description of these acts:

The Family and Medical Leave Act (FMLA)
FMLA requires covered employers to provide up to 12 weeks of unpaid job-protected leave to eligible employees for certain family and medical reasons (up to 26 weeks when caring for a covered service member). Employees are eligible if they have worked for the Authority or the State for at least one year (need not be continuous) and for 1,250 hours over the previous 12 months. For the duration of FMLA leave, employee health coverage is maintained under the group health plan.

The Alaska Family Leave Act (AFLA)
AFLA has certain requirements that the employee must meet to qualify. A qualified employee may take family leave of 18 work weeks during any 24-month period for a serious health condition or 18 work weeks within a 12-month period following childbirth or adoption.

For employees subject to AS 39.20.200-330, AFLA leave is available immediately upon employment with no restrictions on length of service, number of hours employed, or size of the local work force.

Reasons for Taking Leave: Unpaid leave is available for the following reasons for absence:

- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter, or parent, who has a serious health condition; or
- for a serious health condition that makes the employee unable to perform the employee's job; or
- for an employee whose family member is a military member who has a qualifying exigency or a serious illness or injury.

All FMLA (12 weeks), AFLA (18 weeks), and paid Personal Leave (balance of accrued leave when starting FMLA or AFLA) run concurrently. All employees must use their accrued Personal Leave while on FMLA and AFLA. AFLA allows a holdover of five (5) days of accrued Personal Leave for use upon return (AS 39.20.300-.310). Once an employee has opted to retain Personal Leave, that Personal Leave cannot be used for an ALFA leave condition until the AFLA leave entitlement is exhausted. If an employee elects this option, notice must be given to Human Resources to ensure proper notice has been provided by employees electing this option.

Advance Notice and Medical Certification**:** The employee may be required to provide advance leave notice and medical certification. Requests to take FMLA or AFLA leave may be denied if the requirements are not met.

- The employee ordinarily must provide 30 days' advance notice when the leave is foreseeable.
- The Authority may require medical certification to support a request for leave because of a serious health condition, and may require second or third opinions (at the Authority's expense), periodic updates, and a fitness for duty report to return to work.

For additional details, refer to the FMLA/AFLA policy adopted by the State located at: http://doa.alaska.gov/dop/fileadmin/absenceManagement/FMLARightsResponsibilities.pdf.

Information is also available in **Appendix D.5** of this manual**.**

Expressing Breast Milk at the Workplace:
The State of Alaska recognizes the health and economic advantages of breastfeeding for infants and mothers and provides a supportive environment to enable employees who are nursing mothers to express milk during work hours. **AAM 280.460**

Break Times and Locations

- Employees who are nursing mothers are allowed to express milk as needed. If an employee needs time in addition to the authorized break and lunch periods, she must adjust her work schedule with her supervisor's approval, or she may take leave in accordance with the appropriate bargaining unit agreement and leave policy.

- A place, other than a bathroom, that is shielded from view and free from intrusion from coworkers and the public shall be made available for employees to express breast milk.

Employee Responsibilities

- An employee wishing to express milk during her regular work hours shall keep her supervisor informed of her needs so that appropriate accommodations can be made to satisfy the needs of both the employee and the State as an employer.
- Nursing employees are responsible for keeping milk expression areas clean for the next user.
- Each nursing employee is responsible for proper storage of her milk. If a shared refrigerator is used, the employee should label expressed milk clearly with her name

  Federal Law requires employers to provide reasonable break time for an employee to express breast milk for her nursing child for one year after the child's birth each time such employee has need to express the milk. Employers are also required to provide a place, other than a bathroom, that is shielded from view and free from intrusion from coworkers and the public, which may be used by an employee to express breast milk. The break time requirement became effective when the Affordable Care Act was signed into law on March 23, 2010.

  Alaska Law states a municipality may not enact an ordinance that prohibits or restricts a woman breast-feeding a child in a public or private location where the woman and child are otherwise authorized to be. In a municipal ordinance, “lewd conduct,” “lewd touching,” “immoral conduct,” “indecent conduct,” and similar terms do not include the act of a woman breast-feeding a child in a public or private location where the woman and child are otherwise authorized to be. Nothing in this section may be construed to authorize an act that is an offense under a municipal ordinance that establishes an offense with elements substantially equivalent to the elements of an offense under AS 11.61.123. This section is applicable to home rule and general law municipalities.

Military Leave**:**

The Uniformed Services Employment and Reemployment Rights Act (USERRA) gives employees serving in all branches of the military reemployment rights if they are called into active military service. This service may be voluntary or involuntary and the employee must leave the military in good standing to qualify for reemployment. If an employee is called to active duty, the employee must notify the Authority in advance, either verbally or in writing, unless giving notice is impossible, unreasonable, or precluded by military necessity. The time period the employee has to apply for reemployment or to report back to work after military service is based on time spent on military duty. For example, for service of more than 180 days, the employee must submit an application for reemployment within 90 days of honorable discharge from active duty. For service of more than 30 days but less than 181 days, the employee must submit an application for reemployment within 14 days of release from service. For service of less than 31 days, the time period is very short.

If an employee is called to active military duty, the employee will need to claim the service for credit upon return to employment by contacting the Division of Retirement and Benefits. The employee must submit a written request, along with a copy of the employee’s discharge papers, to the Human Resources Department and the Division of Retirement and Benefits. USERRA provides that employees are entitled to be reemployed in the job he or she would have attained had he or she not been absent for military service, with the same seniority, status and pay, as well as other rights and benefits determined by seniority. USERRA also requires that reasonable efforts (such as training or retraining) be made to enable returning service members to refresh or upgrade their skills to help them qualify for reemployment. Administrative Order 213 allows State employees to continue health benefits when called to active duty in support of conflicts in Iraq and Afghanistan. Complete, detailed information about USERRA may be found online from the U.S. Department of Labor, Veterans Employment and Training Service.

Leave of Absence Without Pay**:**
Upon application by an employee, a leave of absence without pay may be granted by the Executive Director for the following:

- Disability because of sickness or injury. Such leave shall be limited to one month for each full month of service to a maximum of 24 months. The Authority, from time to time, may require that the employee submit a certificate from the attending physician or from a designated physician as evidence that the leave should be continued. In the event of a failure or refusal to supply such certificate or if the certificate does not clearly show sufficient disability to preclude the employee from the performance of the employee's duties, the Authority may cancel the leave of absence without pay and require the employee to report for duty on a specified date.
- When a leave of absence for travel or study will equip the employee to render more effective service, which the Executive Director deems beneficial to the interests of the Authority, and where the leave exceeds 6 months, the Authority may keep the position open by hiring a temporary or part-time employee on a substitute basis to perform the necessary duties of the position, until the return of the employee.
- Employees may be granted leave without pay, not to exceed a total of 12 months, on the basis of applications for leave without pay approved by the Executive Director. Such leave shall be granted only when it will not result in undue prejudice to the interests of the Authority beyond any benefits to be realized.

Cancellation of Leave of Absence:
All leaves of absence without pay may be canceled by the Authority upon written notice to the employee specifying a reasonable date of termination of the leave. The Executive Director, upon prior notice to the employee, may cancel an approved leave of absence if the Executive Director finds that the employee is using the leave for purposes other than those specified at the time of approval.

Effect of Leave Without Pay on Anniversary Date**:**
The leave anniversary date and the merit anniversary date of an employee shall be set forward one month for any leave without pay totaling 172.5 hours in the leave year.

Section 2

COMPENSATION

This section covers:

- Compensation
- Hours of Work
- Travel

Part III: Section 2: COMPENSATION

1. COMPENSATION

Employees in the exempt service in the executive branch are identified in AS 39.25.110. Compensation for these exempt employees is set by statute, by the State Officers Compensation Commission (AS 39.23.540) or by the appointing authority. (AAM 200.080). AEA is considered the "appointing authority" for employees working for AEA.

All employees of the Authority are in the exempt service, and therefore the Human Resources Director shall maintain and administer a pay plan for all employee positions. For positions in ranges 26 and below, unless otherwise approved, the pay plan will be based upon the State's exempt pay scale, "Unit Designation XE – Partially Exempt and Exempt Executive Branch Employees," N00 salary schedule.

Positions in range 27 and above, the Human Resources Director will administer a pay plan approved by the Executive Director(s) and/or the Board.

Hourly and Salary Rates:
Employees who are exempt from the Fair Labor Standards Act (FLSA) will be paid on a salary basis, and those employees who are not exempt from FLSA will be paid on an hourly basis.

Overtime Pay:
An employee who is eligible for overtime pay (employees paid on an hourly basis) in accordance with these guidelines and FLSA shall be paid at the employee's regular hourly rate for hours actually worked in excess of 37.5 hours and up to 40 hours during the work week. Overtime compensation for eligible employees will be paid at time and one-half the employee's hourly rate for hours actually worked in excess of 40 hours per week. Leave and holiday time are not considered hours worked for purposes of overtime compensation.

Work Performed on a Holiday:
Prior approval is required before working on a holiday for all employees.

For hourly/overtime eligible employees, all hours worked on a holiday will be paid at the holiday premium rate of straight time holiday pay in addition to seven and one-half (7.5) hours regular holiday pay. Hours that an employee works and for which the employee is compensated at the holiday premium rate will be considered hours worked for purposes of computing straight time overtime as well as 1.5 overtime eligibility.

For salaried/overtime ineligible employees who work on a holiday, all hours worked on a holiday will be recorded as regular hours worked; however, the employee will be credited the equivalent in personal leave, up to 7.5 hours, if the entire holiday was spent working. If the employee works only part of the holiday, a leave slip must be submitted for the amount of time not worked. For example, if an employee whose schedule is 7.5 hours per day, works 4 hours on a holiday, a leave slip must be completed for 3.5 hours to account for the difference in added to their leave bank.

Total Remuneration:
The salary paid to an employee shall represent the total remuneration for services rendered by the employee. Except as otherwise provided in these guidelines or unless approved in

advance by the Executive Director, no employee shall receive pay from the Authority in addition to the salary authorized, regardless of whether the employee's services were in the discharge of the employee's ordinary duties or any additional duties the Authority assigned or were volunteered by the employee.

Compensation includes payment for hours of paid leave and holidays, in accordance with these guidelines.

New Employee's Pay:
Every position at the Authority has been assigned a pay range which allows Human Resources and the Executive Director to choose a starting pay that reflects the final candidate's level of proficiency. An entry-level candidate should be at the beginning of the pay range; whereas an experienced candidate should start further along the pay range. The following factors will be used to determine the starting pay of a new employee:

- Comparable pay with internal staff;
- Individual's knowledge, skills, abilities, experience, education, licenses, or certification that are relevant to the position and enhance an employee's ability to excel in the position;
- Recruiting difficulty (size of qualified applicant pool, length of recruitment, etc.;
- Budget

Promoted Employee's Pay:
A promoted employee's entrance salary shall take the following elements into consideration:

- Comparable pay with internal staff;
- Individual's knowledge, skills, abilities, experience, education, licenses, or certification that are relevant to the position and enhance an employee's ability to excel in the position;
- Budget

Promotions cannot change the employee's status as an "at will" employee. Even though an employee may receive a promotion, or more than one promotion, all employees remain "at will" employees whose employment is subject to termination by the Authority at any time, with or without cause.

Temporary Promotion Pay (Acting in a Higher Range):
An employee who has accepted a delegation to perform essentially all of the duties of a specific position at a higher range for fifteen (15) or more consecutive calendar days shall be paid at the step of the higher range that would be appropriate in case of a promotion, retroactive to the first day of such duties. The employee's pay will be adjusted back to the prior pay when the higher level acting assignment ends.

Transferred Employee's Pay:
An employee transferred from one Authority position to another Authority position that is assigned to the same pay range may be appointed at the same pay held prior to transfer, and the employee's merit anniversary date shall remain unchanged.

Re-evaluated Position:
An employee occupying a position which is reassigned to a lower pay range or reassigned to a higher pay range shall be treated as follows:

- If an employee's current salary is the same as any step in the new range, the employee shall enter the new range at the equivalent step.
- If an employee's current salary falls between steps, the employee will be placed at the higher step.
- The merit anniversary date and the performance review cycle of an employee whose position is re-evaluated will remain unchanged.

Demoted Employee's Pay:
An employee who is demoted involuntarily will enter the new pay range at no less than the step/increment occupied in the higher range. An employee who receives a voluntary transfer to a position assigned a lower pay range may be paid at the step/increment in the lower range position that best matches the employee's current pay.

Merit Increases:
Merit increases shall be based upon the Authority's evaluation of an employee's performance. A merit increase may be given to an employee who has received a "Mid-Acceptable" or better performance evaluation. Such increases are not mandatory even if acceptable performance is observed.

Merit Anniversary Date (MAD):
The merit anniversary date shall be the first day of the pay period following the completion of one year of service in the current position based on the employee's date of hire. For part-time employees, the merit anniversary date moves by one month for each 172.5 hours of non-worked time. At the beginning of each year, the computation begins anew.

For employees who are granted a promotion, their MAD shall be the first day of the pay period following one year in their new position.

MAD and Performance Evaluations:
The Authority has adopted an October 15th end date for the annual performance evaluation cycle. If granted a pay increase, the effective date of the increase will coincide with the employee's MAD.

Step Increases and Pay Increments:
For positions in pay ranges 26 and below, each range is comprised of steps "A" to "F" and increments "J" to "Z". Steps (B), (C), (D), (E), and (F) of the pay range shall be used at twelve (12) month intervals for merit increases where an employee has demonstrated satisfactory service of a progressively greater value to the Authority. Once at Step F, pay increment increases will be every two years (24 months) and every two years after that based upon the Authority's evaluation of an employee's performance. Exceptions to step increases and pay increments are at the discretion of the Executive Director.

The merit anniversary date does not change when a merit increase is withheld. If the employee's standard of performance reaches acceptable levels later in the year, the step or pay increment increase may be granted effective the first day of the pay period following the acceptable performance level.

When an employee's level of work performance becomes less than "Acceptable," an interim performance evaluation may be prepared. When such an evaluation is prepared, and the level of performance does not reach "Acceptable" within the subsequent thirty (30) calendar day period, one (1) salary step may be withdrawn on the first day of the pay period following completion of the thirty (30) calendar day period, provided the employee's salary is other than the entry step of the salary range. Continued issues of less than “Acceptable” performance may lead to disciplinary actions, up to and including termination.

Merit increases do not change the employee’s status as an “at will” employee. Even though an employee may receive a merit increase or a series of merit increases, all employees remain “at will” employees whose employment is subject to termination by the Authority at any time, with or without cause.

Cell Phone Reimbursement:
Employees that require a cell phone, smart phone, or tablet will be eligible for an allowance as set out in set out in AAM 320.340. If issued an Authority owned device (cell phone, smart phone or tablet) no allowance will be provided.

Part III: SECTION 2: COMPENSATION

2. HOURS OF WORK

Scheduled Hours of Work:
Supervisors, with the prior approval of their Directors, shall establish the scheduled hours of work for employees under their supervision within the Authority's parameters.

Minimum Work Week:
37.5 hours of actual, authorized duty between Sunday midnight to the following Sunday at midnight (Monday 12:00 am through the following Sunday 11:59 pm), shall constitute the minimum work week for full-time employees, with recognition for authorized holidays and personal leave.

Normal Work Week:
The normal work week shall consist of five consecutive work days, Monday through Friday.

Normal Work Day:
The normal work day shall consist of seven and one-half (7.5) hours, with an unpaid lunch break. A lunch break of not less than thirty (30) minutes or more than one (1) hour will be required for hourly employees, approximately midway during each shift. Based on the needs of the Authority, the time scheduled for the lunch break may be modified from time to time.

Overtime Hours:
For employees paid on an hourly basis, overtime must be approved in advance by the employee's supervisor. All hours of work performed by hourly/overtime eligible employees that fall between Monday 12:00 am through Sunday 11:59 pm each week, are to be reported on the employee's timesheet. Working extended periods of time without a break becomes a health and safety issue. In most circumstances, overtime of more than four hours a day will not be approved.

Timesheets:
Timesheets are completed on a bi-weekly cycle (every two weeks), and must be fully completed, accurate, and physically or digitally signed by the employee and approved by the supervisor. For employees who do not work on Saturday or Sunday, timesheets must be completed and submitted to your supervisor for review by the end of the day on the Friday before the end of the pay cycle on Sunday. Supervisors must review and either reject or approve timesheets on or before the Monday following the end of the pay cycle, by 10:00 am or by the deadline determined by the Authority department responsible for overseeing the timesheet process. All leave slips and jury duty papers from the court must accompany the timesheet. Timesheet falsification is grounds for termination.

Work Performed on a Holiday:
Prior approval is required before working on a holiday for all employees.

For hourly/overtime eligible employees, all hours worked on a holiday will be paid at the holiday premium rate of straight time holiday pay in addition to seven and one-half (7.5) hours regular holiday pay. Hours that an employee works and for which the employee is compensated at the holiday premium rate will be considered hours worked for purposes of computing straight time overtime as well as 1.5 overtime eligibility.

For salaried/overtime ineligible employees who work on a holiday, all hours worked on a holiday will be recorded as regular hours worked; however, the employee will be credited the equivalent in personal leave, up to 7.5 hours, if the entire holiday was spent working.

Office Closures:
Authority offices will be closed only at the direction of the Governor or the Governor's designee or the Executive Director or the Executive Director's designee. No other State agency can independently make this determination. The Commissioner of the Department of Transportation and Public Facilities (DOTPF) shall be responsible for communicating decisions on office closures to the rest of State government, the media, and the public. For employees with an approved telework agreement, please refer to the policy and agreement for details on how office closures and severe weather emergencies relate to work expectations.

During an office closure or early release event due to a **deemed emergency** such as inclement weather or uninhabitable facilities, employees will report time worked using the 100 (regular hours) payroll code and then use 100W (office closure) payroll code to report the regular hours they were unable to work due to the office closure. For overtime eligible employees, hours recorded under 100W (office closure) payroll code do not count towards the overtime threshold.

Since the Authority uses project codes in conjunction with payroll codes, please follow the table below regarding the project codes that are applicable to your position:

Agency	Project Code	Project Name	Stage Code
AEA-Direct	300001	REG ADMIN – AEA Rural Energy Ops	28 – SOA Office Closure

Authority Shared Services

Agency	Project Code	Project Name	Stage Code
Shared-Undes	900000	Shared – 50/50 undesignated AIDEA/AEA	28 – SOA Office Closure

An office closure/early release event does not alter leave requests for employees who were on scheduled leave for this time (i.e. out on vacation, due to illness, or general personal leave). In this case, leave slips for the absence should still be submitted and reported on the timesheet.

Employees who are ineligible for leave (temporary) are only paid for hours actually worked and are not paid for an office closure/early release event.

For additional details, please refer to the State of Alaska website on time reporting and office closures: http://doa.alaska.gov/dof/payroll/officeclosure.html

Returning to Duty:
Upon an office closure, all employees who are normally scheduled to work on-site are expected to be ready, willing, and able to return to work upon direction to do so; immediate supervisors should maintain a list of contact numbers. When the office of the Authority is closed, full-time

employees not on leave initiated prior to the closure, will be compensated for scheduled work time. Leave slips will not be adjusted for employees already on leave.

Flex Time:
Flex time may be authorized to allow for the execution of duties outside an employee's normal work day. Flex time will be considered on a case-by-case basis and must be approved in advance by the employee's immediate supervisor.

Telework:
After a minimum of six (6) months of employment with the Authority, an employee may be eligible to work a portion of their duties remotely. Refer to the full telework policy and agreement requirements available in **Appendix A**. Telework requests will be considered on a case-by-case basis and must be approved in advance by the employee's immediate supervisor/the Director and the Executive Director.

Other Employment:
No employee shall engage in any outside employment or volunteer work, either public, private, or self-employment, which conflicts with the Authority's interest or that adversely affects the employee's availability and usefulness as an employee of the Authority. An employee may use leave time to engage in outside employment if approved in advance by the employee's supervisor.

Any employee engaging in outside employment shall notify the Executive Director, or the Executive Director's designee. Notification will occur in writing by completing the required ethics disclosure form indicating the nature and extent of such employment prior to commencing such work or immediately upon hire. The ethics disclosure form will be updated and submitted annually. The Executive Director or the Executive Director's designee shall make a determination as to whether or not a conflict exists and shall promptly notify the employee of the decision. Volunteer activities, including service on boards, must also be disclosed. For more information, see AS 39.52, Alaska Executive Branch Ethics Act.

3. TRAVEL

As an employee of the Authority, you may need to travel in connection with your position. The Authority follows certain internal processes regarding approving travel; however, the travel policies of the State of Alaska are adopted by the Commissioner of the Department of Administration in accordance with AS 39.20.160.

The travel policy addresses how reimbursement for actual and necessary expenses are handled and the limits imposed.

To review the State's Travel Policy, go to **Appendix D.14** in this manual**.** For information on the Authority's internal processes, please refer to **Appendix D.14.1** or reach out to your designated travel coordinator or the Executive Assistant for guidance.

Part III: Section 3

<u>EMPLOYMENT LAWS, ADMINISTRATIVE ORDERS, AND RELATED POLICIES</u>

This section covers:

- Alcohol and Drug Free Workplace
- Americans with Disabilities Act
- Business Use Acceptable Use Policy (Personal Use of Office Technology Policy)
    - AI Guidance Summary
- Discrimination and Diversity in the Workplace
- Effects of Violation of Federal or State Law
- Employment of Immediate Family
- Equal Employment Opportunity
- Information Technology, Public Records and Record Retention
- Prohibitions and Penalties
- Return to Work After Retirement
- Separations, Suspensions and Demotions
- Sexual Harassment and other Discriminatory Harassment
- Travel Policy
- Whistleblower Act

Part III: Section 3: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

1. ALCOHOL AND DRUG-FREE WORKPLACE

It is the Authority's policy to provide an alcohol and drug-free workplace. Any employee who unlawfully manufactures, distributes, uses, or dispenses a controlled substance or alcohol at the workplace or during working hours is subject to discipline including immediate dismissal.

Any employee under the influence of illegal drugs or alcohol while on Authority premises or while on Authority business is subject to disciplinary action up to and including termination.

An employee who has been convicted of an offense involving alcohol or a controlled substance must report that conviction to the Authority within two working days. An employee who fails to make this report is subject to disciplinary action up to and including termination.

Upon hire, each employee acknowledged that a failure to adhere to the provisions of the SOA Alcohol and Drug Free Workplace policy may result in disciplinary action, up to and including, termination from employment.

For further details on the SOA policy, please refer to **Appendix D.1**

2. AMERICAN WITH DISABILITIES ACT

Below is **an introduction** to Administrative Order No. 129. You are encouraged to read the entire Order located in **Appendix D.2.**

Administrative Order No. 129

In 1990 the President of the United States signed into law the Americans with Disabilities Act (42 U.S.C. Sec. 12101 et seq.) mandating the elimination of discrimination against individuals with disabilities and requiring state and local governments, among other affected entities, to begin complying with the Act in 1992.

It has also been the policy of the State of Alaska, as expressed in the Alaska Human Rights Act (AS 18.80) and reflected in a number of other statutes, including

- AS 11.76.130 (making it a crime to interfere with persons with disabilities)
- AS 09.20.010 (permitting disabled people to serve as jurors)
- AS 35.10.015 (regarding accessibility of public buildings),
- AS 36.30.040(b)(16) (requiring procurement regulations to prohibit discrimination),
- AS 39.25.150(21) (requiring the personnel rules to grant employment preference in state service to severely handicapped persons),
- AS 44.21.500 -.509 (establishing a mechanism for dealing with complaints of employment discrimination in state government), and
- AS 47.80 (governing programs for people with disabilities)

to eliminate and prevent discrimination because of physical or mental disability in employment, in credit and financing practices, in places of public accommodation, in the sale, lease, or rental of real property, and in government policies, practices, and services. In addition AS 18.80.200(b) makes it the policy of the state to encourage and enable physically and mentally disabled persons to participate fully in the social and economic life of the state and to engage in remunerative employment.

For the full details on this Administrative Order, please refer to **Appendix D.2**

Part III: Section 3: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

3. BUSINESS USE-ACCEPTABLE USE POLICIES

Below is a summary of the Business Use/Acceptable use policy located in **Appendix D.3**. You are encouraged to read the entire policy to ensure a full understanding of the policy.

The purpose of this policy is to outline acceptable use and clarify the protection of State of Alaska (SOA) information assets and technology resources. Unacceptable use exposes SOA to unwarranted risk (e.g., virus attacks, compromised network systems, services and legal issues associated with data tampering, data theft and privacy).

This policy applies to employees, partners, contractors, consultants, temporaries, other SOA/Authority workers and workers affiliated with third parties or anyone having access to SOA/Authority information that is not directly accessible to the general public from a non-SOA/Authority network (e.g., Internet).

Employees, partners, etc. must use SOA/Authority networks and associated systems for authorized business purposes only. They must not access information, programs, or systems when such access is not required for an authorized business purpose.

Furthermore, employees, etc. must not use personal computing equipment (e.g., laptops, PC, workstations, servers, external hard drive, USB devices, smartphone or other networking equipment) within the SOA wide area network (WAN) or local area networks (LANs) for SOA/Authority or personal business. [For clarification, devices that store or process Authority data shall be provided by the Authority's IT department, unless it is a smartphone that has been approved for incidental use by the IT department and the supervisor. Personal PC accessories may be used if approved by the Authority IT Department.]

Authorized users are responsible for the security of their passwords and accounts. System level passwords should be changed regularly.

Employees must use extreme caution when opening files that have been sent to or received either electronically or on removable media

Unacceptable Use: Under no circumstances are employees of the SOA/Authority authorized to engage in any activity that is illegal or in violation of local, State, federal or international law, or Alaska Administrative Code.

Prohibited email, communication activities, system and network activities, as well as prohibited system and network activities are listed in the full policy located in **Appendix D.3**

Part III: Section 3: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

3.1 Artificial Intelligence Guidance Summary

As a State of Alaska (SOA) employee, the use of Artificial Intelligence (AI) may be allowable provided you adhere to SOA Information Security Policies (ISPs) and receive authorization from the Authority.

Although current ISPs do not directly address the general term of Artificial Intelligence, many of the security principals in the current ISPs hold true when applied generally to AI. Until policies are developed to specifically address the use of Artificial Intelligence to accomplish or augment work performed on behalf of the Authority or the State of Alaska, this overview and the AI Guidance located in **Appendix D.3.1** will serve as the starting point on whether incorporating AI into your position is appropriate.

When used appropriately, AI technologies offer powerful tools to augment existing operations by enhancing the capabilities of our workforce through innovation and automation. When used inappropriately, these same powerful tools can reduce privacy, accuracy of information, and legal compliance.

For example, "Publicly available AI platforms such as Chat-GPT can be helpful for content creation and state business based on public information but are not suitable for **<u>confidential or compliance regulated data</u>**. Personnel shall exercise discretion and not share or expose confidential, or compliance regulated data on these unregulated platforms."

When appropriate, the Authority may pre-approve certain Generative AI Platforms for the employees to use. If uncertain if pre-approval has been granted, please reach out to your direct supervisor or the Authority's Information Technology Department for clarification.

Regardless if a broad pre-approval or specific approval has been granted, by using **Generative AI** or any SOA IT resource you continue to agree to use it responsibly and in compliance with SOA ISPs. You will not use the AI system to create or distribute any content that is defamatory, discriminatory, malicious, deceptive, or that infringes upon the rights of others. Any misuse of an SOA IT system that may or may not include AI may result in the termination of access. The state reserves the right to monitor and moderate the usage of the AI system to ensure compliance with current ISPs.

Adaptive AI

Adaptive AI remembers the data entered and the response to that data. Because Adaptive AI not only consumes data, but has the potential to retain it, it is very important that data only be entered that meets SOA compliance requirements for security and retention within the acceptable use policy, SOA ISPs, department policies, federal and state statutes, and regulations.

There is an inherent risk that inputs may influence the outcomes of Adaptive AI systems. Automated responses with no human oversight may result in unintended outcomes normally not present with such oversight is present.

A current risk assessment and management plan for any Adaptive system that may pose a risk for use or interfaces with confidential data or is a critical application is required. Additionally, AI models incorporated into SOA/Authority systems should be tested and reviewed for quality control, ensuring proper validation of any work product or automated processes.

Until otherwise approved, the general use of AI platforms is restricted to platforms or systems verified as hosted within the United States. Low risk exceptions requires coordination through the State Security Office.

Each employee is encourage to read the entire AI Guidance located in **Appendix D.3.1** to ensure a better understanding of whether the use of AI is appropriate for your position.

Part III: Section 3: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

4. DISCRIMINATION and DIVERSITY IN THE WORKPLACE

The Authority prohibits discrimination in compliance with Title VI and complies with the State of Alaska's Executive Branch policies prohibiting discrimination, harassment, and sexual harassment and other discriminatory practices (Administrative Order No. 195). Copies of the policies are posted on site. For more details, please refer to **Appendix D.4.**

Below is a summary of Administrative Order No. 195, Diversity in the Workplace.

Alaska is one of the most ethnically diverse states in the nation. As Alaskans, we cherish our freedoms and civil rights.

As a nation and a state dedicated to democracy and civil liberties, we, as individuals, employers, employees, and communities must do all we can to eliminate discrimination and intolerance from our society and celebrate our diversity.

While tolerance and respect for all peoples inherently is the responsibility of each individual, those in leadership and institutional roles should lead this effort and teach by example. As an employee, public servant, and institution, the State of Alaska can take steps to improve our workplaces and customer service to reflect the diversity of our state and our respect for all peoples.

It is the continued goal of the executive branch to eliminate discrimination and harassment in the contexts of the state as an employer and service provider; to assure timely response to discrimination and harassment complaints concerning state personnel or services; to prohibit and prevent discriminatory behavior in the state workplace based on race, sex, color, religion, physical or mental disability, sexual orientation, or economic status, to assure that all Alaskans have the opportunity to compete fairly for state jobs; and to assure that state personnel serve all Alaskans with respect.

To review the full Administrative Order, please refer to **Appendix D.4.**

5. EFFECTS OF VIOLATIONS OF FEDERAL OR STATE LAW

2 AAC 07.416. Effects of violations of federal or state law. (a) An employee who receives a citation requiring a court appearance, or who is arrested or convicted for a misdemeanor or felony, must report the citation, arrest, or conviction to the employee's division director [the Executive Director] by the end of the following working day. An employee who fails to report a citation, arrest or conviction may be subject to disciplinary action, up to and including dismissal. (b) An employee who violates a federal or state law or regulation may be subject to disciplinary action up to and including dismissal if there is a clear nexus between the offense and the employee's duties or if the violation impairs the employee's ability to perform the duties of the employee's position.

6. EMPLOYMENT OF IMMEDIATE FAMILY

General:

Applications for employment from immediate family will be considered with other qualified applications when vacancies occur. Some restrictions in job placement will apply to help prevent problems of supervision, safety, security or morale.

Policy:

1. Immediate family will not be hired into a position where the person will directly or indirectly supervise or be supervised by another family member.
2. Immediate family will not be placed in positions where the person will have access to sensitive or confidential information regarding other immediate family.
3. If employees become related after employment and a conflict such as described in paragraph 1 or 2 exists, or, if a reorganization creates such a conflict, reasonable time will be provided to resolve the matter voluntarily or by transfer of one of the employees or some other method.
4. The Authority will abide by the restrictions set out in AAM 100.050 and 2 AAC 07.950.

7. EQUAL EMPLOYMENT OPPORTUNITY:

ADMINISTRATIVE ORDER NO. 75

It is the policy of the Executive Branch of Alaska State Government that all employees and applicants for employment shall be afforded equal opportunity in all aspects of personnel management. To insure equal opportunity there shall be no unlawful discriminatory treatment concerning any individual or group because of race, religion, color, or national origin, age, physical handicap, sex, marital status, changes in marital status, pregnancy or parenthood.

By virtue of the authority vested in me as Governor, I hereby direct that this order be implemented in accordance with the attached Procedures for Implementing Administrative Order No. 75.

This Order takes effect on April 8, 1983.

DATED at Juneau, Alaska, this 7th day of April, 1983.S/S Bill Sheffield
Bill Sheffield Governor of the State of Alaska

To view the entire policy go to: https://gov.alaska.gov/admin-orders/administrative-order-no-075/

8. INFORMATION TECHNOLOGY, PUBLIC RECORDS AND RECORD RETENTION

General:

As a result of your employment with the Authority, the work you perform and the documents, reports, etc. that you produce may qualify as a public record and/or may require retention for either public review or for general compliance purposes. To ensure an understanding of the requirements regarding public records, record retention, and naming of electronic files and folders, **Appendix D** includes the policies adopted by the State of Alaska.

Policy:

As employees of the State of Alaska, the following policies apply to Authority employees:

- Email Retention Policy (**Appendix D.6**)
- How to name Electronic files and folders (**Appendix D.7**)
- Record Retention and Disposition schedule (**Appendix D.8**)
- Retention of Public Records (**Appendix D.9**)

The Authority may read an employee's email, listen to voice mail, review browser history and otherwise routinely monitor usage of the Authority's office technologies. No employee shall be entitled to any personal privacy rights in the use of the Authority's office technologies. Without consulting with the employee or obtaining the employee's consent, the Authority may give law enforcement officers, auditors, investigators, or others the right to access any information or data that is part of the Authority's office technologies.

9. PROHIBITIONS AND PENALTIES

Code of Ethics:

The Alaska Executive Branch Ethics Act (AS 39.52.010 – 39.52.965) applies to all current and former executive branch public employees and members of statutorily created boards and commissions. Accordingly, this Act and the regulations adopted under it apply to all Authority employees. The Act does not discourage independent pursuits, as long as those activities are arranged so that employees do not benefit financially or personally from their actions as public employees. Employees are required to carefully review the Act and the regulations promulgated under it. If an employee is involved in outside employment or activities that may appear to be in conflict with the public trust, contact the Department of Law, 1031 West 4th Avenue, Suite 200, Anchorage, AK 99501-1994, 907-269-5100 for more information. (The general headings covered in the Code of Ethics include misuse of official position; improper gifts; improper use or disclosure of information; improper influence in state grants, contracts, leases or loans; improper representation; outside employment restricted; and, restrictions on employment after leaving state service.)

Information on the Act is available in **Appendix D.13** and on the Alaska Department of Law's website, https://www.law.alaska.gov/doclibrary/ethics.html. The website includes a video, self-guided training, disclosure forms, and guidance on particular issues.

Outside Employment:

An employee must complete, submit, and have an approved Ethics Disclosure Form available from the Human Resources Department prior to accepting or engaging in paid or unpaid private employment or rendering services for private interests. Approval for outside employment and services is at the discretion of the Executive Director or the Executive Director's designee. Disclosure of outside employment must be re-submitted annually.

Securing of Positions:

No person may give, render, pay for, offer, solicit, or accept any money, service, gift or other object of value in connection with any Authority employment decision or condition.

Party Assessments:

No person may require any assessment, subscription, contribution, or service for any political party from any Authority employee.

Party Endorsement:

State employees are prohibited from using state funds, equipment, facilities, or other government resources for partisan political purposes, including activities intended to benefit or harm a candidate, political party, or group. They also may not display or distribute partisan political materials while on state time or coerce subordinates to engage in activities for personal or political gain.

Post Authority Employment:

Any employee who leaves Authority service may not, for two years after leaving, represent, advise, or assist a person or firm for compensation regarding a matter that was under consideration by the Authority and in which the employee participated personally and substantially through the exercise of the employee’s work duties. *See* AS 39.52.180 for additional information on restrictions after leaving Authority employment.

Nomination and Candidacy:
Any employee who seeks nomination or becomes a candidate for any statewide elective political office (other than a non-partisan office in a local governmental unit) shall immediately resign the employee's position.

Misrepresentation:
No employee shall knowingly make false statements, certificate, mark, rating or report with regard to any test, certification, employment decision, or other official Authority action.

Rights of Others:
An employee shall not defeat, deceive, or obstruct any other Authority employee or other individual’s right to examination, eligibility, certification, appointment, or promotion under these guidelines.

Investments:
An employee shall not own, or invest, or hold any investment directly or indirectly in a financial, business, commercial or private entity or transaction in which the employee’s duties with the Authority may include taking or withholding official action related to the business, entity or transactions.

Use of Information:
No employee shall use information peculiarly within the employee’s knowledge or purview concerning the property, government or affairs of the Authority to advance the financial or other private interest of the individual or others.

Use of Office Technologies:
The Authority provides various office technologies, including but not limited to voice mail, email, and internet access, to enable employees to further the Authority’s interest. Personal use of office technology shall be kept to a minimum. All employees must adhere to the State of Alaska’s Business Use-Acceptable Use Policies (ISP-172). The full policy is located in **Appendix D.3**. The Authority may restrict access to certain internet sites and may change the sites to which access is permitted.

Gifts and Favors:
No employee shall accept any form of salary, payment, gift, loan, or any gratuity for the performance of the employee’s duties, other than the salary paid by the Authority. The cumulative value of gifts (whether in the form of money, service, loan, travel, entertainment, hospitality, employment, promise or any other form) an employee may accept in any calendar year shall not exceed $500 from any individual, organization or combination of individuals and organizations representing identical or similar interests, upon whom the employee may take or withhold action. Employees may not accept a gift with a value in excess of $150 from a giver, upon whom the employee may take or withhold action, if the gift benefits the employee’s personal or financial interests and is given under circumstances in which it could reasonably be inferred that the gift is intended to influence the performance of official duties, actions or judgment. All gifts over

$150 must be disclosed to the Executive Director or designee on an Ethics Disclosure Form within 30 days after receipt.

Purchases of Commodities and Services:
No employee may be a party to the purchase of or influence the purchase of goods or services by the Authority from any person, company or business in which they have a substantial financial interest unless approved in advance by the Executive Director. Such approval shall be in written form and be open to inspection by the public.

Legal Counsel:
No employee may retain private legal counsel at the expense of the Authority for advice or defense in any matters regarding the employee's job performance or exercise of official duties without the prior approval of the Executive Director and the Attorney General.

10. RETURN TO WORK AFTER RETIREMENT

An employee who separates employment and is receiving Public Employees Retirement System (PERS) benefits is require to fulfill the requirements set forth in the PERS statues and regulations before being allowed to return to work for a PERS qualified employer.

Below are the basic requirements for returning retirees; for specifics related to your situation, please visit the Alaska Division of Retirement and Benefits:

Return to work after retirement means returning to a position covered by the Public Employees Retirement System (PERS).

The PERS plan requires cessation of pension benefits during re-employment in a position covered by the same retirement system (AS 39.35.152; AS 14.25.043). Federal law similarly restricts re-employment into positions which are not covered by the retirement systems, such as temporary, non-permanent positions or independent contractors if the positions are with the same employer from which the person retired. Therefore, to protect the retirement system and members, before a retiree can return to work, the person must meet the following requirements:

- Demonstrate a "bona fide separation from service". For retirees under age 62, a minimum of six (6) months is requires. For retirees 62 and older, a minimum of 60 days break in service is required;
- Certify that no pre-arrangement to return to work occurred prior to retirement; and
- Agree to repay the retirement system for all retirement benefits received if a pre-arrangement for reemployment is discovered.

To have a bona fide separation from service, a member cannot retire from service with his/her employer, but also have a prearranged agreement to be rehired by the same employer. Under Federal law, a "bona fide separation from service" includes the prohibition of a returning employee in an independent contractor's role, consultant's role, leased employee role, etc.

To review the State policy on Retiree Return to Work, please see **Appendix D10.**

Part III: Section 3: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

11. SEPARATIONS, SUSPENSION AND DEMOTION

The Authority adheres to the implied covenant of good faith and fair dealing inherent to employment relationships in Alaska. Authority employees may be separated from employment due to retirement, resignation, layoff, or dismissal.

Retirement:
Employees who are eligible for retirement in accordance with applicable statutes and regulations of the Public Employees' Retirement System.

Resignation:
Employees are normally required to give the Authority written notice at least 14 calendar days prior to the effective date of their resignation. Resignations may be rescinded with the approval of the Executive Director. Additionally, the Authority will consider an employee to have resigned if the employee does either of the following:

1. Does not return from an approved leave of absence on the date specified by the Authority; or
2. Fails to report to work or fails to call in for three or more consecutive work days.

Layoff:
The Authority may lay off an employee if positions are eliminated, if there is a shortage of work or funds, or for other reasons outside the employee's control that do not reflect discredit on the services of the employee. Layoff decisions are not based on seniority but rather on the needs of the Authority. The Executive Director will attempt to provide at least a 10 working day written notice of layoff to affected employees. A thirty (30) calendar day notice may be provided at the discretion of the Executive Director. Layoff notices will be in writing and state the reason for layoff. This is a separation from employment, and laid off employees are not granted any recall or bumping rights.

Dismissal:
An employee may be dismissed at any time with the approval of the Human Resources Director and the Executive Director.

When appropriate, the Human Resources Director and Executive Director may approve a suspension and/or a demotion in lieu of other separation options.

Suspension:
The Authority, with the approval of the Human Resources Director and the Executive Director, may suspend any employee by putting the employee on leave without pay status. The employee will be notified prior to suspension. Leave accrual will be proportionately reduced while an employee is suspended without pay.

Demotion:
An employee may be demoted because of an inability to satisfactorily perform the employee's work or for any other job-related reason, with the approval of the Executive Director and the Human Resources Director.

12. SEXUAL HARASSMENT AND OTHER DISCRIMINATORY HARASSMENT

The Authority complies with Administrative Order No. 81

Below is the introduction to this policy. For the full details on this policy, refer to **Appendix D.12.**

The Executive Branch of the State of Alaska, as an employer, will not tolerate, condone or permit any kind of harassment of employees or applicants for employment on the basis of their sex, color, race, religion, national origin, age, handicap, marital status, changes in marital status, pregnancy or parenthood. Such harassment is in direct violation of Federal and State law and is inconsistent with the State's policy on equal employment opportunity.

Persons who knowingly engage in or instigate such harassment will be subject to disciplinary actions which may lead to suspension and discharge. Additionally, managers and supervisors who knowingly permit harassment activity to occur without further action will be subject to disciplinary action. Where such prohibited activity is perpetrated by a non-employee, the State will take available and appropriate disciplinary action which may include, by way of example, loss of contract.

13. TRAVEL POLICY SUMMARY (AAM 60)

Below are key elements from the State of Alaska Travel Policy. The full policy is located in **Appendix D.14.** Additionally, AEA's internal travel procedures are located in **Appendix D.14.1.**

All travel shall be approved in advance. Additionally, preapproval for a rental car, travel advance, and/or reimbursement of actual lodging costs require approval. Following completion of travel, actual travel expenses must be documented using the form required by the State/Authority. Contact the designated travel coordinator for the appropriate form.

Duty Station:
The duty station of a traveler includes the city, town, or village within 50 miles of where the traveler spends the major portion of their working time, or the place to which the traveler returns to duty on completion of special assignments. On a case-by-case basis, the Executive Director/Commissioner or designee may identify a radius or commuting area that is broader than 50 miles within which per diem will not be allowed for travel within one calendar day.

A traveler that performs official state business duties within their defined duty station is not eligible for privately owned vehicle mileage reimbursement. The Executive Director/ Commissioner or designee may approve exceptions on a case-by-case basis based on documented circumstances or unique business requirements. See AAM 60.140 for details on taxability of such an allowance.

Lodging Allowance:
Lodging allowance is the portion of per diem that covers lodging, generally the actual cost of the traveler's hotel room.

Meals and Incidental Expense (M&IE):
M&IE allowance is the portion of per diem that reimburses travelers for the cost of meals and incidental expenses including discretionary tips.

Non-Commercial Lodging Facility:
A non-commercial lodging facility may include, but is not limited to, a public facility in a rural setting such as a community building or school, motor home, or private home. Such facilities will generally lack amenities such as shower, kitchen, and bedroom/sleeping quarters.

Per Diem:
A per diem allowance is a daily payment instead of reimbursement for actual lodging and meal expenses. It is separate from transportation and other miscellaneous expenses.

Residence:
The residence of a traveler is the location, or within 50 miles thereof, where the traveler maintains the primary dwelling. If a traveler maintains multiple residences, the residence that bears the most logical relationship to the traveler's duty station may be deemed as the traveler's primary residence. Mileage incurred for commuting between an employee's residence and normal work location is not reimbursable.

Ticket Class:
Coach ticket class on a regularly scheduled airplane, ship, or train that is the most direct route to accomplish the business purpose of the travel.

Travel Expenses:
- Transportation expenses consist of commercial carrier fares, vehicle mileage allowances, taxi fares, bus fares, and other essential transportation expenses while on official state business.
- The Per Diem consists of two parts, meals and incidental expenses, and lodging.
- Other expenses consist of charges for business telephone calls, internet, parking fees, Emergency purchases of supplies, and other charges necessary to conduct official business.

Travel Status:
Travelers shall be considered in travel status from the time an authorized trip begins until it ends. An "authorized trip" is a trip that has been approved in accordance with internal Authority procedures and/or the SOA administrative manual guidelines and where a traveler travels outside the boundaries of the duty station.

An authorized trip begins when a traveler is leaving the duty station and:
- A Traveler leaves the normal work location during normal work hours; or
- A Traveler leaves the residence outside normal work hours.

An authorized trip ends when:
- A traveler returns to the normal work location during normal work hours; or
- A traveler returns to the residence if the trip ends outside normal work hours; or
- A traveler accepts voluntary denied boarding compensation. Refer to AAM 60.080 Interruption or Deviation of Travel for Traveler Convenience.

A traveler is not in travel status for local travel or day trips.

14. WHISTLEBLOWER ACT

Authority employees who wish to report certain matters of public concern involving the Authority, or any other State agency (including a violation of a State, federal, or municipal law, regulation, or ordinance; a danger to public health or safety; gross mismanagement, a substantial waste of funds, or a clear abuse of authority) may be afforded protection under the Alaska Whistleblower Act. The provisions of this Act are found at AS 39.90.100 – 39.90.150.

In general, the Act requires an employee to first report the matter in writing to the employee's supervisor, unless the employee's supervisor is the source of the concern; in that case, the matter should be reported to the Human Resources Director.

Part III: Section 4:

OFFICE AND EMPLOYEE CONDUCT

This section covers:

- Complaint Procedure
- Confidentiality and Employment Records
- Dress Code
- Delegation of Authority
- Expenses: Food, Entertainment, and Gifts
- External Communications
- Meeting Rooms and Recording Meetings
- Office Conduct
- Public Records Request Procedure for AEA
- Social Media
- Smoking
- Vehicle Parking, Vehicle Usage and Seat Belts
- Visitors in the Workplace

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

1. COMPLAINT PROCEDURE

Any employee who has a complaint over which the Authority may lawfully exercise discretion should attempt to communicate with the employee's supervisor or co-workers to resolve the problem or issue. If this is not possible due to the nature of the complaint, then the employee should speak with the Human Resources Director. There shall be no retaliation for good faith complaints made by an employee.

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

2. CONFIDENTIALITY AND EMPLOYMENT RECORDS

Confidentiality

As an employee of the Authority, you understand that, in performing your duties, you may have access to confidential information about other Authority employees or entities that do business with us. As a result of such access, you are instructed to not discuss, disclose, or cause the disclosure of any such confidential information to anyone who does not have a business need and a legal right to know the information.

Furthermore, you are required to handle and store confidential information with due care. Failure to do so may result in disciplinary action, including discharge from the Authority's employment, and, in certain circumstances, face criminal penalties for revealing confidential information to someone who does not have both a business need and a legal right to know the information, or for misusing confidential information.

I understand it is my obligation to seek guidance from my supervisor if I do not know whether a person requesting confidential information is entitled to receive the information.

For a complete copy of the Confidentiality policy signed upon hire, please refer to **Appendix C.**

Employment Records

Changes in Status: All changes of legal name, address and/or telephone number must be reported immediately to the Human Resources Department and DOPLR.

Personnel Files: Personnel files are the property of the Authority and contain records approved by the Authority. Access to personnel files is restricted to the employee, the employee's designated legal representative, the Executive Director, Human Resources and others on a strict "need to know" basis. It is the business practice of the Authority to keep personnel files confidential, but the Authority reserves the right to release information upon a lawful request. Official personnel files are maintained by the State of Alaska Employee Call Center and employees are encouraged to reach out to them for copies of their files.

Information Request and Employment References: Requests for information from employee files received from outside the Authority, including requests for references of former employees, will be directed to the State of Alaska Employee Call Center. Supervisors and other employees are prohibited from providing personal or employment references for ex-employees or current employees.

1. Telephone Inquiries. Information will be verified by the Human Resources Department via telephone, but will be limited to the following:
   - date of hire and date of separation
   - most recent job title
   - salary

2. References with written approval. With written approval of the employee or ex-employee, job chronology and performance information may be released in writing only. Please contact the State of Alaska Employee Call Center

Release and Examination of Personnel Records*:* *Authority personnel records are confidential and* generally are not open to public inspection. The Authority reserves the right to release information upon a lawful request.

Per Alaska Statute 39.25.080 and 2 AAC 07.910, the following information is generally available for public inspection during office hours:

1. The names and position titles of all Authority employees;
2. Employment applications of Authority employees;
3. The position held by an Authority employee;
4. Prior positions held by an Authority employee;
5. The dates of appointment and separation of an Authority employee; and
6. The compensation authorized for an Authority employee.

Additionally, if the public's interest in accessing records outweighs any individual privacy interest, then records otherwise determined to be confidential may be released under the advice of the department of law.

An Authority employee has the right to examine their own personnel file and may designate legal representatives to examine those files.

3. DRESS CODE

Employees contribute to the corporate culture and reputation of the Authority in the way they present themselves. A professional appearance is essential to a favorable impression with our customers, visitors, and the public.

It is impossible and undesirable to define an absolute code for dress. However, some basic essentials include attire that is clean, in good taste, good repair, and appropriate for a business office setting. An employee unsure of what is appropriate should check with their supervisor or the Human Resources department. Employees who do not meet a professional standard may be sent home to change and will not be paid for the time off to do so.

Casual dress is the standard for the Authority. Casual means a standard just below business casual that is appropriate to conduct Authority business in a professional manner. Shorts, tank tops, t-shirts, halter-tops, flip-flops, sweats or yoga pants, shirts without a collar on men, ripped jeans, or any extreme in dress or accessory are examples of inappropriate choices. Dress sweaters without collars are acceptable for both women and men. Casual dress will be suspended in lieu of business casual attire due to meetings with external parties and at Board meetings.

4. DELEGATION OF AUTHORITY

Approval authority delegates to an employee permission to approve transactions for execution. It often involves committing funds or other resources or approving expenditures for a specific project or program. It also includes signing documents such as Procurement Requests (PR), Notices to Proceed (NTP), contracts and amendments, or approving invoices. Employees with approval authority must have a signed Delegation of Signing Authority Form on file with the Finance Department. It is the responsibility of an employee with approval authority to:

- Ensure the action is within the power and limitation of the delegation.
- Ensure the employee has followed all relevant procurement and obligation policies and procedures.
- Ensure the expenditure is necessary to carry out the purposes of AEA or its programs as defined by the terms and conditions of the appropriation or other funding source.
- Ensure funds have been made available through budgetary authorizations and the source of funds is appropriate for the obligation being created.
- Confirm that equipment or services have been received per the contract, invoice, or other agreement.
- Communicate with the employee’s supervisor as directed regarding status of the project or program.
- Invoice Approval authority shall be the same dollar amount as an individual's Purchase Request authority. Invoices greater than this amount must be approved by the appropriate Director. Invoice Approval authority of the Director is limited to their Purchase Request authority. Invoices greater than this amount must be approved by the Executive Director.

Delegation of Procurement Authority

Procurement authority means that permission is delegated to an employee to solicit and create certain obligations such as contracts, contract amendments, NTPs, credit card procurements, or other financial obligation transactions on behalf of the Authority. Employees with this authority must be certified by the Department of Administration (DOA), the Department of Transportation and Public Facilities (DOT&PF), or be given that responsibility in statute, or the Authority bylaws, or by written delegation. Written evidence of the delegation of procurement authority and current training certifications in accordance with DOA or DOT&PF requirements must be on file in the Finance Department.

It is the responsibility of an employee with procurement authority to:

- Ensure that the action is within the power and limitation of the delegation;
- Ensure contracts, subcontracts, NTPs and DO's, are issued in accordance with applicable state statutes, Authority regulations, policies and procedures;
- Ensure that all necessary approvals have been obtained; and
- Ensure that funds are available and are authorized for the procurement.

Violations of Procurement Regulations and Delegations of Authority

Employee actions related to procurement violations will be handled in accordance with the procedures in this section.

1. Reporting Suspected Violations: If an individual suspects an Authority employee may have violated the Authority's procurement regulations, 3 AAC 100, or the employee's Delegation of Authority, the individual should report the situation to the supervisor, the Chief Procurement Officer, or the Human Resources Director.

2. Investigations: Upon receipt of the initial report, the matter will be investigated by the Chief Procurement Officer (CPO), or designee, unless the suspected violation involves the CPO or other procurement staff. In the alternative, the Human Resources Director, after consultation with the Attorney General, may investigate the matter if the Human Resources Director believes it may be in the best interest of the Authority to appoint an individual other than the CPO or the CPO's designee to conduct the investigation.

The investigator will first contact the individual reporting the violation to understand the nature of the violation and will review available documents pertaining to the alleged violation to determine if the violation was inadvertent or intentional. An inadvertent violation could be the result of administrative error, lack of knowledge, or simple carelessness. In these cases, the investigator may recommend to management changes in procedures, employee training, or disciplinary action. If a violation is deemed intentional, the employee will be subject to disciplinary actions, up to and including termination of employment.

5. EXPENSES: FOOD, ENTERTAINMENT, GIFTS POLICY

The Executive Director will approve all purchases and payments related to food, entertainment and gifts. An employee, other than the Executive Director or Board Chairman, must receive prior approval before making such purchases.

For the full details on this policy, please refer to **Appendix F.1.**

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

6. EXTERNAL COMMUNICATIONS

Purpose
The objective of this procedure is to ensure that communications across the Authority is well coordinated, effectively managed, and responsive to the diverse information needs of the public.

Scope
This procedure applies to all Authority employees. In general, management needs to know what is being said/provided to the press, elected public officials (including Legislators, Offices of the Governor and Lieutenant Governor), or their staff ***before*** it is said/provided. Individual employees are not permitted to speak on behalf of the Authority without prior authorization.

Authorized Spokespersons
Only an authorized spokesperson designated by the Executive Director may engage in discussions about the Authority with Third Parties. All other employees should refer inquiries (phone calls, emails, voicemails, in-person requests, etc.) to one of the designated spokespersons as instructed below.

Procedures
For the purpose of these procedures, the term "Communication Director" will be used to reference the designated spokesperson. If you are unable to determine who the Communication Director is based off the organizational chart, please seek clarification from the Executive Director. The guidelines to effectively handle external requests or inquiries from the press, elected public officials (including Legislators, Offices of the Governor and Lieutenant Governor), or their staff are as follows:

1. **Do not respond, instead alert** the Communication Director.
2. If the Communication Director is not available, please notify the Executive Director.
3. If neither of these contacts are readily available, transfer the caller to the Communication Director so the caller can leave a message. If your interactions are in person, please notify the person(s) you would be happy to connect them to the Communication Director who would be able to assist them.
4. If the requests comes in the form of an email or some other form of written communication, forward the request to the Communication Director/Executive Director for recording and responding to the request for information.

We have adopted these procedures for consistency, policy purposes, and to avoid the confusion that can result from multiple people responding to a request or inquiry.

If you inadvertently provided a response, let the Communication Director know what occurred. Describe anything that may need a follow-up or other items of note. Please summarize the response/conversation by email or a brief phone message to the Communication Director and your supervisor. If you were at a conference and had an opportunity to discuss agency issues with elected officials or their staff, please let us know of any topics or inquiries that may result in additional follow-up.

Are there exceptions?

Yes, occasionally there are exceptions. If the press, Governor's Office, Congressional Delegation, Legislator or their staff is looking for general information, for example, information that is readily available on our website, you may provide that information. If in doubt, please follow the procedures as outlined above. Unless you have been granted a specific exemption from these procedures, the default practice is no exceptions. Please do not speak to the media, the Governor's office, Congressional Delegation, Legislators, or any of their staff without explicit permission to do so.

7. MEETING ROOMS AND RECORDING MEETINGS

Meeting Rooms

The use of the Authority's meeting rooms is restricted to Authority business use during regular work hours 8:00 a.m. to 5:00 p.m. Business use is defined as a meeting with an employee or hired consultant in attendance dealing directly with Authority business.

The Authority Board meeting will take precedence over any meeting that may be scheduled in the board room.

For further details on this policy, please refer to **Appendix F.2**

Recording Meetings

In order for the Authority to function effectively, we encourage candid communications. A frank and candid expression of views may be chilled if employees are concerned that conversations with other employees are being recorded. In light of these considerations, the Authority prohibit the recording of conversations without prior authorization.

Prior authorization must first be received from a member of the Executive Management Team, or their direct reports, if delegated such authority. Additionally, consent must be received from all parties to the conversation before recording is allowed.

For further details on this policy, please refer to **Appendix F.3**

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

8. OFFICE CONDUCT

Employees shall conduct themselves in a courteous, organized and professional manner, including, but not limited to:

1. Keeping to a minimum, personal phone calls/texting/social media interactions and in-person visitations; such activities must not interfere with the employee's ability to accomplish assigned duties, meet deadlines, and must not hinder the work performance of fellow employees in the execution of their duties.
2. Attending scheduled meeting(s) unless excused by the employee’s direct supervisor.
3. For the safety of the employees and to ensure an accurate report needed for emergencies, swiping your issued key fob each time upon entering the building. Swiping your key fob each time is required even when following another employee into the building.
4. Exercising due care when handling confidential information and retaining required records. Each employee has a responsibility to respect the confidentiality of sensitive information by not disclosing such information to others not approved to receive such information **(Appendix C)** and to understand what Authority records must be retained for public inspection by following the record retention policy developed by the State of Alaska. The General Administrative Record Retention Schedule can be found in **Appendices D6 - D.9**.

   In general, work products of employees are considered work products of the State of Alaska and therefore may be open to inspection by the general public. Records and their proper maintenance are a matter of law and fact. Alaska Statute 40.21 (*State Records Management Act*) and 4 AAC 59 (Archives & Records Management Services) provide the necessary legal framework for the administration of the State of Alaska’s records.

   Each employee has a responsibility to retain required records for public inspection whether those records are paper documents, magnetic tape, compact discs, DVD's, flash drives, hard drives, floppy disks, microfiche, microfilm, maps and all other recorded information, regardless of medium or characteristics as defined in AS 40.21.150 (6).

   Additional resources on record retention and destruction are available at the Records and Information Management System (RIMS) website: https://archives.alaska.gov/rims/.

ALASKA ENERGY AUTHORITY

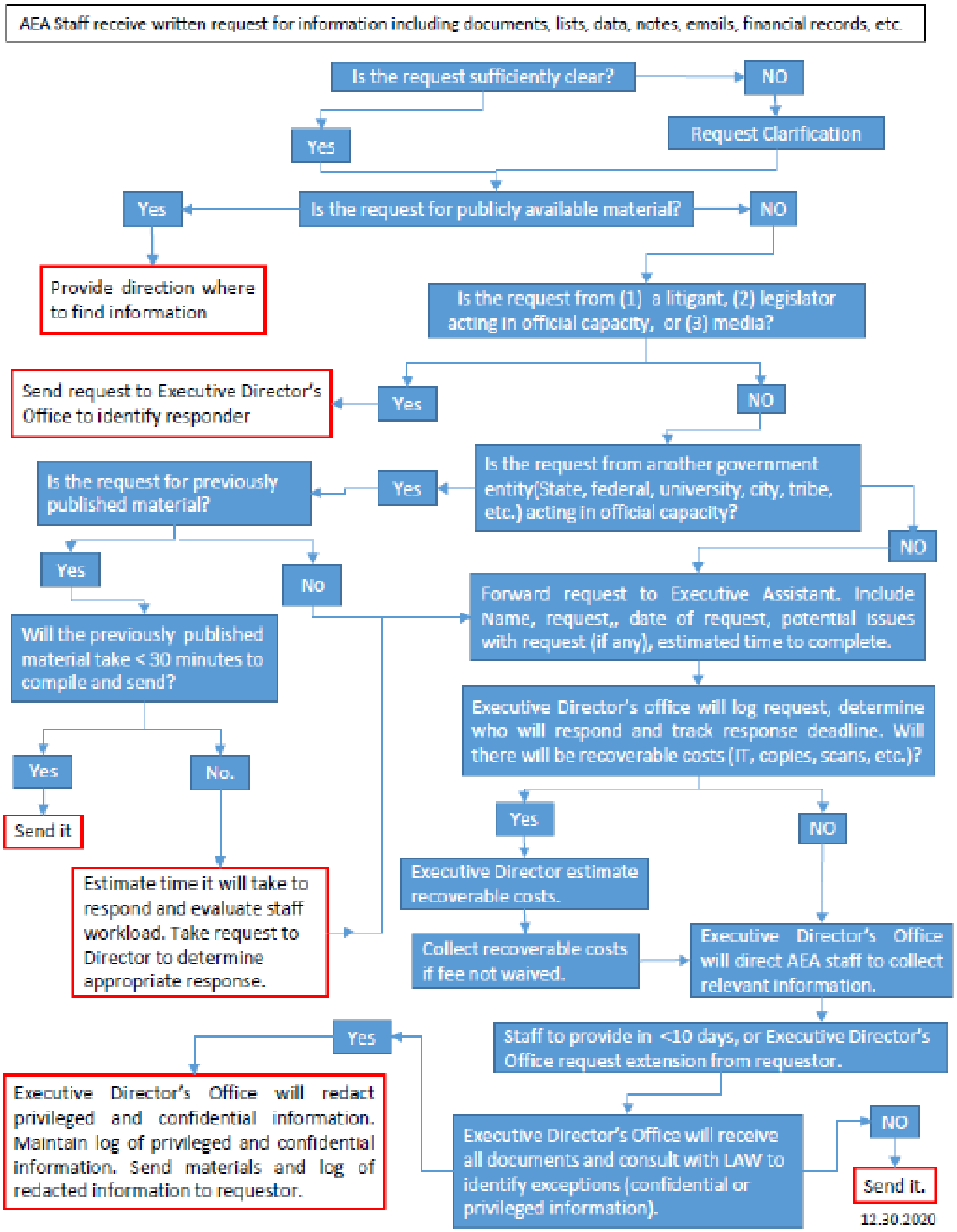
9. PUBLIC RECORDS REQUEST

Procedure for Public Information Request:

1. Request for records received in writing to include:
    - Name of Requestor
    - Contact information of requestor (email, address, phone number)
    - Description of records being requested
2. If the request is for publicly available information or previously published material and will take less than 30 minutes to compile and send, send information to requestor. Otherwise, proceed to #3.
3. Forward request to Executive Assistant for Executive Director
4. AEA Executive Assistant records request to Public Records Request Log.
5. Executive Assistant responds in writing to requestor acknowledging receipt of the request.
6. Executive Director's office identifies staff person to collect relevant information and notify that staff of details and deadline for response (e.g. < 10 days).
7. Responsible staff compiles information and returns to the Executive Director's office (Executive Assistant).
8. Executive Director's office receives information and if necessary consults with LAW to identify exceptions (confidential or privileged information).
9. Executive Director's Office sends information to requestor.
10. Executive Assistant logs response and marks the request "COMPLETE" in public records request log.

813 West Northern Lights Boulevard, Anchorage, Alaska 99503 T 907.771.3000 Toll Free 888.300.8534 F 907.771.3044

Public Records Request Flow Chart



10. SOCIAL MEDIA

Below is a brief overview of AEA's Social Media policy. You are encourage to read the full policy located in **Appendix F.4.**

The Authority uses social media is to provide information to the public and to engage the public in a civil dialogue regarding information about the Authority. Therefore, this policy applies to all uses of social media by all Authority employees, including any social media platforms currently in use by the Authority, unless an exception is made by the Executive Director.

The Communications Director for the Authority will serve as the administrator of the Authority's social media needs and will be responsible for account creation, account management and compliance. Only those employees with prior approval from the Executive Director/ Communications Director may create and administer pages for the purpose of making **posts** or receiving **comments** (i.e., as opposed to making comments on or gathering information from the social media pages of other individuals or entities). Additionally, only AEA employees who are authorized, in writing, by the Executive Director/Communications Director, to comment on behalf of the Authority may do so.

Record Retention

Posts, comments, and responses to comments are records under AS 40.21.150(6). Therefore, the Authority must retain posts, comments (including removed contents), and responses in compliance with the SOA Retention of Public Records, which can be found in **Appendix D**, of this manual.

Security

The Authority's use of social media must comply with the State of Alaska's policies on Business Use/Acceptable Use (ISP-172) (see **Appendix D.3**) and the requirement to use strong passwords. The Communications Department lead must change passwords, remove profiles, or both whenever a person should no longer have access to a social media account or page. A current State or Authority network password must not be used as a password for any social media site.

Personal Use of Social Media

This policy addresses the work-related use of social media, not its off-duty, personal use. Nothing in this policy prevents employees from using their personal social media accounts to communicate an opinion on a matter of public concern; to engage in concerted activities for mutual aid or protection; or to exercise their right to file a complaint of discrimination or other workplace misconduct.

However, you should be mindful that even your personal use of social media must comply with all applicable laws and policies, such as the Alaska Executive Branch Ethics Act (AS 39.52) and its implementing regulations, and the Office of Information Technology's Business Use/ Acceptable Use Policy (ISP-172), included in **Appendix D.3**.

Enforcement

Violation of this policy may result in disciplinary action, up to, and including, dismissal.

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

11. SMOKING

Smoking/vaping is only permitted in designated areas outside the Authority building, office or warehouse.

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

12. VEHICLE PARKING, USAGE, AND SEAT BELTS

Employee Parking:

Employee vehicles may be parked in designated locations identified as Authority parking with the exception of reserved and special purpose parking spots. Reserved parking spots are for those granted authorization from the Executive Director. Special purpose parking spots require a State Department of Motor Vehicles issued disability parking permit.

Personal Vehicle Use for State Business:

AS 09.50.253(h)(1) provides the legal definition of when an employee is acting within the scope of the employee's office or employment. For personal vehicle use for State business this typically extends to driving for a specific business errand, from one State office to another, or travel done in the performance of field work. It does not extend to routine travel between the employee's workplace and home. Travel between a residence and an airport may be considered State business if the purpose of the air travel was State business.

Per AAM 60.020, an employee "that performs official state business duties within their defined Duty Station is not eligible for privately owned vehicle mileage reimbursement." An employee's duty station includes the city, town, or village within 50 miles of where the employee spends the majority portion of their working time (i.e. buildings owned or leased by the Authority). Reimbursement for use of a privately owned vehicle beyond 50 miles of the employee's Duty Station will comply with AAM 60.140.

Insurance:

1. Liability. Alaska law (AS 28.20.440) requires all vehicle owners to maintain auto liability insurance and establishes minimum amounts of coverage. Anyone using his or her personal vehicle on Authority business must carry auto liability insurance. In the event of an accident, the employee's personal auto liability insurance will cover damages and medical expenses to any third party up to the maximum limit of the employee's policy. The State will usually cover any liability exposure in excess of the employee's own liability coverage, except when the Attorney General determines the employee was not acting within the scope of the employee's office or employment at the time of the incident out of which the claim arose (AS 09.50.253) (e.g., driving while intoxicated). Most insurance companies include incidental business use of a personal vehicle within their standard policy form. Considerable or frequent business use may require an endorsement to an employee's policy. Employees should consult with their insurance company for more information.
2. Collision. The employee's own collision insurance, if any, covers physical damage to the employee's own vehicle while on Authority business. The State does not insure any physical damage to an employee's vehicle while on Authority business. If another party is at fault, the employee may be able to recover damages through legal action brought by the employee or the insurance company on the employee's behalf. The Authority will not participate in any legal action brought to recover physical damages as a result of an accident involving an employee's personal vehicle while on Authority business.
3. Workers' Compensation. An injury resulting in lost work time or medical expenses to an employee of the Authority driving or riding as a passenger while on official Authority business

will be handled as a routine workers' compensation claim.

4. Riders. Employees are not to allow riders who are not State employees in a State vehicle while traveling on Authority business.
5. Notification of Claims or Accident. Employees are required by State law to notify the Department of Public Safety of any accident involving personal injury or damage totaling $500 or more. In addition, if an employee has an auto accident while on Authority business, employees are required to complete State Form 02-919, Liability Accident Notice, and forward it to the Division of Risk Management.

Seat Belt Requirement:
As a State of Alaska employee, you are required to abide by Administrative Order 85, which requires the driver and passenger in motor vehicles used to conduct State business, including privately owned vehicles used in the conduct of State business, to wear safety belts.

Please refer **Appendix D.11** or to https://gov.alaska.gov/admin-orders/administrative-order-no-85/ for the entire Administrative Order.

Part III: Section 4: OFFICE AND EMPLOYEE CONDUCT

13. VISITORS IN THE WORKPLACE

Policy:
The Authority is committed to protecting the safety and security of all persons accessing its facilities and premises and have adopted the following policy to maintain safety standards and protect corporate and personal assets against theft and misuse. This policy also limits potential distractions and disturbances in the workplace.

Scope
This policy applies to all individuals seeking access to the Authority's work areas, specifically including employees, contractors, clients, and employees' acquaintances, friends and family members, regardless of whether the purpose of the visit is for business or personal reasons.

Visitors
Visitors must be escorted by either an employee or a contractor with escort privileges (requires Executive Director approval). Employees are responsible for their visitor(s), staying with them the entire time while they remain within work areas, ensuring safe evacuation during any emergency situation or drill, and making sure the visitor complies with the Authority's policies and guidelines.

Personal visits for employees is a privilege. The presence of an employee's personal visitor(s) must be non-invasive and non-distracting to other employees, and their access in the building should be limited to appropriate areas where sensitive or confidential information is not visible, and in most instances this means the lobby. Lobby visits with personal guests are limited to 15 minutes.

Contractors
Certain contractors used on a regular basis may be issued more lenient building access by an Executive Director. In those instances, the contractor's photo will be displayed on the Authority's intranet.

Office Events
Periodic employee events are generally for employees and business associates only. When specifically identified by management, an employee event may be open to spouses/significant others and families.

Part III: Section 5:

PERFORMANCE MANAGEMENT

This section covers:

- Performance Management (Evaluations)
- Tuition Assistance and Training

Part III: Section 5: PERFORMANCE MANAGEMENT

1. PERFORMANCE MANAGEMENT

The Authority has adopted a Performance Management and Learning and Development Plan (PMLD) to better support employees with clear performance expectations and concrete learning and development opportunities. The annual PMLD cycle will cover the period from December 1st to November 30th each year and approved merit increases will coincide with an employee's merit anniversary date (MAD). The PMLD form is designed to be collaborative, completed jointly by an employee and their supervisor during both the Planning and Evaluation process.

During the planning phase only the first four sections need to be filled out:

I. Employee Information
II. Performance Expectations
III. Performance Goals (SMART goals)
IV. Learning and Development Objectives

<u>I. Employee Information</u>
This section is where the supervisor or employee can enter the employee's information and define the review period, which in most cases will be one full year.

<u>II. Performance Expectations</u>
In the second section, the supervisor and employee will work together to collectively develop and document the employee's performance expectations for the upcoming year. Setting clear expectations is essential to a productive workforce. Performance expectations should be based on established work/tasks identified in the employee's position description. The number of performance expectations created for each position will vary based on the complexity of each position. It is recommended that the supervisor collaborate with the employee to develop a minimum of five performance expectations.

Effective performance expectations may be quantitative, qualitative, or time-based, or they may be general "rules of the road" (i.e., shows professionalism toward colleagues, follows chain of command). They should always be:

- Observable (an action or behavior you can see)
- Position-related (tied to their position description)
- Results-oriented (centered around a particular outcome)

At the end of the intended review cycle, the supervisor will determine whether the employee met each expectation during the review period. There are two options on the form to ensure objectivity:

- Met Expectations
- Did Not Meet Expectations

III. S.M.A.R.T. Goals
In the third section of the form, the employee (and supervisor) will document one or more SMART goals that they would like to meet in the coming year. SMART goals are valuable motivators. Where performance expectations set out to answer the question, “Is this employee performing at the level expected of them?” SMART Goals give employees something concrete to strive toward. For a goal to meet the SMART criteria, it must be:

- **Specific:** The goal should be narrowly focused and empower the employee to plan out their year.

- **Measurable:** The goal should have a quantifiable component (e.g., length of time, dollar amount), if possible.

- **Attainable:** The goal should be achievable, but still a stretch. This helps motivate employees.

- **Relevant:** The goal should be relevant to the employee’s position and the department or division’s strategic objectives.

- **Time-Bound:** The goal should make it clear when the employee is to start and by when they should be finished.

Examples of Effective SMART Goals:

- Research and implement three improvements that will shorten wait times by the end of the fiscal year.

- Reduce employee turnover in the division from 12% to 8% by the end of this calendar year.

- Create a new revenue report template by the end of March.

At the end of the intended review cycle, the supervisor will determine whether the employee met the goals. There are two options on the form to ensure objectivity:

- Met Goal

- Did Not Meet Goal

IV. Learning and Development Plan
Every supervisor should take the time to consider how they might help employees grow professionally through learning and development opportunities. This can feel challenging, but this is still possible! The State's learning management system, AspireAlaska, is a great place to find a vast array of training. You may also want to seek out other learning opportunities through free online webinars, employee shadowing, targeted mentoring, or perusing the State library.

The Performance Evaluation process begins with planning. All employees should have clear performance expectations, SMART goals, and learning objectives in their Performance Management & Learning and Development Plans. Employees should clearly understand the important role they play in the organization and how their efforts directly contribute to the success of their divisions and departments. At the end of the review period, supervisors and employees will review the progress they have made and a performance evaluation will be completed. Remember to regularly check in to discuss how things are going through out each year.

Click here for Performance Management and Learning Development forms and resources.

Favorable performance evaluations do not change the employee's status as an "at will" employee. Even though an employee may receive positive performance evaluations, all employees remain "at will" employees whose employment is subject to termination by the Authority at any time, with or without cause.

2. TUITION ASSISTANCE AND TRAINING

Reimbursement for Educational Costs*:

The Authority offers tuition reimbursement benefits to encourage self-development by providing financial assistance for certain education-related expenses. This benefit is intended to encourage professionalism and assist employees in increasing effectiveness in their current position, preparing employees for possible advancement, and/or increasing an employee's adaptability to new ideas and change.

*Funding levels for tuition reimbursement are contingent upon Authority budgetary constraints. As such, the program may be discontinued and/or the amount available for reimbursement may be reduced.

For reimbursement guidelines and requirements, please refer to the Authority's Tuition Reimbursement Guidelines and the Authority's Tuition Reimbursement Recovery Agreement located in **Appendix B** or from Human Resources.

Part III: Section 6:

DEFINITIONS

Unless the context requires otherwise, the following definitions govern the construction of these guidelines.

AAC means the Alaska Administrative Code.

AAM means the Alaska Administrative Manual.

AEA Employee means any person in the Authority's service who is paid a salary or wage and who is subject to these guidelines and reports either directly or indirectly to the AEA Executive Director.

Authority means the Alaska Energy Authority.

Complaint means an employee's written (preferably) or verbal expression to the employee's immediate supervisor or the Human Resources Department of dissatisfaction with (1) working conditions or environment; (2) relationships with supervisors or other Authority employees; or (3) employment decisions.

Complaint Procedure is the mechanism available to employees for handling complaints or problems that arise while acting within an employee's scope of employment. If complaints or problems exist, all employees should attempt to get them resolved using the process outlined in Section 4 of these guidelines.

Current Rate of Pay means the salary or hourly wage received by an employee for hours of work.

Demotion means the involuntary change of an employee from a position in one pay range to a position in a lower pay range.

Dismissal means the termination of an employee from the Authority for reasons other than resignation, retirement or layoff. The terms "dismissal" and "termination" are used interchangeably throughout this manual.

DOPLR means the Division of Personnel and Labor Relations.

Employment At Will is the employment status of all Authority employees. This means either the employee or the Authority can choose to end the employment relationship for any lawful reason, at any time, with or without cause.

Executive Director means the individual duly appointed as Executive Director of AEA or that individual duly delegated by the Executive Director to act in that capacity in the Executive Director's absence.

Exempt Employee is the terminology used to define every Authority employee, as provided by

AS 39.25.110(11)(C). Exempt employees are not subject to the provisions of AS 39.25, known as the Personnel Act, or the provisions of 2 AAC 07, known as the Personnel Rules.

Full-time Employee means an employee who works a minimum of 37.5 hours per week.

Human Resources Director means the Authority designated Director for resolving employee-related matters (for example, compensation, benefit questions and complaints).

Immediate Family means father/step-father, mother/step-mother, husband, wife, mother-in-law/father-in-law, son/step-son, daughter/step-daughter, brother/step-brother and sister/step-sister.

Immediate Supervisor or Supervisor means the person responsible for supervising a specific employee within the Authority.

Layoff means the separation of an employee because of insufficient funds, the elimination of a position, or for another reason not reflecting discredit on the employee.

Leave Cash Value means the number of hours accrued during a pay period multiplied by the annualized hourly rate of pay for that pay period, added to the value of untaken leave from all previous pay cycles.

Leave of Absence means an approved absence from the official performance of duties, with or without pay.

Leave Year is January 1st through December 31st

Officers means the corporate officers duly appointed by resolution of the Authority.

Part-time Employee means an employee whose workday and workweek is less than the normal workday and/or normal workweek (as defined in Section 2).

Pay Increments means pay beyond the F step on the pay range assigned to the position, which are J – Z. Pay increments are intended to recognize longevity when an employee receives a review of acceptable performance.

Pay Plan means a schedule of pay that provides guidance and covers the Authority's positions. The Authority has adopted the exempt pay scale used by the State of Alaska for exempt employees – "Unit Designation EX – Partially Exempt and Exempt Executive Branch, N00."

Pay Period means a bi-weekly period based on a two week time frame starting on Monday at 12:00 am and ending on a Sunday at 11:59 pm 14 days later.

Payday means a bi-weekly basis every other Friday. If payday falls on a holiday, the last working day before the designated holiday will be payday. All checks postmarked or deposited by payday shall be considered timely.

Per Diem means the amount, over and above the employee's wages, authorized for payment to cover the cost of an employee's lodging and meals while on preapproved Authority travel.

Performance Management and Learning and Development Plan (PMLD) (formally known as the Performance Evaluation Report) means a systematic and periodic appraisal in writing of an employee's work performance and goals on the State of Alaska's designated-evaluation form.

Promotion means the movement of an employee from a position in a lower pay range to a position in a higher pay range.

Position means paid employment in the Authority's service composed of specific duties and requiring the full-time or part-time services of an employee.

Position Control Number (or PCN) is the number assigned to identify a position.

Range means the pay range assigned to each position on the basis of the duties, responsibilities and qualifications required for the position.

Reassignment is a change of position or duties and is not considered a demotion under these guidelines.

Re-evaluation means the action taken to place an existing position in another pay range due to changes in the requirements for the position. This does not change the merit anniversary date of the individual.

Resignation means the voluntary separation of employment by an employee.

Retirement means the voluntary separation of employment after the completion of a period of employment service or upon reaching a certain age as defined by the Public Employees Retirement System (PERS) applicable statutes and regulations.

Return to work after retirement means returning to a position covered by PERS. Refer to **Appendix D.10** for details on the restrictions regarding the return to work.

Separation means the end of employment. There are two types of separation:

1. Voluntary Separation:
   - Retirement
   - Resignation
2. Involuntary Separation
   - Layoff
   - Termination/Dismissal

State means the State of Alaska.

Step means the beginning portion of the pay schedule and are identified by the letters A, B, C, D, E, and F. Pay at this level is intended to incent an employee for skill mastery and increased capacity to perform the job assignment.

Suspension means an enforced leave of absence for disciplinary purposes or pending investigation, which may be with or without pay based on the circumstances involved.

Temporary Position means a position established with an anticipated duration of less than six months.

Termination means the termination of an employee from the Authority for reasons other than resignation, retirement or layoff. The terms "termination" and "dismissal" are used interchangeably throughout this manual.

<u>Transfer</u> means the movement to a new PCN (Authority position) at the same range or a lower range PCN provided the transfer was voluntary and initiated by the employee. Movement to another PCN outside of the Authority may be identified differently by the receiving agency.

<u>Unlawful Discrimination</u> means discrimination prohibited by State or federal statute.

PART IV: APPENDIX

This section covers:

- Appendix A: Telework Policy and Agreement
    - A.1 AEA Telework Policy and Guidelines
    - A.2 AEA Telework Request and Work Agreement

- Appendix B: Tuition Reimbursement and Training
    - B.1 In-Person/Online Training Request
    - B.2 University Tuition Reimbursement Agreement
    - B.3 AEA Tuition Reimbursement Guidelines
    - B.4 AEA Tuition Reimbursement Recovery Agreement

- Appendix C: Confidentiality

- Appendix D: Employment Laws, Admin Orders & Related Policies
    - D.1 Alcohol and Drug-Free Workplace
    - D.2 Americans with Disabilities (AO 129)
    - D.3 Business Use/Acceptable Use Policy (ISP 172)
        - D.3.1 Artificial Intelligence Guidance
    - D.4 Discrimination and Diversity in the Workplace (AO 195)
    - D.5 Family and Medical Leave Act and the Alaska Family Leave Act
    - D.6 Email Retention Policy
    - D.7 How to Name Electronic Files and Folders
    - D.8 Record Retention and Disposition Schedule
    - D.9 Retention of Public Records
    - D.10 Retiree Return to Work Policy
    - D.11 Seat Belt Policy (AO 85)
    - D.12 Sexual Harassment and Other Discriminatory Harassment
    - D.13 SOA Ethics Information
    - D.14 Travel Policy (AAM 60)
        - D.14.1 AEA Travel Procedures

- Appendix F: Office and Employee Conduct
    - F.1 Expenses: Food, Entertainment, Gifts
    - F.2 Meeting Room Policy
    - F.3 Recording Meetings Policy
    - F.4 Social Media Policy

Part IV: APPENDIX A

A: TELEWORK

This Appendix includes the following:

- A.1 Teleworking Policy and Guidelines
- A.2 Telework Request and Work Agreement (TWA) Form

APPENDIX A.1

AEA Teleworking Policy & Guidelines

I. Policy

Teleworking is an arrangement for employees to perform their job duties at an alternate work location in accordance with a Teleworking Work Agreement (TWA) (refer to appendix C for the agreement) and established first and foremost to accomplish work deliverables. The Authority may allow participation in teleworking to the greatest extent possible without diminished services or employee performance.

This policy provides direction and guidance for employee teleworking arrangements and applies to Authority employees. Please note, as an exempt agency, AEA is encouraged to follow the guidance set forth in the State of Alaska (SOA) Telework policy. As such, while similar, this policy differs from the policy the SOA has adopted.

Teleworking arrangements must conform to all State laws, regulations, and policies regarding State/AEA employment. Teleworking assignments do not change the conditions of employment or required compliance with policies. Supervisors and employees must understand that adherence to this policy is an essential requirement of the telework program.

Teleworking is not an employee benefit or right. Employee participation in teleworking is voluntary and requires pre-approval by Authority management. This policy shall not be interpreted as an employment contract between the State/AEA and its employees.

Teleworking arrangements may be authorized when practicable; full-time telework is not ideal and will only be approved as a last resort to ensure minimal disruption to the mission of the Authority. As authorized, **AEA has the sole discretion to designate groups, positions, and individual employees suitable for teleworking.** The expectation is there will be no disruption of service or decline in the quality and timeliness of internal and external services provided by the teleworking employee or the Authority.

II. Guidelines

A. **Teleworking is available to employees when approved by supervisors and the Executive Director**. These guidelines do not apply to employees who telework as a temporary or permanent reasonable accommodation approved by Human Resource staff under the Americans with Disabilities Act (ADA).

B. Teleworking generally falls into one of two categories:

1. Routine: Routine teleworking is when the arrangement occurs as part of a regular and ongoing schedule. Generally, Authority employees are eligible to apply for a TWA up to two (2) workdays per week following six months of employment in their current position.
2. Situational: Situational teleworking is approved on a case-by-case basis, where the hours worked were not part of a previously approved, ongoing and regular telework schedule. Examples of situational teleworking include for reasons such as inclement weather, pandemic health crisis, special work assignments, convalescence from injury or illness, primary work site is inaccessible or uninhabitable, or other natural or human-caused disaster. These agreements may also be referred to as episodic, intermittent, unscheduled, or *ad hoc* teleworking. These types of agreements only require supervisor

approval and do not require a Telework Request and Teleworking Work Agreement Form (TWA).

C. **Teleworking arrangements may be on a part-time or full-time basis**. Initial teleworking arrangements may be approved for an initial period of up to twelve (12) months, and then must be reviewed again prior to extending. Once an arrangement has been shown to be successful, it may be approved for up to twelve (12) months at a time. *Per section III, Authority management may cancel the telework agreement at any time.* Any change in the agreed upon schedule must be approved by the supervisor, and when permanent, documented and appended to the TWA.

D. **Employees must have an approved TWA prior to beginning a telework arrangement**. Employees engaged in routine telework must have an approved TWA prior to beginning a telework arrangement. Continuing to telework long-term after beginning a situational telework arrangement requires the employee to establish a TWA.

E. **Employees must have approval from the Authority Executive Director to telework away from their established telework address.**

F. **Management retains the right to approve or deny requests based on established criteria**. Teleworking should only be considered if mutually beneficial for the Authority and the employee. In deciding whether to approve an employee's request for teleworking, the supervisor shall consider the following factors:
1. The position's suitability for teleworking (See section II R);
2. The employee's suitability for teleworking (See section II R); and
3. The mutual benefits to the Authority and the employee.

G. **Managers will monitor employee compliance** with the TWA; relevant State/AEA policies; performance standards; expectations for work products; productivity; and time accountability.

H. **Employees must be available during work hours established in their TWA**. Employees must be available and accessible by email, phone, or other online technology during their agreed upon work schedule. Absences (including unavailability during work hours) must be pre-approved. Employees must account for all time worked and use leave, as appropriate, with prior supervisory approval. If an employee becomes ill on a scheduled telework day, the employee shall follow the AEA Employee Policies and Guidelines manual for reporting absences.

The employee may be called in to the main worksite when necessary to meet operational needs. The supervisor should provide reasonable notice whenever possible. However, the employee may be required to report to the worksite without advance notice, as needed. When an employee is required to travel to the central office/worksite on a normally schedule telework day, an alternate telework day will not be granted.

I. **Managers are responsible for providing employees clear direction on assignment and project expectations**. Supervisors will provide clear expectations to the employee relating to performance, assignments to be completed, timely response to e-mail and phone calls, etc.

For additional guidance, resources, and tools on how to manage remote employees please review the SOA DOPLR Telework Resources page at:

https://doa.alaska.gov/dop/Recruitment/telecommuteFAQ/

J. **Supervisors must ensure adequate office coverage (if applicable)**. Supervisors will assess what work requires public or internal contact or needs to be done at the worksite. Absences due to leave, training, and holidays must be addressed when participants and supervisors arrange TWA plans to ensure adequate office coverage. Supervisors are responsible for ensuring their departments have coverage during any applicable core hours. Consideration should be given to the employees' workload and the type of work performed. These issues must be considered prior to approving any request for a telework schedule.

K. **Teleworking is not intended to be a substitute for dependent care**. Employees shall continue to make arrangements for child/dependent care to the same extent as if the employee was in the workplace. However, having a dependent at home will not necessarily prohibit an employee teleworking. Requests will be reviewed on a case-by-case basis. Supervisors can suspend TWAs for employees who use them to enable child/dependent care.

L. **Travel to and from the teleworking location to attend work-related meetings and events on teleworking days is not reimbursable**.

M. **The telework location will require adequate workspace, light, telephone service, power, and temperature control**. The employee will provide telework worksite ergonomic furniture and equipment and should maintain a clean and safe workspace. Expenses incurred as a result of working a telework schedule will not be paid or reimbursed by the State/Authority including, but not limited to, the following: usage fees for privately owned computers; maintenance or operating costs of the telework site; utility costs associated with the use of telephone, computer or occupation of the home (i.e. internet); or travel to the central office/work site if required to come in on a telework day. Please note: IT technical support for teleworking staff will only be available during standard business hours.

N. **The employee is responsible for protecting State/Authority equipment from damage and unauthorized use**. The employee shall be responsible for notifying their supervisor immediately of any damage, theft or loss of any issued State/Authority property. In the event of theft of the equipment, the employee shall be responsible for immediately reporting the theft to local law enforcement. Any State/Authority provided equipment will be used only by the employee to complete State/Authority work. It is not for personal use by the employee or the employee's family members. All use will comply with the State of Alaska OIT policy.

O. **The State/Authority are not responsible for loss, damage, repair, replacement, or wear of personal property or equipment**. The employee will be liable for any loss or damage to State/Authority property. The State/Authority retains the right to inspect the worksite. Generally, no additional equipment will be provided to employees to work at alternative worksites. Any exceptions must be approved by the employee's department Director and the Executive Director.

P. **It is the responsibility of the teleworker to determine any income tax implications of maintaining a home office area**. The State/Authority will not provide tax guidance nor will the State/Authority assume any additional tax liabilities.

Q. **Teleworking from out of state or from within Alaska outside of a commutable distance from Anchorage will generally not be permitted.** If the employee changes their primary residence to another city (i.e. moves) while on a TWA, they must notify the Authority's HR Director, DOPLR Payroll, and the Division of Finance (DOF) due to potential salary and tax withholdings changes.

R. **Position Suitability:** The Authority may consider allowing teleworking for certain positions which would lead to efficiencies and effectiveness in daily operations. However, not all positions may be appropriate for teleworking. The Authority shall consider the following factors when determining which positions may be eligible for teleworking:

1. A high percentage of work can be conducted individually;
2. Collaboration and communication with colleagues can be conducted virtually;
3. Work does not require frequent in-person or *ad hoc* collaboration;
4. Work output and quality is not impacted by location (e.g. quality of services provided);
5. Performance of the work is not dependent on specialty equipment, tools/materials and settings (e.g. laboratory) that cannot be reasonably accommodated remotely;
6. Work does not depend on frequent handling of secure materials.

S. **Employee Eligibility:** Teleworking shall be considered an option at the exclusive discretion of Authority management, not an employee benefit or right. Authority management has the right to initiate, terminate or suspend a teleworking arrangement for an individual employee or group of employees at any time. Management may designate any group or department of employees ineligible for teleworking at any time. Management shall utilize the following criteria in evaluating if an individual employee or group of employees may be eligible for TWAs:

1. Performance metrics are established and measurable. Expectations are clearly communicated and work performance can be tracked.
2. Whether the employee consistently demonstrates work habits that are well-suited to teleworking, including but not limited to: self-motivation, self-discipline, the ability to work independently, manage distractions, meet deadlines, and a demonstrated record of meeting established performance expectations;
3. Whether the employee has a consistent telework location and knows who would potentially have access to that location; and
4. Whether the employee has the technical capacity to work remotely, including consistent internet connection, electricity, phone reception, ability to keep sensitive or confidential materials secure, etc.

An employee may **not** be eligible to participate in remote work (pursuant to Authority discretion) if:

1. The employee has received formal discipline for performance or conduct or a Performance Improvement Plan (PIP), during the previous 12 months; or

2. The employee has not been adequately trained in their current position. This requirement can be waived with approval from the Executive Director.

T. **Teleworking employees will report any work injuries to their supervisor immediately**. An employee injured at his or her teleworking location during teleworking hours while performing work duties will need to complete the Notice of Occupational Illness or Injury Form as soon as possible, but not later than ten (10) days after the injury.

U. **Weather and Safety Considerations**

1. If severe weather is predicted, employees must prepare to work from their alternate worksite on a day when unscheduled telework is authorized, including taking their State/Authority laptop and cell phone home with them, if applicable.
2. The teleworking location(s) will be unaffected by emergencies that lead to office closings. If work can proceed at the teleworking worksite(s), then the employee may not be excused from duty even if other employees ineligible for telework elsewhere have been released or excused from reporting.
3. If the teleworking location is affected by an emergency (e.g. local power outage) which does not lead to the Authority offices closing and the employee is unable to perform work, the teleworker must either take leave or report to the worksite. In such cases, the employee will not be authorize an alternate telework day.

V. **Exceptions to any of these guidelines are subject to Authority's discretion on a case-by-case basis.**

III. Procedures

Written requests for teleworking arrangements shall be submitted to the Executive Director. Requests can be submitted electronically or in paper form. The Executive Director will be responsible for approving all teleworking requests.

The teleworking agreement contains an acknowledgement by the employee that Authority management has the right to initiate, amend, terminate, or suspend a teleworking arrangement at any time. The teleworking agreement also contains an acknowledgement by the employee that supervisors can suspend TWAs for employees who use them to enable child/dependent care.

A. The Teleworking Request and Agreement Form contains the following information:

1. Employee information
2. Reason for request
3. Benefits to the Authority and employee
4. Location(s) from which employee anticipates working
5. Expected duration
6. Standard work schedule for employee
7. Equipment to be used
8. Duties to be performed
9. Method of assessing performance
10. Position's suitability for teleworking
11. Employee's suitability for teleworking

B. Approval Flow for Teleworking:

1. Employee initiates the Authority Telework Request and Agreement (TWA) Form and Employee and Supervisor complete the applicable TWA sections.
2. The employee signs the completed TWA form.
3. Supervisor reviews and signs; if the supervisor approves the request, it is submitted to the Executive Director.
4. If the Executive Director approves the request, the approved TWA form is forwarded to the Authority's HR Department. The HR Department will be responsible for providing electronic copies of the approval to the supervisor and employee.
6. If approved: The Authority's HR Department will notify Payroll Services.
7. The supervisor and employee review the TWA at twelve (12) months to evaluate the employee's performance while teleworking. If the employee is meeting expectations while teleworking, the TWA can be extended for up to one year at a time.

C. Contents of the TWA

The TWA sets out the specifics for the individual circumstance of the teleworking arrangement including State/Authority and personal equipment to be used, days/hours of work, location of work, general duties to be performed and method(s) of assessing teleworking performance.

D. Renewing the TWA

1. The TWA must be discussed and renewed at least annually, or whenever there is a major change in job duties.
2. The TWA may be canceled by the employee with fifteen (15) calendar days written notice; or sooner with approval from the supervisor.
3. The supervisor may cancel this agreement and instruct the employee to resume working at the duty location at any time, at the discretion of the supervisor, for reasons that include, but are not limited to, exceptional and verifiable needs of the department; change in the employee's work function, non-satisfactory employee performance, or non-compliance with the telework policy. If the employee is teleworking from a location outside their normal duty station, the supervisor shall give fifteen (15) calendar days' notice when cancelling the agreement.

AEA Telework Request and Work Agreement (TWA) Form

State of Alaska/AEA
Telework Request and Work Agreement (TWA) Form

New Agreement: ☐ **Renewal Request:** ☐ **.**

Employee Information

Name: EE Name. **Employee ID:** Employee ID

Job Title: Job Title **Position # (PCN):** XX-XXXX

Department: Commerce, Community and Economic Development

Division: AEA

Supervisors and Employees: Please fit responses into the form fields below by being as concise as possible. If you need more space, include a summary response in the respective form field along with "see attachment for more detail" and include the additional information on an attachment.

Telework Request (Information to be filled out by the Employee and Supervisor as noted).

Reason for Request (Employee):

Reason for request.

Benefits to Authority and employee (Employee):

Benefits to authority and employee.

Position's suitability for teleworking as defined in the Telework Policy II.R (Supervisor):

Position suitability

Employee's suitability for teleworking as defined in the Telework Policy II.S (Supervisor):

Employee suitability.

Telework Agreement (Information to be filled out by the Employee and Supervisor as noted).
Note: Telework requests for out of state telework will generally not be considered.

Main Worksite Address (Employee): Workplace Address.

Telework Address (Employee): Telework address

Supervisor's Name: Supervisor's Name. **Supervisor's Title:** Supervisor's Title.

The employee volunteers to participate in the teleworking program and to follow the applicable guidelines per the Telework Policy. The Authority agrees to the employee's participation.

This agreement is effective from From Date. to To Date. (Effective from date is dependent on approval of the request by the Executive Director). Employees may request termination of their telework agreement by notifying their supervisor in writing with fifteen (15) calendar days' notice; or less notice upon approval from the supervisor. The Authority shall arrange for the employee to return to work at the main worksite within a reasonable time after receipt of the written request. Authority management may cancel this agreement and instruct the employee to resume working at the main worksite at any time.

Work Site: The main worksite and the telework address are designated above. The employee agrees to work at the main worksite or teleworking work location and not from another unapproved site.

Dependent Care: The employee will continue to make arrangements for dependent care to the same extent as if the employee was working at the main worksite. However, having a dependent at home will not necessarily prohibit an employee teleworking. Requests will be reviewed on a case-by-case basis.

Work Hours: Standard work hours and location are to be specified below; all pay, leave and travel entitlement will be based on the employee's main worksite. Employees currently on an approved Compressed Work Week (CWW) are not eligible to participate in a TWA.

Note: Based on necessity of business, the supervisor may require the employee to alternate days and/or report to the main worksite on a scheduled teleworking day. In such cases, the employee will not be authorized an alternate telework day.

(Employee to provide information below)

Work Days	**Schedule Start Time**	**Schedule End Time**	**Total Hours**	**Telework Work Hours**	**Main Worksite Work Hours**
Monday	00:00.	00:00.	00:00.	00:00.	00:00.
Tuesday	00:00.	00:00.	00:00.	00:00.	00:00.
Wednesday	00:00.	00:00.	00:00.	00:00.	00:00.
Thursday	00:00.	00:00.	00:00.	00:00.	00:00.
Friday	00:00.	00:00.	00:00.	00:00.	00:00.
Saturday	00:00.	00:00.	00:00.	00:00.	00:00.
Sunday	00:00.	00:00.	00:00.	00:00.	00:00.

Meal break: A meal break of not less than 30 minutes will be allowed approximately midway of each shift.

Leave: Employees must obtain supervisory approval before taking leave in accordance with established Authority procedures. The employee agrees to follow established procedures for requesting and obtaining approval of leave.

Equipment: The State/AEA is not required to provide equipment for the telework location; however, with the approval of the supervisor, the employee may be provided State/AEA owned equipment necessary to perform work assignments.

State/AEA owned equipment to be provided (Employee):

Equipment	**Property Tag Number**	**Serial Number**
Equipment Type.	Tag Number.	Serial Number.
Equipment Type.	Tag Number.	Serial Number.
Equipment Type.	Tag Number.	Serial Number.
Equipment Type.	Tag Number.	Serial Number.
Equipment Type.	Tag Number.	Serial Number.

Personal Equipment to be Used (Employee):

Personal equipment to be used.

State/AEA provided equipment will be used only by the employee to complete State/AEA work. It is not for personal use by the employee or the employee's family members. All use will comply with the SOA OIT policy.

Maintenance of Equipment: Equipment provided by the employer must be protected against damage and unauthorized use. Employer-owned equipment will be serviced and maintained by the employer. Equipment provided by the employee will be at no cost to the Authority and will be maintained by the employee. If equipment malfunctions, the employee must notify his/her supervisor immediately. All repairs to State/AEA equipment must be conducted at the central worksite or a State/AEA approved facility. The employee is responsible for returning malfunctioning equipment to the central worksite for repair. If the malfunction precludes the employee from performing work assignments, the employee will be assigned to a different project or required to return to the main worksite.

Costs: The State/AEA will not be responsible for operating costs, home maintenance, personal cell/home telephone expenses, Internet fees/rates, or any other incidental costs (e.g., utilities), associated with the use of the employee's residence/alternative work site. The employee does not waive entitlement to reimbursement for authorized expenses incurred while conducting official business for the employer.

Liability: The State/AEA is not responsible for loss, damage, repair, replacement, or wear of personal property or equipment. The employee will be liable for any loss or damage to State/AEA property. The State/AEA retains the right to inspect the worksite. Generally, additional equipment will not be provided to employees to work at alternative work sites. Exceptions must be approved by the employee's department Director and the Executive Director. Additional equipment requested as an ADA accommodation are to be reviewed in consultation with the /AEA HR Department and IT/Office of Information Technology, when appropriate.

The employee shall return all State/AEA equipment in good working condition, normal wear and tear excluded. The employee is responsible for notifying their supervisor immediately, within 24 hours, of any damage, theft or loss of any issued State/AEA property and will be liable for that loss. In the event of theft of the equipment, the employee shall be responsible for reporting the theft to local law enforcement and providing a copy of that report to their department Director.

Verification of Home Safety: In signing this agreement, the employee verifies that the telework location provides work space that is free from safety and fire hazards.

Work Assignments: The employee will meet with the supervisor to receive assignments and to review completed work at least once a week. The employee will complete all assigned work according to procedures mutually agreed upon with the supervisor.

Work Plan: Provide a description of the duties to be performed and how work deliverables will be assessed for performance.

Duties to be Performed (Supervisor):

Duties to be performed.

Method of Assessing Performance (Supervisor):

Method of assessing performance.

Evaluation: The evaluation of the employee's job performance will be based on established standards. Performance must remain satisfactory in order to remain teleworking.

Employee Approval

I agree to abide by this Work Agreement and all requirements of the Teleworking Policy. I understand that teleworking is voluntary, and I may stop teleworking at any time with 15 calendar days written notice.

I understand that management has the right to initiate, amend, terminate, or suspend this agreement at any time. I understand that my supervisor can suspend this Agreement if it is being used to enable child/dependent care. I understand that failure to comply with the provisions of this Agreement and the Teleworking Policy may result in termination of the agreement, and/or other appropriate disciplinary action.

I understand that regardless of my work location, as a public employee I am bound by the high standards set forth in the Alaska Executive Branch Ethics Act and my oath to serve Alaskans.

Signing below I confirm that I understand the nature of this Agreement and confirm all statements listed above. I also understand that this agreement is not finalized until it is approved by my Supervisor and Executive Director.

Employee Signature:_______________________________________ Date: _____________

Employee: Any attachments? Yes ☐ No ☐

Supervisor Approval

Has the position description been reviewed for accuracy? Yes ☐ No ☐
Is the employee adequately trained in their duties? Yes ☐ No ☐

Request approved: YES ☐ NO ☐

If not approved, please provide the rejection reason below:
Rejection Reason.

My approval certifies that I understand and will ensure compliance with the provisions of the Agreement.

Supervisor Signature:__________________________________ Date: ____________________

Name: ___________________________ Title: ____

Supervisor: Any attachments? Yes ☐ No ☐

Executive Director(s) Approval – Shared Services requires both EDs to approve.

Request approved: YES ☐ NO ☐

If not approved, please provide the rejection reason below:
Rejection Reason.

Signature: ____ Date: ______________

Name: __________________________________

Request approved: YES ☐ NO ☐

If not approved, please provide the rejection reason below:
Rejection Reason.

Signature: ____ Date: ______________

Name: __________________________________

cc: /AEA HR Director

Part IV: APPENDIX B

B: TUITION REIMBURSEMENT AND TRAINING

This Appendix includes the following:

- B.1 In-Person/Online Training Request form
- B.2 University Tuition Reimbursement Agreement form
- B.3 Authority Tuition Reimbursement Guidelines
- B.4 Authority Tuition Reimbursement Recovery Agreement

This information and forms are also available on SharePoint and from Human Resources. Questions regarding the form should be directed to Human Resources.

APPENDIX B.1

In-Person/Online Training Request form

ALASKA ENERGY AUTHORITY

IN-PERSON/ONLINE TRAINING REQUEST

NAME: ______________________ SUPERVISOR: ______________________

TITLE: ______________________ SUPERVISOR TITLE: ______________________

The employee and/or supervisor named above is requesting the following **in-person/online training** course(s) be approved and authorized for payment. This form is not for the approval of college/university course(s). If the in-person/on-line course(s) is approved, payment will be made by the Authority in advance of the course(s). Upon this request, the employees agrees that he/she may be required to reimburse the Authority if he/she fails to attend the event and the Authority is unable to obtain a refund.

Check one box from each column that apply to this request:

- ☐ Local or on-line
- ☐ In-State (not within driving distance)
- ☐ Out-of-State

- ☐ Job Required/Related
- ☐ Continuing Ed requirement to maintain cert./license
- ☐ Job Enhancement

Course Title	**Institution**	**Begin Date**	**End Date**

Course Title	**Registration Costs/Fees**	**Required Books/Materials**	**Total**
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
Total	**$0.00**	**$0.00**	**$0.00**

EMPLOYEE SIGNATURE: ______________________ Date: __________

DEPT HEAD APPROVAL: ______________________ Date: __________

Title: ______________________

Funding Information/Training charged to:

Fund	G/L	AR	Cont	Project/Program	Stage	Dept

APPROVED BY: ______________________ Date: __________

Title: Executive Director

Distribution: Original: HR Copy: Finance and Employee

APPENDIX B.2

University Tuition Reimbursement Request form

ALASKA ENERGY AUTHORITY

TUITION REIMBURSEMENT AGREEMENT

NAME: SUPERVISOR:
TITLE: SUPERVISOR TITLE:

The employee and/or supervisor named above is requesting the following **college/university** course(s) be approved and authorized for reimbursement. A **Tuition Reimbursement Recovery Agreement,** signed by the employee is included with this request. The employee understands, if approved, reimbursement will be made by the Authority upon proof of satisfactory course(s) completion and submission of receipts. Courses providing grades will require at least a "C" for satisfactory completion. Courses with pass/fail require proof of passing for reimbursement. Fees not directly related to the course will not be reimbursed.

Check one box:

☐ Job Required (Reimbursable at 100%)
☐ Job Related (Reimbursable up to 100%)
☐ Job Enhancement (Reimbursable up to 50%)

Course Title	**Institution**	**Begin Date**	**End Date**

Course Title	**Tuition & Fees**	**Required Books/Materials**	**Total**
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
Total	**$0.00**	**$0.00**	**$0.00**

DEPT HEAD APPROVAL: ______________________ Date: __________

Title: ______________________

Funding Information/Training charged to:

Fund	G/L	AR	Cont	Project/Program	Stage	Dept

APPROVED BY:

______________________ Date: __________

Title: Executive Director

Distribution: Original: HR Copy: Finance and Employee

APPENDIX B.3

AEA Tuition Reimbursement Guidelines

1. A Tuition Recovery Agreement is required for all Tuition Reimbursement Requests.
2. Requests for tuition reimbursement must be made by the following dates:

   Spring Semester – February 1
   Summer Semester – May 1
   Fall Semester – August 1
3. Tuition for those seeking degrees will not be approved for out of state colleges or Universities.
4. The calendar year maximum in tuition reimbursement that may be requested is **$5,250**. Funding levels for tuition reimbursement are contingent upon Authority budgetary constraints. As such, the program may be discontinued and/or the amount available for reimbursement may be reduced.
5. Tuition for courses offered on a regular basis through a University will be paid initially by the employee unless the employee is directed by the supervisor to take the course. In such cases, AEA will pay in advance of attendance, all costs associated with the course. All course materials become the property of AEA.
6. The following schedule will be used to determine the amount for tuition and continuing education reimbursement requests:

   Job Required (Reimbursable at 100%)
   Job Related (Reimbursable up to 100%)
   Job Enhancement (Reimbursable up to 50%)
7. To be eligible for tuition reimbursement requests, an employee must receive prior written approval and receive a passing grade of C or better. There will be no tuition reimbursement for classes audited. Courses with pass/fail require proof of passing for reimbursement to be granted.
8. Upon completion of the course, the employee may request reimbursement by submitting all receipts (not a cancelled check) indicating the completion of the course with a passing grade of C or better, and the previously approved request for reimbursement to the Department Director or designee. Requests for reimbursement must be made within 60 days of completion of the course.
9. AEA may reimburse the cost of tuition and directly related course fees (i.e. books). Fees not directly related to the course will not be reimbursed.
10. AEA will only consider requests for tuition reimbursement that are not already paid for or otherwise subsidized through a third-party (such as state/federal grants or other such aid).

I acknowledge I have read these guidelines:

Employee Name (signature): ______________________________________

Print Name: _____________________________

Date: ___________________________________

APPENDIX B.4

AEA Tuition Reimbursement Recovery Agreement

TUITION REIMBURSEMENT RECOVERY AGREEMENT

(Agreement required for all College/University Tuition Reimbursement Requests)

NAME: SUPERVISOR:

TITLE: SUPERVISOR TITLE:

It is agreed upon that if employment with the Authority/State of Alaska is terminated in less than one year, unless the termination is a result of death, prolonged illness, disability, or layoff, the employee will reimburse the Authority/State for tuition, other fees, and course materials that exceed $500.00 in total in accordance with the following schedule:

a) 100% if termination occurs before completing six (6) months,
b) 50% if termination occurs after six (6) months or before twelve (12) months,
c) 0% if termination occurs after twelve (12) months.

Termination for reasons due to misconduct or delinquency on the part of the applicant or employee, or to false statements on appointment documents, either prior to, or subsequent to employment will be considered as termination for reasons within the control of the applicant or employee.

Courses providing grades will require at least a “C” for satisfactory completion. Courses with pass/fail grading will require proof of passing for reimbursement.

It is agreed that the employee may be required to reimburse the department if he/she fails to attend the event and the department or employee is unable to obtain a refund. It is further agreed that the State of Alaska shall have the right to deduct from the undersigned employee’s final paycheck any monies owing to the State in accordance with the above schedule or to recover such monies by other legal means.

Course Title	**Institution**	**Begin Date**	**End Date**

Course Title	**Tuition & Fees**	**Required Books/Materials**	**Total**
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
	$0.00	$0.00	$0.00
Total	**$0.00**	**$0.00**	**$0.00**

Employee Signature ____________________ Date ____________________

HR Director Signature ____________________ Date ____________________

Distribution: Original: HR Copy: Finance and Employee

Part IV: APPENDIX C

C: CONFIDENTALITY

ALASKA ENERGY AUTHORITY

Confidentiality of Information Acknowledgment

In performing their duties, many employees have access to confidential personal or financial information concerning other Alaska Energy Authority (AEA) employees or entities that do business with AEA. It is important that employees with access to confidential information understand their duty to maintain the confidentiality of that information.

All employees must read and sign this form. This form will be filed in the employee's personnel file

1. I am an employee of the Alaska Energy Authority (AEA). I understand that, in performing my duties, I may have access to confidential information about other AEA employees or entities that do business with AEA. I agree that I will not discuss, disclose, or cause disclosure of any such confidential information to anyone who does not have a business need and a legal right to know the information.
2. I will handle and store confidential information in accordance with AEA policy.
3. I acknowledge that I could suffer disciplinary action, including discharge from AEA employment, and, in certain circumstances, face criminal penalties for revealing confidential information to someone who does not have both a business need and a legal right to know the information, or for misusing confidential information. If I do not know whether a person requesting confidential information is entitled to receive the information, I will consult my supervisor.

Examples of confidential information covered by this acknowledgement:

- Employee information as well as information such as social security numbers, birth dates, home addresses/phone numbers, leave balances, employee actions, investigations, grievances, applications, appeals, or any other employee matter, and other AEA business that is confidential under statute, including AS 39.25.080.
- All information that is confidential by law, including but not limited to tax matters and beneficiary programs.
- Information that by its nature must be secured to prevent harm to AEA or their business partners, including but not limited to credit card information and vendor tax information. Questions about this category of information should be directed to AEA Finance.

Certification Statement: *By signing below I acknowledge that I have read and understand the information provided on page one and two.*

________________________ ______________________________ **Date:** ________

Employee Printed Name **Employee Signature**

Alaska Statute 39.25.080

Sec. 39.25.080. Personnel records confidential; exceptions.

(a) State personnel records, including employment applications and examination and other assessment materials, are confidential and are not open to public inspection except as provided in this section.

(b) The following information is available for public inspection, subject to reasonable regulations on the time and manner of inspection:

(1) The names and position titles of all state employees;

(2) The position held by a state employee;

(3) Prior positions held by a state employee;

(4) Whether a state employee is in the classified, partially exempt, or exempt service;

(5) The dates of appointment and separation of a state employee;

(6) The compensation authorized for a state employee; and

(7) Whether a state employee has been dismissed or disciplined for a violation of AS 39.25.160 (l) (interference or failure to cooperate with the Legislative Budget and Audit Committee).

(c) A state employee has the right to examine the employee's own personnel files and may authorize others to examine those files.

(d) An applicant for state employment who appeals an examination score may review written examination questions relating to the examination unless the questions are to be used in future examinations.

(e) In addition to any access to state personnel records authorized under (b) of this section, state personnel records shall promptly be made available to the child support services agency created in AS 25.27.010 or the child support enforcement agency of another state. If the record is prepared or maintained in an electronic data base, it may be supplied by providing the requesting agency with access to the data base or a copy of the information in the data base and a statement certifying its contents. The agency receiving information under this subsection may use the information only for child support purposes authorized under law.

Alaska Statute 39.25.900

Sec. 39.25.900. Penalties.

(a) A person who willfully violates a provision of this chapter or of the personnel rules adopted under this chapter is guilty of a misdemeanor.

(b) A state employee who is convicted of a misdemeanor under this chapter or the personnel rules adopted under this chapter immediately forfeits the employee's office or position.

The Alaska Whistleblower Act

The Alaska Whistleblowers Act (AS 39.90.100 – 39.90.150) prohibits public employers from discharging, threatening, or otherwise discriminating against employees for reporting matters of public concern to a public body. The whistleblower protection extends to those who have made — or are about to make — reports on matters of public concern, as well as those who participate in court actions, investigations, hearings, or inquiries on matters of public concern.

A "matter of public concern" means a violation of State, federal, or municipal law, regulation, or ordinance; a danger to public health or safety; gross mismanagement, substantial waste of funds, or clear abuse of authority; a matter that the office of the ombudsman has accepted for investigation; or interference or failure to cooperate with the Legislative Budget and Audit Committee.

A "public body" means an officer or agency of the federal government, State, a political subdivision of State, a public or quasi-public corporation or authority established by law, or the University of Alaska. Consequently, whistleblower protection could apply to a State employee's report to his or her own employer.

Whistleblower protection applies only when the reporting person reasonably believes that the information reported is or is about to become a matter of public concern and the person reports the matter in good faith. The protection does not apply if the matter of public concern is the result of the reporting person's own conduct, unless the reporting person's employer required that conduct.

Part IV: APPENDIX D

D: EMPLOYMENT LAWS, ADMIN ORDERS & RELATED POLICIES

This Appendix includes the following:

D.1 Alcohol and Drug-Free Workplace

D.2 Americans with Disabilities (AO 129)

D.3 Business Use/Acceptable Use Policy (ISP 172)

- D.3.1 Artificial Intelligence Guidance

D.4 Discrimination and Diversity in the Workplace (AO 195)

D.5 Family and Medical Leave Act and the Alaska Family Leave Act

D.6 Email Retention Policy

D.7 How to Name Electronic Files and Folders

D.8 Record Retention and Disposition Schedule

D.9 Retention of Public Records

D.10 Retire Return to Work Policy

D.11 Seat Belt Policy (AO 85)

D.12 Sexual Harassment and Other Discriminatory Harassment

D.13 SOA Ethics Information

D.14 Travel Policy (AAM 60)

- D.14.1 AEA Travel Procedures

D.1: ALCOHOL AND DRUG FREE WORKPLACE

State of Alaska
Division of Personnel & Labor Relations

ALCOHOL & DRUG FREE WORKPLACE
Acknowledgment of Policy

It is the policy of the State of Alaska to maintain an alcohol and drug free workplace. Any employee who improperly or unlawfully manufactures, distributes, dispenses, possesses or uses a controlled substance or alcohol on state property, in the workplace or while performing official duties is subject to disciplinary action up to and including termination from employment. This is independent of any criminal action related to the offense.

As one means of promoting a safe and productive workplace, the state has taken proper steps to deter the incidence of improper or unlawful alcohol and drug use among its employees. Steps include ensuring employees have access to information about the dangers of alcohol and drug use, providing for employee counseling, treatment and referral services through participating Employee Assistance Programs (EAP), implementing lawful mandatory drug and alcohol testing policy for certain occupations and program groups and pursuing appropriate criminal penalties.

Employees are required to notify the employer, in writing, not later than five calendar days following criminal conviction for the use of alcohol or a controlled substance occurring on state property, in the workplace, or while performing official duties. Moreover, if convicted for unlawful use of a controlled substance, an employee of a department or agency receiving direct or pass-through federal grants covered by the Drug Free Workplace Act of 1988 is subject to notification and disciplinary provisions of the Act and acknowledgment.

D.2: AMERICAN WITH DISABILITIES ACT

Administrative Order No. 129

April 22, 1992

In 1990 the President of the United States signed into law the Americans with Disabilities Act (42 U.S.C. Sec. 12101 et seq.) mandating the elimination of discrimination against individuals with disabilities and requiring state and local governments, among other affected entities, to begin complying with the Act in 1992.

It has also been the policy of the State of Alaska, as expressed in the Alaska Human Rights Act (AS 18.80) and reflected in a number of other statutes, including

- AS 11.76.130 (making it a crime to interfere with persons with disabilities)
- AS 09.20.010 (permitting disabled people to serve as jurors)
- AS 35.10.015 (regarding accessibility of public buildings),
- AS 36.30.040(b)(16) (requiring procurement regulations to prohibit discrimination),
- AS 39.25.150(21) (requiring the personnel rules to grant employment preference in state service to severely handicapped persons),
- AS 44.21.500 -.509 (establishing a mechanism for dealing with complaints of employment discrimination in state government), and
- AS 47.80 (governing programs for people with disabilities)

to eliminate and prevent discrimination because of physical or mental disability in employment, in credit and financing practices, in places of public accommodation, in the sale, lease, or rental of real property, and in government policies, practices, and services. In addition AS 18.80.200(b) makes it the policy of the state to encourage and enable physically and mentally disabled persons to participate fully in the social and economic life of the state and to engage in remunerative employment.

Therefore, in furtherance of the State of Alaska's long standing commitment to human rights and equal opportunity for people with disabilities and to ensure compliance with title I and title II of the Americans with Disabilities Act of 1990, I, Walter J. Hickel, Governor of the State of Alaska, under the authority granted by article III, section 1, of the Alaska Constitution and by AS 44.17.060, hereby order the following as the policy of the executive branch of state government for the provision of services to and employment of people with disabilities and establish the Americans with Disabilities Act compliance program for the executive branch of Alaska state government.

AMERICANS WITH DISABILITIES ACT COMPLIANCE PROGRAM

Section

I. Purpose
II. Policy
III. Supplement to Earlier Orders
IV. Roles and Responsibilities
V. Department Compliance Programs

VI. Technical Guidance and Assistance
VII. Training
VIII. Annual ADA Compliance Program Audit Report
X. Policy Dissemination
XI. Recordkeeping
XII. Definitions
XIII. Effective Date

I. PURPOSE:

It is the purpose of this order and the Americans with Disabilities Act compliance program:

A. To prevent and eliminate discrimination against individuals with disabilities in employment and public services within state government;

B. To establish policies, guidelines and procedures for state agencies to follow to ensure compliance with title I and title II of the Americans with Disabilities Act of 1990, as amended, and their implementing regulations.

II. POLICY:

It is the policy of the state that:

A. No qualified individual with a disability shall be excluded, by reason of such disability, from participation in or be denied the benefits of the services, programs, or activities of a state agency, or be subjected to discrimination by any such agency.

B. No agency shall discriminate against a qualified individual with a disability because of the disability of such individual in regard to job application procedures, the hiring, advancement, or discharge of employees, employee compensation, job training, and any other term, condition, and privilege of employment.

C. Each agency shall operate each of its services, programs, and activities so that a service, program, or activity, when viewed in its entirety, is readily accessible to and usable by individuals with disabilities.

III. SUPPLEMENT TO EARLIER ORDERS:

This order supplements Administrative Order No. 18, dated November 22, 1972; Administrative Order No. 59, dated June 20, 1980; Administrative Order No. 75, dated April 8, 1983; Administrative Order No. 76, dated May 23, 1983; Administrative Order No. 81, dated October 25, 1984; Administrative Order No. 86, dated March 4, 1986; Administrative Order No. 93, dated March 4, 1987; and Administrative Order No. 109, dated May 13, 1988, by setting the controlling policies in regard to disability issues.

IV. ROLES AND RESPONSIBILITIES:

A. The Office of the Governor will retain overall responsibility for the coordination of the state's efforts to comply with and carry out its responsibilities under this order and the Americans with Disabilities Act. The governor shall appoint an official from within the state to serve as the State ADA Coordinator and make available to the public and state agencies the name, title, office address, and telephone number of the selected official.

B. The State ADA Coordinator will:

(1) Coordinate and direct the activities of agencies under this order and the efforts of state agencies to comply with title I and title II of the Americans with Disabilities Act;

(2) Serve as the state's primary contact and liaison with the public and agencies on compliance issues regarding the Americans with Disabilities Act and the state's ADA compliance program;

(3) Ensure compliance with the order;

(4) Communicate to the public and interested individuals information regarding the ADA compliance program and the names, office addresses, and telephone numbers of agency ADA coordinators appointed under this order;

(5) Convene and facilitate meetings of the ADA taskforce assigned in this order with interdepartmental responsibilities for providing technical guidance and assistance;

(6) Serve as the primary point of service for and the overall coordinator of the state's responses to all complaints filed against state agencies with federal and state compliance agencies under the title II compliance procedures (28 C.F.R. 35.170) where the allegations are that the state discriminated in its services, policies, or practices, or failed to comply with the Americans with Disabilities Act.

C. Each commissioner is responsible for ensuring the effective implementation of this order within her or his department and ensuring compliance with the Americans with Disabilities Act. Each commissioner shall designate an official within the department to serve as the Department ADA Coordinator and the overall administrator of the department's ADA compliance program. Each commissioner shall make available to the public, the State ADA Coordinator, and department employees the name, title, office address and telephone number of the selected official. The Department ADA Coordinator shall receive guidance and direction from the department commissioner and the State ADA Coordinator on matters dealing with the Americans with Disabilities Act and is responsible for assuring timely and adequate requests for appropriations to implement the department's ADA compliance program.

D. The Department ADA Coordinator will:

(1) Coordinate the department's efforts to comply with and carry out its responsibilities under title I and title II of the Americans with Disabilities Act;

(2) Serve as the department's primary liaison between the department, the public, and other agencies on issues with the Americans with Disabilities Act and this order;

(3) Supervise the preparation and drafting of the department's title II self-evaluation required

under 28 C.F.R. 35.105 and any transition plans developed under 28 C.F.R. 35.150;

(4) Maintain the department's self-evaluation on file and make it available for public inspection as required by 28 C.F.R. 35.105 and the State ADA Compliance Program;

(5) Supervise the department's title II complaint procedure, as required by 28 C.F.R. 35.107, and ensure that, for any complaint communicated to the department alleging noncompliance with the Americans with Disabilities Act or alleging any actions that would be prohibited by the Act or its implementing regulations, an investigation is conducted and the complaint is resolved promptly and equitably;

(6) Develop a training plan in consultation and cooperation with the Productivity Improvement Center in the Division of Personnel and Office of Equal Employment Opportunity, Department of Administration for department employees to ensure that managers, supervisors, and employees who provide direct services to the public are aware of their responsibilities under the Americans with Disabilities Act, the state policy, and this order, and are sensitized to the needs of people with disabilities;

(7) Direct the activities of the division directors and ADA coordinators within the department in complying with this order and with the Americans with Disabilities Act.

E. Each division director is responsible for ensuring the effective implementation of the department ADA compliance program within her or his division and ensuring compliance with the Americans with Disabilities Act. Directors of divisions with 50 or more employees shall appoint a Division ADA Coordinator to administer the division's ADA compliance program and shall make available to the public, the Department ADA Coordinator, the State ADA Coordinator, and division employees the name, title, office address, and telephone number of the selected employee.

F. The director in smaller divisions and the Division ADA Coordinator in divisions with 50 or more employees will, under the guidance and review of the Department ADA Coordinator:

(1) Coordinate the division's efforts to comply with and carry out its responsibilities under title I and title II of the Americans with Disabilities Act, this order, and department directives;

(2) Serve as the division's primary liaison between the division, the public, and other agencies on issues regarding the Americans with Disabilities Act and this order;

(3) Oversee and coordinate the preparation of the division's title II self-evaluation required under 28 C.F.R. 35.105 and assist in the preparation of any transitional plans developed under 28 C.F.R. 35.150;

(4) Serve as the coordinator for ADA complaints within the division;

(5) Ensure that notice is given to applicants, participants, beneficiaries, and other interested persons on information regarding the Americans with Disabilities Act as required in 28 C.F.R. 35.106.

V. DEPARTMENT COMPLIANCE PROGRAMS:

Each department will implement a program to ensure that it is in compliance with title I and title II of the Americans with Disabilities Act. The department ADA compliance program must include the following components and measures:

A. The appointment of a Department ADA Coordinator and division ADA coordinators for divisions with 50 or more employees by May 1, 1992 and as needed thereafter to fill vacancies;

B. An evaluation of the department's current services, policies, and practices, as required in 28 C.F.R. 35.105, to be completed initially for public comment by June 15, 1992, finalized by January 26, 1993, updated through June 30, 1993; and updated annually thereafter;

C. A plan of action, including a timetable, for making the necessary modifications to current services, policies, and practices, and the effects thereof, that do not or may not meet the requirements of the Americans with Disabilities Act and its implementing regulations, to be completed initially by January 26, 1993, updated through June 30, 1993, and updated annually thereafter;

D. Transition plans, as required in 28 C.F.R. 35.150, in the event that structural changes to facilities will be undertaken to achieve program accessibility, to be completed initially by July 26, 1992, updated through June 30, 1993, and updated annually thereafter;

E. An interim complaint procedure adopted under paragraphs IX.B. and IX.C., meeting the standards imposed by 28 C.F.R. 35.107, to be employed until the regulations referred to in paragraph IX.A. below have been adopted in accordance with the Administrative Procedure Act and have taken effect. Such an interim procedure must provide for prompt and equitable resolution of complaints alleging any action that would be prohibited by title II of the Americans with Disabilities Act;

F. A plan for providing notice to applicants, participants, beneficiaries, and other interested persons on the provisions of title II of the Americans with Disabilities Act and its implementing regulations as required by 28 C.F.R. 35.106, to be completed by July 26, 1992;

C. A plan for training managers, supervisors, and employees who provide direct services to the public in their responsibilities under the Americans with Disabilities Act and sensitizing them to the needs of people with disabilities to be completed by September 1, 1992, updated through June 30, 1993, and updated annually thereafter.

VI. TECHNICAL GUIDANCE AND ASSISTANCE:

A. The Division of Personnel and Office of Equal Employment Opportunity in the Department of Administration will provide technical guidance and assistance to agencies on how to comply with the employment provisions of title I and title II of the Americans with Disabilities Act.

B. The Division of Engineering and Operations in the Department of Transportation and Public Facilities will provide technical guidance and assistance to state agencies on developing transition plans and making structural changes to state-owned facilities to achieve program accessibility, and on providing appropriate signage on buildings and other facilities.

C. The Division of General Services in the Department of Administration will provide technical guidance and assistance to agencies on procurement of assistive technologies and on issues where structural changes are required on state-leased facilities to achieve program accessibility.

D. The Division of Information Services in the Department of Administration will provide technical guidance and assistance to agencies on telecommunication devices for the deaf and other issues having to do with making telecommunications accessible within the state;

E. The Division of Vocational Rehabilitation in the Department of Education will provide technical advice to agencies on the nature of a disability and reasonable accommodations.

VII. TRAINING:

A. Each department will ensure that program managers, supervisors, and staff providing direct services to the public receive appropriate training to perform their duties under the Americans with Disabilities Act.

B. The Division of Personnel and Office of Equal Employment Opportunity's Productivity Improvement Center will provide advice and assistance to agencies in developing training plans and meeting training needs. Agencies shall submit the ADA training plans required under paragraph V.E. of this order and requests for training to the Productivity Improvement Center. Agencies will be responsible for training costs.

VIII. ANNUAL ADA COMPLIANCE PROGRAM AUDIT REPORT:

The Division of Audit and Management Services in the Office of Management and Budget, Office of the Governor shall conduct an annual performance audit of the State ADA Compliance Program, corresponding with the state fiscal year, and submit an audit report to the Governor and the State ADA Coordinator by September 30, 1993 and annually thereafter.

IX. COMPLAINT PROCEDURES:

A. Within 90 days of the date of this order, the State ADA Coordinator will prepare for adoption under AS 44.62.020 – 44.62.290 regulations setting out a complaint procedure meeting the requirements of 28 C.F.R. 35.107 which provide for prompt and equitable resolution of complaints alleging any action which would be prohibited by title II of the Americans with Disabilities Act. Public hearings under AS 44.62.210 may be conducted under the auspices of the Governor's Council for the Handicapped and Gifted. The regulations shall be adopted by the Governor and enforced as provided in the regulations.

B. Until the foregoing regulations are adopted1 agencies shall follow the complaint procedures established under Administrative Order No. 81 for resolving complaints alleging violations of title II of the Americans with Disabilities Act.

C. For internal complaints of employment discrimination, and for employment discrimination complaints filed with federal or state compliance agencies under 29 C.F.R. 1630, 28 C.F.R. 35.170, or AS 128.80.220, agencies shall follow the procedures established under AS 44.21.505 by the Division of Personnel and Office of Equal Employment Opportunity in the

Department of Administration.

X. POLICY DISSEMINATION:

A. Each agency shall post the state policy in Section II of this order in the form provided by the State ADA Coordinator on all bulletin boards and at every facility and office.

B. Each commissioner and division director shall ensure that copies of this order are disseminated to all managers and supervisors and that copies of the policy are included in all employee handbooks and department operating policies and procedures manuals.

C. The director of the Division of Personnel and Office of Equal Employment Opportunity shall ensure that a copy of this order is provided to all recruitment resources and to labor unions representing state employees.

XI. RECORDKEEPING:

A. An agency, as required by 29 C.F.R. 1602, shall maintain employee records, including applications, employee files, and agency anecdotal employee records, for a minimum of one year or, if an employment discrimination complaint has been filed, until the complaint is finally resolved, whichever is longer.

B. An agency, as required by 28 C.F.R. 35.105(c), shall maintain on file and make available for public inspection for at least three years following completion of its self-evaluation:

(1) A list of the interested persons consulted in preparing the agency's self-evaluation and transition plans;

(2) A description of areas examined and any problems identified; and,

(3) A description of any actions taken and modifications made.

XII. DEFINITIONS:

Unless the context indicates otherwise, in this order

(1) "ADA" means the Americans with Disabilities Act;

(2) "agency" or "state agency" means a department, office, agency, public corporation, board, commission, authority, or other organizational unit of the executive branch of state government excluding the University of Alaska and the Alaska Railroad Corporation;

(3) "commissioner" means the chief executive officer of an executive department or other agency with cabinet-level reporting status;

(4) "department" means one of the principal departments of the executive branch or any other agency approved by the State ADA Coordinator to function as a department under this order;

(5) "disability" means, with respect to an individual, a physical or mental impairment that

substantially limits one or more of the major life activities of such individual; a record of such an impairment; or being regarded as having such an impairment, as defined for title I of ADA in 29 C.F.R. 1630.2(g) and for title II of ADA in 28 C.F.R. 35.104;

(6) “qualified individual with a disability” means with respect to employment, as defined in 29 C.F.R. 1630.2(m), an individual with a disability who satisfies the requisite skill, experience, education and other job-related requirements of the employment position such individual holds or desires and who, with or without reasonable accommodation, can perform the essential functions of the position;

For purposes of programs and services other than employment, “qualified individual with a disability”, as defined in 28 C.F.R. 35.104, means an individual with a disability who, with or without reasonable modifications to rules, policies, or practices, the removal of architectural, communication, or transportation barriers, or the provision of auxiliary aids and services, meets the essential eligibility requirements for the receipt of services or the participation in programs or activities provided by a public entity;

(7) “order” means Administrative Order No.129;

(8) “state” means the executive branch of Alaska state government.

XIII. EFFECTIVE DATE:

This order takes effect immediately.

DATED at Juneau, Alaska this 22 day of April, 1992.

By: S/S Walter J. Hickel
Walter J. Hickel
Governor of the State of Alaska

D.3: BUSINESS USE/ACCEPTABLE USE POLICIES

State of Alaska		Effective:	8/13/2010
Information Security Policies		Last Review:	11/1/2010
Title:	Business Use/Acceptable Use	Next Review:	Quarterly
Number:	ISP-172		
Version:	1.1	Approved by:	CIO
Pages	5	Distribution:	SOA

1. **Purpose**

To outline acceptable use and clarify the protection of State of Alaska (SOA) information assets and technology resources. Unacceptable use exposes SOA to unwarranted risk (e.g., virus attacks, compromised network systems, services and legal issues associated with data tampering, data theft and privacy).

2. **Statutory Authority**

Alaska Statute 44.21 designates the Commissioner of the Department of Administration (DOA) with the responsibility for oversight of all SOA executive branch information technology, fulfilling the role of the Chief Information Officer (CIO) for the State. The roles and responsibilities for statewide information security have been delegated to the Chief Security Officer (CSO) through the Enterprise Technology Services (ETS) division director, by the CIO.

Records owned by the Departments are subject to oversight as designated by the Commissioner of the department under AS 44.17. Record retention requirements are subject to State archivist statutes under AS 40.21.

3. **Policy Scope**

This policy is applicable to all SOA branches, departments, divisions, corporations, commissions or other related entities which will be referred to as Department(s).

4. **Definitions**

Terms in this document are defined in the SOA policy ISP-002 Information Security Glossary.

5. **Policy Statement**

This policy stipulates:

- Acceptable Use.

5.1 Acceptable Use

5.1.1 Access for Authorized Purposes

Acceptable use applies to all personnel (e.g., employees, partners, contractors, consultants, temporaries, other SOA workers and workers affiliated with third parties or anyone having access to SOA information that is not directly accessible to the general public from a non- SOA network (e.g., Internet)) and the use of all information processing equipment, including but not limited to computer equipment, software, operating system, storage media, and network accounts providing electronic mail, World Wide Web (www) browsing, file transfer protocol (FTP), Windows © mobile devices, Smartphones, personal digital assistants (PDAs), etc. and further applies to resources owned, leased, or managed by SOA or its designees and to non-SOA resources used at SOA facilities in the conduct of SOA business.

Personnel must use SOA networks and associated systems for authorized business purposes only. Personnel must not access information, programs, or systems when such access is not required for an authorized business purpose. This includes system administrators who must have system access rights due to their job responsibilities. Administrators must not view or otherwise access SOA user information without the express consent of the user, Executive Management or the Division of Personnel and Labor Relations (DOPLR).

SSO personnel will monitor equipment, systems, and network traffic at any time, for the purpose of security and network maintenance.

5.1.2 Personal Computing Equipment Prohibited Use

Personnel must not use personal computing equipment (e.g., laptops, PC, workstations, servers, external hard drive, USB devices, Smartphone or other networking equipment) within the SOA wide area network (WAN) or local area networks (LANs) for SOA or personal business. Personnel who connect a personal device to an SOA network or device in violation of this policy are exposing the device and all information on the device to potential monitoring, collection and public disclosure.

5.1.3 Contractors Computing Equipment Authorization

Contractors may use their personal or company owned devices within the SOA WAN or LANs, but these devices must be subject to all SOA policies when connecting to the SOA networks and will be monitored, reported and audited for security proposes. Contractors forfeit any right to privacy.

Contractors who connect personal or company owned devices to the SOA network acknowledge that all materials and information on each device are subject to monitoring, review, collection and public disclosure by State or federal statute, regulations, administrative order, policy or directive.

5.1.4 Application of Passwords

Authorized users are responsible for the security of their passwords and accounts. System level passwords should be changed regularly. Personnel must use passwords of strength, specific criteria and control to access and protect the SOA WAN and LANs and must adhere to what is defined in SOA policy ISP-178 Password Management.
With the exception of public-access terminals or by SOA SSO written authorization, all non- mainframe computers (e.g., servers, workstations, terminals and laptop computers) must be secured with a password-protected screensaver with the automatic activation feature set at 10 minutes or less. When personnel leave a computer unattended this password-protected screensaver feature must be manually activated or the computer must be turned off.

5.1.5 Posting of SOA Sponsored Accounts

SOA sponsored accounts to news groups or web forums shall contain a disclaimer which states the opinions expressed are strictly the poster's own and not necessarily those of the SOA, unless posting is in the course of business duties.

5.1.6 Use of Issued Credentials

Personnel must use only the user IDs, network addresses, and network connections defined by the SOA or department information technology administration staff to access SOA networks and associated systems.

5.1.7 Unauthorized Security Tools

Personnel must not download, install, or execute any security program or utility (e.g., password cracker, network sniffer, vulnerability scanner) designed to reveal weaknesses in the security of a system without explicit authorization from the State Security Office (SSO).

5.1.8 Execution of Electronic Information

Personnel must use extreme caution when opening files that have been sent to or received either electronically or on removable media (e.g., floppy disk, CD/DVD, USB Flash drive). Examples of such files are email attachments received from unknown senders, files downloaded from the www or FTP sites, seemingly innocuous commercial files, etc. Any and all of these items can contain viruses, e-mail bombs, trojan-horse code, spyware/ad-ware, BOT net, other malware, or inappropriate material and should be suspected. If personnel experience unusual computer symptoms when opening unknown files, they must report these to their department IT staff immediately. If contractors with SOA business suspect any of the above listed items they shall disconnect from SOA network and notify their client supervisor immediately for remediation in all efforts to protect SOA information assets.

5.1.9 Unacceptable Use

Under no circumstances are personnel of the SOA authorized to engage in any activity that is illegal or in violation of local, State, federal or international law, or Alaska Administrative Code.

Prohibited email, communication activities, system and network activities are listed below. Personnel may be exempted from some of these restrictions during the course of their valid job responsibilities (e.g., systems administration staff may have a need to disable the network access of a host if that host is disrupting production services or the requirement of a law enforcement investigation) however, cautious and meticulous adherence must be followed by all users.

5.1.9.1 E-mail and Communications Prohibited Activities:

- Any illegal activity.
- Intentionally sending unsolicited e-mail messages, including the sending of "junk mail" or other advertising material to individuals who did not specifically request such material.
- Any form of harassment via email, instant messaging, telephone, paging, or other electronic means, whether through language, frequency, or size of messages.
- Unauthorized use, or forging, of email header information.
- Solicitation of email for any other email address, other than that of the poster's account, with the intent to harass or to collect replies.

- Creating or forwarding "chain letters", "Ponzi" or other "pyramid" schemes of any type.
- Use of unsolicited email originating from within SOA networks or other Internet/Intranet/Extranet service providers on behalf of, or to advertise, any service hosted by SOA or connected via the State's network.
- Posting the same or similar non-business-related messages to Usenet news groups or web forums.
- Use for access to or distribution of indecent or obscene material, including child pornography.
- Use for commercial activities, including advertising, unless specific to charter, mission, or duties of the government agency.
- Use for fundraising, political campaign or partisan activities, or public relations activities not specifically related to SOA government activities.
- Use of SOA information technology resources for personal gain.

5.1.9.2 System and Network Prohibited Activities:

- Violations of the rights of any person or company protected by copyright "©", or trade mark "™" or registered "®", or trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of "pirated" or other software products that are not appropriately licensed for use by the SOA.
- Unauthorized copying of Copyright Material "©" including, but not limited to, digitization and distribution of photographs from magazines, books or other copyright sources, copyright music, and the installation of any copyright software for which the SOA or the end user does not have an active license is strictly prohibited.
- Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws, is illegal. Intentional introduction of malicious programs into SOA information technology resources (e.g., introducing viruses, worms, Trojan horses, e-mail bombs, etc. into the SOA network or individual SOA computing devices).
- Revealing account information to others or allowing use of a personal account by others. This includes family and other household members when work is being done at home.
- Using SOA computing assets to actively engage in procuring or transmitting material that is in violation of sexual harassment or hostile workplace laws.
- Making fraudulent offers of products, items, or services originating from any SOA account.
- Intentionally causing security breaches or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which the employee is not an intended recipient or logging into a server or account that the employee is not expressly authorized to access. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, ping floods, packet spoofing, denial of service, and forging route information for malicious purposes.
- Network vulnerability testing, security scanning, virus or Trojan horse testing or executing any form of network monitoring, which will intercept data not intended for the user's host.
- Any activity, application or service that disables, tampers with, circumvents security solutions, services, controls, user authentication, security of any host,

network or account, or interfering with or denying service to any authorized user or service is prohibited and strictly enforced. (e.g., URL filtering, network monitoring, remote access requirements through SOA virtual private network, SOA ingress/egress access control requirements, Cisco Security Agent, and other security solution, service, or control, intentionally evading a security solution or process, or creating a denial of service to a user, applications, host, network, or other SOA process).

- Using any program/script/command, or sending messages of any kind, with the intent to interfere with or disable another user's terminal session via any means, locally or via the Internet/intranet/extranet.
- Providing information about or lists of SOA personnel to any outside parties, without a business case or SSO approval.
- Personal use of or divulging of private or confidential information regarding any individual obtained by any personnel, as a result of performance of job duties or as a result of their employment with the SOA.
- Use of encryption (at rest or in transit) without an approved business case justification and written approval from the ISO Designee and the SSO.
- Uses of peer-to-peer (P2P) file transfer solutions (e.g., Gnutella, BitTorrent, etc.) without an approved business case justification and written approval from the Department Information Security Officer (ISO) and the SSO.
- Use of non-standard, non-SOA provided instant messaging technologies (e.g., Skype, MSN, AOL, Googletalk, etc.) or other similar technologies without an approved business case justification and written approval from the Department Information Security Officer (ISO) and the SSO.
- Use of non-standard remote control technologies (e.g., GoToMyPC, Dameware, Radmin, etc.) or other similar technologies.
- Use of non-operating system standard screen saver or other similar technologies.
- Use of any external proxy systems or other similar technologies.
- Use of any program or application that performs off-site document or file indexing (e.g., Google Desktop) or other similar technologies.
- Use of any streaming media technologies (e.g., Radio, YouTube, etc.) without an approved business case justification and written approval from the Department Information Security Officer (ISO) and the SSO.

5.1.10 Least Privilege

Personnel tasked with network user administration must ensure that network and system access controls are configured to limit the privileges extended to users to the least necessary to accomplish authorized business purposes.

5.1.11 Applicable Statutes and Enforcement

The Executive Branch Ethics Act states a public employee may not "**use state time, property, equipment, or other facilities to benefit personal or financial interests**" (AS 39.52.120(b)(3)). Further, "standards of ethical conduct for members of the executive branch need to distinguish between those minor and inconsequential conflicts ... and those conflicts of interests that are substantial and material." (AS 39.52.110(a)(3)).

The Executive Management acknowledges that incidental personal use may be unavoidable in today’s electronic environment. In cases where SOA office technology incidental personal use occurs, users must be aware that there is no right to privacy regarding these occurrences. Applicable Statutes, Administrative Orders and Codes include, but are not limited to: AS 39.52, Alaska Executive Branch Ethics Act; Administrative Order #81, Nondiscrimination and Non-Harassment; Administrative Code 9 AAC 52, Alaska Executive Branch Code of Ethics; AS 39.25.160, Alaska Little Hatch Act; AS 24.60, Legislature Standards of Conduct.

Personnel found to have violated this policy are subject to discipline up to and including dismissal.

D.3.1: ARTIFICIAL INTELLIGENCE GUIDANCE

THE STATE of ALASKA
GOVERNOR MIKE DUNLEAVY

Department of Administration

OFFICE OF INFORMATION TECHNOLOGY
State Security Office

10TH Floor State Office Building
P.O. Box 110206
Juneau, Alaska 99811-0206
Main: 907.465.2220
Fax: 907.465.3450
doa.alaska.gov/oit

May 23, 2024

TO: Department Commissioners
Department Administrative Services Directors
Department Technology Officers
Department Information Security Officers
IT Advisory Council

FROM: Leonard Robertson – Chief Technology Officer
Governance, Risk, and Compliance
Department of Administration

DocuSigned by:
5C9A75B340634E6...

CC: Paula Vrana – Commissioner, Department of Administration
Bill Smith – State Chief Information Officer, Department of Administration

SUBJECT: Artificial Intelligence Guidance

Recent and emerging developments in Artificial Intelligence (AI) have led to a need for updated guidance and policy on the safe and effective use of these enhanced services.

Current State of Alaska (SOA) Information Security Policies (ISPs) do not directly address the general term AI. While policies may eventually be developed to meet unique AI challenges, many of the security principals in our current ISPs hold true when applied generally to AI. The term AI is a generic term for multiple technologies.

AI is a collection of technologies, platforms, and strategies for machines to simulate the human ability to process information and complete tasks. Used appropriately, AI technologies offer powerful tools to augment existing operations by enhancing the capabilities of our workforce through innovation and automation. Used inappropriately, the same powerful tools can reduce citizen privacy, accuracy of information, and legal compliance.

AI services like audio transcription, optical character recognition, and Grammarly have been a part of the work environment for many years. State of Alaska (SOA) Information Security Policies (ISPs) may not call out policies explicitly as AI related, but ISPs do cover foundational technology and data that is a part of AI services. The current ISPs may not cover to the same detail the risks of the newer classes of AI such Generative and Adaptive AI services.

Reactive AI (Simple Traditional Machine)

Reactive (or traditional) AI performs a specific task with predictable results. Examples include web search sites, word suggestions as you type, voice to text transcription, automation systems, barcode scanners, simple voice to text transcription, traffic light control systems, and rule-based diagnostic systems.

The use of Reactive AI is covered by our existing SOA acceptable use policy (ISP-172), other SOA ISPs, department policies, federal and state statutes, and regulations. Existing policies covering data compliance and architecture apply to these systems in the same manner as any other current technology. Some reactive AI systems remember the data entered and the responses to that data. In some cases, the state already uses and secures applications that could be defined as Reactive AI and may not currently be labeled as an AI technology.

Reactive AI Guidance

- Continue to follow current ISPs and department policies for data, architecture, and use.

Generative AI

Generative AI is a rapidly expanding toolset in the workplace that focuses on developing unsupervised and semi-supervised algorithms capable of producing new content, such as text, audio, video, images, and code, by utilizing existing data. It involves creating original and authentic artifacts through computer-generated means. Some examples include Large Language Models (LLMs) and generative-fill image editing tools. For consistency, the term Generative AI includes LLMs, ChatGPT, Microsoft Azure OpenAI, and programs such as Grammarly, which are varied examples of services that leverage AI.

Generative AI Key Characteristics:

- Data and Content Generation: Generative AI models aim to create algorithms that generate content and data rather than merely recognizing existing patterns.
- Wide Applications: These models are used in various business professional writing and for the generation of visual content, music, and robotics.
- Self-Awareness: Generative AI can make computers self-aware by learning patterns from diverse data sources.
- Potential: It has the potential to be faster, better, and cheaper than what humans can produce manually.

By using Generative AI or any SOA IT resource you continue to agree to use it responsibly and in compliance with SOA ISPs. You will not use the AI system to create or distribute any content that is defamatory, discriminatory, malicious, deceptive, or that infringes upon the rights of others. Any misuse of an SOA IT system that may or may not include AI may result in the termination of access. The state reserves the right to monitor and moderate the usage of the AI system to ensure compliance with current ISPs.

State of Alaska vendors that provide Software as a Service (SaaS) are beginning to incorporate Adaptive and Generative AI into their services. These platforms will require an evaluation of risk and the controls necessary to continue leveraging these platforms. Partners, such as Microsoft, do provide access to Adaptive and Generative AI technology while maintaining security and data controls in partnership with their customers, so that together we can ensure the State of Alaska meets its compliance obligations.

Discretion must be used when entering information into or while using platforms leveraging Adaptive and Generative AI that are not managed by the State of Alaska, since removing the data if legally required would be challenging or impractical. There is a heightened risk with platforms outside of the United States since other countries could leverage our data in detrimental ways. In some cases, foreign platforms may be blocked by SOA Network Security.

Generative AI Guidance

- SOA Personnel must receive approval to use specific AI services, the same as they would be required to use any software or service from their department.
- Agencies may preapprove certain Generative AI Platforms for general use of personnel.
- Publicly available AI platforms such as Chat-GPT can be helpful for content creation and state business based on public information but are not suitable for confidential or compliance regulated data. Personnel shall exercise discretion and not share or expose confidential, or compliance regulated data on these unregulated platforms.
- No personally identifiable information may be used in any AI systems outside of SOA control.
- Some external Generative AI platforms may be blocked by default by web filtering, but there are review and approval processes available. Please follow the standard web waiver and approval process.
- SOA Personnel are responsible for vetting, reviewing, and editing Generative AI content for appropriate application and accuracy. SOA Personnel must ensure proper validation of any work product. The product of any AI system may be subject to bias or defects and is governed as if it were the work product of a state employee. In no case should such a product be provided to the public without proper verification.
- Agencies shall have current risk assessment and management plans for any Generative AI platform that interfaces with confidential data or compliance-controlled data.

Adaptive AI

Adaptive AI remembers the data entered and the response to that data. Some examples include adaptive cybersecurity threat detection, smart energy management systems, personalized recommendation algorithms, predictive analytics, and automated fraud detection. By retaining data, it can provide higher quality responses. Because Adaptive AI not only consumes data, but has the potential to retain it, it is very important that data only be entered that meets SOA compliance requirements for security and retention within the acceptable use policy, SOA ISPs, department policies, federal and state statutes, and regulations.

Adaptive AI Key Characteristics:

- Dynamic Learning: Adaptive AI continuously learns and adjusts its behavior based on changing environments.
- Real-Time Adaptation: It adapts its responses and actions according to the context and user inputs.

- Decision-Making: These systems make decisions dynamically, responding to new information.

There is an inherent risk that inputs may influence the outcomes of Adaptive AI systems. This risk is outside of typical ISPs or policies. It is here most of the discussion and regulatory oversight is currently evolving. Automated responses with no oversight may result in unintended outcomes normally not present with human oversight. As an example, if Adaptive AI is used for the intake of a form from citizens and provides results and decisions or determinations of whether a citizen qualifies for a benefit or service without a review, there is a possibility the result may be wrong and result in disenfranchisement of the citizen. Adaptive AI work product is covered just as the work product produced by an agent of the state, such as personnel or contractor, is covered.

Adaptive AI Guidance

- Agencies shall have a current risk assessment and management plan for any Adaptive system that may pose a risk for use or interfaces with confidential data or is a critical application.
- When an AI specific risk assessment may be required or prudent to incorporate in system security plans, agencies may use the NIST Publication NIST AI 100-1 Artificial Intelligence Risk Management Framework as a template.
- AI models incorporated into SOA systems should be tested and reviewed for quality control. Agencies should ensure proper validation of any work product or automated processes. The product of any AI system may be subject to bias or defects and is governed as if it were the work product of personnel or contractor of the state. In no case should such a product be provided to the public without proper verification and quality control.
- System owners should incorporate a regular monitoring of outputs or decisions for accuracy and quality control.
- Agencies will be responsible to meet or update any Authority to Operate (ATO) requirements for an AI service processing confidential information, as specified by compliance authorities.

Reminder of state acceptable use policy across technologies

Agencies and personnel are reminded that the State of Alaska's business use and acceptable use policy, ISP-172, still applies across all State of Alaska (SOA) information assets and technology resources. Unacceptable use exposes the State to unwarranted risk (e.g., virus attacks, compromised network systems and services, and legal issues associated with data tampering, data theft, and privacy). This policy includes Artificial Intelligence.

Further Overall AI Specific Details

- State built applications system risk assessments should continue to meet the requirements for a security plan and system risk assessment per ISP-102, ISP-162, and ISP-191. An AI specific risk assessment may be required for data compliance or prudent to incorporate in system security plans. An example, such as NIST Publication NIST AI 100-1 Artificial Intelligence Risk Management Framework, could be used. Agencies that update current platforms or services to incorporate relevant AI shall update any current risk assessment and process if appropriate to meet compliance, security, or risk requirements.

- SOA Personnel and others conducting work on behalf of the State that incorporates or accesses data classification other than public information should only leverage AI services that have a risk assessment and received approval.
- SOA Personnel and others conducting work on behalf of the State must receive approval to use specific AI services before using them, as is the case with all technologies and related services per the State acceptable use policy.
- SOA Personnel and others conducting work on behalf of the State who have approval to use specific AI services may be required to sign and follow use agreements that are tailored for those AI services that have an ATO.
- Data that is entered and output from all AI services must continue to meet current compliance requirements.
- The work product of agents of the State of Alaska must be retained according to current policies and it is the responsibility of the user to retain work products. Authority to use will be at the discretion of department commissioners to approve or delegate approval. Non-SOA AI platforms may be restricted by web filtering and be authorized according to current web filtering practices.
- The general use of AI platforms is restricted to platforms or systems verified as hosted within the United States. Low risk exceptions would require coordination through the State Security Office.
- It is recommended that the use of AI platforms be reviewed for ethical, legal, and bias risks. Guidance on these subjects should be in cooperation with the Department of Law and will be coordinated with the State Security Office and the Office of Information Technology.

Continue to follow current State Policies and Regulations

- Continue to follow current ISPs and department policies for data, architecture, and use.

- Ensure to maintain current risk assessments and security plans for any data system that interfaces with confidential data or is a critical application.

- All uses of data systems must continue to adhere to SOA compliance requirements for security and retention within the acceptable use policy, SOA ISPs, department policies, federal and state statutes, and regulations.

D.4: DISCRIMINATION AND DIVERSITY IN THE WORKPLACE

AEA TITLE VI POLICY STATEMENT

It is the policy of the Alaska Energy Authority (AEA or the Authority), in accordance with 49 CFR Part 21 (Department of Transportation Regulations for the Implementation of Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987 (P.L. 100.259), and 23 CFR Part 200 (Title VI Program and Related Statutes—Implementation and Review Procedures), Executive Order 12250, 23 USC 324 (Prohibition of Discrimination on the Basis of Sex), Title VIII of the Civil Rights Act of 1964, 23 U.S.C. 109(h), DOT Order 1050.2, the Civil Rights Restoration Act of 1987, and Executive Order 12898-Environmental Justice, that no person in the State of Alaska shall, on the grounds of race, color, sex, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Authority receives federal assistance from the U.S. Department of Transportation, include the Federal Transit Administration (FTA).

7/27/24
Date

Curtis Thayer
Executive Director
Alaska Energy Authority

Administrative Order No. 195

March 5, 2002

Findings

I, Tony Knowles, Governor of the State of Alaska, make the following findings:

1. Alaska is one of the most ethnically diverse states in the nation. According to the 2000 Census, 15.6 percent of Alaskans identify themselves as Alaska Native; 4.1 percent as Hispanic or Latino; 4 percent as Asian; 3.5 percent as African American; 5.4 percent as “mixed,” and 69.3 percent as white.

2. As Alaskans, we cherish our freedoms and civil rights. The first act of the Territorial Legislature in 1913 gave women the right to vote–seven years before the rest of the nation. Civil rights legislation championed by Elizabeth Peratrovich and the Alaska Native Brotherhood and Sisterhood passed in 1945, two decades before the United States Civil Rights Act.

3. Alaskans have made great strides in overcoming discrimination and injustice, but recent events and findings of the Governor’s Commission on Tolerance make it clear that levels of intolerance and discrimination continue to exist in our state.

4. As a nation and a state dedicated to democracy and civil liberties, we, as individuals, employers, employees, and communities must do all we can to eliminate discrimination and intolerance from our society and celebrate our diversity.

5. While tolerance and respect for all peoples inherently is the responsibility of each individual, those in leadership and institutional roles should lead this effort and teach by example.

6. As an employee, public servant, and institution, the State of Alaska can take steps to improve our workplaces and customer service to reflect the diversity of our state and our respect for all peoples.

Order

I, Tony Knowles, Governor of the State of Alaska, under the authority vested in me by art. III, secs. 1, 16, and 24, of the Alaska Constitution, and in recognition of the findings concerning perceived institutional intolerance in state agencies set out in the final report of the Governor's Commission on Tolerance, renew the state's commitment to diversity in the state workplace free from discrimination and harassment. I declare that it is the continued goal of the executive branch to eliminate discrimination and harassment in the contexts of the state as an employer and service provider; to assure timely response to discrimination and harassment complaints concerning state personnel or services; to prohibit and prevent discriminatory behavior in the state workplace based on race, sex, color, religion, physical or mental disability, sexual orientation, or economic status, to assure that all Alaskans have the opportunity to compete fairly for state jobs; and to assure that state personnel serve all Alaskans with respect. This Order fosters policies contained in AS 18.80.010 – 18.80.300, AS 39.25.010 – 39.25.995, AS 44.19.450 – 44.19.458, in related regulations adopted under those statutes, and in Administrative Orders No. 189, 129, 109, 93, 86, 81, 76, 75, 59, 35, 24, and 18 on this subject.

To promote these policies, I order all of the state agencies of the executive branch to:

1. Implement within the head office of each state agency an early intervention process for discrimination and harassment complaints concerning state personnel. The Department of Administration shall establish this informal harassment and discrimination complaint process to be implemented by all state agencies consistent with collective bargaining agreements and law. The Department of Administration shall publicize the process to all state personnel through training, orientation, and educational materials. The Department of Administration shall facilitate training for supervisors and other state managers on how to recognize complaints of discrimination or harassment and the appropriate initial response to those complaints. The state agency head shall assign an internal complaint officer within the agency head's office to be responsible for the implementation and operation of the internal, informal complaint process within each state agency.

Implement standardized orientation for new hires to the state workforce and provide diversity training for all state personnel. The Department of Administration shall standardize new hire orientation to assure that new state personnel are advised of their rights and responsibilities with respect to human rights, equal employment opportunity, and civil rights law and of their responsibility for contributing to a positive workplace for all state workers. In addition to the currently offered curriculum on "Respectful Workplace," the Department of Administration shall embark on a statewide diversity training initiative for all state employees. This training shall emphasize a broad definition of diversity. The course shall be available through the division of personnel, Department of Administration, as a regularly scheduled class in Anchorage, Fairbanks, Juneau, and other communities as necessary, and on request as a customized course for state staff units throughout Alaska. With the approval of the Department of Administration, each state agency may adapt the training to specific needs and circumstances of that agency and may use current, successful training programs to avoid duplication with the statewide program, with the understanding that all agency training must include all essential elements of the statewide program. To the maximum extent possible, all state employees currently serving in a supervisory position must complete a diversity training course described in this provision within one year after the effective date of this Order and state employees hired for a supervisory position after the effective date of this Order must complete the training course within one year after hire.

2. Increase recruitment outreach, improve training for hiring managers, and broaden the high school and college internship programs to ensure the widest diversity of opportunity for all Alaskans. Each state agency shall engage in active recruitment outreach activities, including job fairs that reach more diverse segments of Alaska's population and cooperative efforts with Alaska Native and other ethnic organizations to provide training on how to apply for state jobs. The Division of Personnel, Department of Administration, shall assure that basic Workplace Alaska training for hiring managers emphasizes the importance of fair treatment for all minorities throughout the state recruitment process. Training for managers shall include techniques for interviewing diverse applicants to assure absence of bias. The division of personnel, Department of Administration, shall work with public school and University of Alaska administrators to develop and advertise a statewide high school and college internship program that is open to all Alaska students.

3. Implement customer service training for all state agency employees who deal with the public on a day-to-day basis and an informal public service complaint process within each state agency. Each state agency shall establish an open and publicized complaint process through which the public can make their concerns known to the state agency regarding perceived discrimination in state service delivery. Each state agency shall report to the Governor annually, no later than December 31 of each year, on the number and type of complaints and their response to each. State employees who interact with the public will attend training offered by the division of personnel, Department of Administration, stressing the importance of treating all citizens with respect regardless of the citizen's background, origin, or life style. The training will develop skills for providing service to a diverse public and will take into consideration the specific needs of each state agency based on the customers it serves.

This Order takes effect immediately.

Dated at Juneau, Alaska this 5th day of March 2002.

By: S/S Tony Knowles

Tony Knowles
Governor

D.5: FAMILY AND MEDICAL LEAVE ACT AND ALASKA FAMILY LEAVE ACT

THE STATE of ALASKA

Department of Administration

DIVISION OF PERSONNEL AND LABOR RELATIONS
PAYROLL SERVICES

801 W. 10th Street, Suite B, Juneau, Alaska 99801 OR 550 W. 7th Avenue, Suite 1660, Anchorage, AK 99501

YOUR RIGHTS AND RESPONSIBILITIES UNDER THE FAMILY AND MEDICAL LEAVE ACT OF 1993 and ALASKA FAMILY LEAVE ACT OF 1992

THE FAMILY AND MEDICAL LEAVE ACT (FMLA) requires covered employers to provide up to 12 weeks in a 12 month period of paid or unpaid, job-protected leave to eligible employees for qualifying family and medical reasons (the State of Alaska is a covered employer). Employees are eligible if they have worked for a covered employer for at least one year, and for 1,250 hours over the previous 12 months, and if there are at least 50 employees within 75 miles (see the policy below concerning the number of employees within a given radius).

THE ALASKA FAMILY LEAVE ACT (AFLA) requires covered public employers to provide up to 18 weeks in a 12 or 24 month period of paid or unpaid, job-protected leave to eligible employees for qualifying family and medical reasons. Employees are eligible if they have been employed by a covered employer for at least 35 hours a week for at least six consecutive months or for at least 17.5 hours a week for at least 12 consecutive months immediately preceding the leave, and if there have been at least 21 employees within 50 road miles during any period of 20 consecutive workweeks in the preceding two calendar years (see the policy below concerning the number of employees within a given radius).

MILITARY FAMILY LEAVE (MFL) is a FMLA amendment, which includes 2008 and 2010 provisions, that has the same eligibility requirements and job protection provided by FMLA. This amendment allows an employee to take up to 12 weeks of leave in a 12 month period for "any qualifying exigency" of a military member who is on covered active duty and is a qualified family member. This amendment also allows an employee to take up to 26 weeks of leave in a 12 month period to care for a covered servicemember (qualified family member) recovering from a serious illness or injury sustained in the line of duty while on active duty. A "covered servicemember" is defined as a member in the Armed Forces (including the National Guard or Reserves) or a veteran who was active in the Armed Forces within the last five years.

POLICY: The State of Alaska has elected to substitute paid leave for unpaid leave for use in a family leave qualifying condition when it is available to the employee through accruals, donations, or other means authorized by collective bargaining agreements or state statutes. The State of Alaska has chosen to have the 12 or 24 month family leave entitlement start when an employee first takes leave for the qualifying condition. The State of Alaska has adopted a more generous policy that allows employees who meet the employment and hours worked thresholds to be eligible for family leave regardless of the number of employees within a given radius.

REASONS FOR TAKING LEAVE: Either or both of these leave entitlements require an absence to be granted for any of the following reasons:

- to care for the employee's child after birth, or placement for adoption or foster care; or
- to care for the employee's spouse, son or daughter, or parent (in-law, step, or who stood in loco parentis) who has a serious health condition; or º for a serious health condition that requires the employee to be absent from the employee's job; or
- for an employee whose family member is a military member who has a qualifying exigency or a serious illness or injury.

ADVANCE NOTICE AND MEDICAL CERTIFICATION: The employee may be required to provide advance leave notice and medical certification. Taking of leave may be denied if requirements are not met.

- The employee ordinarily must provide 30 days advance notice when the leave is foreseeable (notification can be provided by a family member or spokesperson when necessary).
- When leave is not foreseeable, the employee must provide notice as soon as reasonably possible.
- An employer may require medical certification to support a request for leave because of a serious health condition, and may require second or third opinions (at the employer's expense), periodic updates, and/or a fitness for duty report to return to work.

JOB BENEFITS AND PROTECTION:

- For the duration of FMLA leave, the employer must maintain the employee's health coverage under any group plan. There is no similar requirement under AFLA.
- Upon return from FMLA or AFLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.
- For the use of family leave, an employee cannot realize the loss of any employment benefit that accrued prior to the start of an employee's leave.

EMPLOYEE RESPONSIBILITIES:

- When medical certification is required, the employee must return the completed form to Payroll Services within 15 days of receiving notice from employer. If the certification is not received, the employee may be denied coverage under the family leave acts.
- The employee is responsible for their portion of premium payments for health insurance and other optional benefits. Premiums are taken as payroll deductions but if funds become insufficient the employee will need to make arrangements to pay premiums.

Note: Certain optional benefits will stop if there are insufficient funds for payroll deductions. Contact Payroll Services for more information.

- When an employee takes leave, associated with the covered condition(s), notification must be given to the supervisor and "family leave" must be noted on the leave slip.
- The employee must follow the agency's leave notification requirements including established call-in procedures.
- All leave designated as family leave will count against the employee's family leave entitlements.
- When a fitness for duty report is required, it must be provided as requested prior to the employee returning to work.
- With rare exception, an employee who does not return to work for at least 30 days will be required to reimburse the State of Alaska's portion of the health insurance premiums for the period of time the employee was on family leave.

UNLAWFUL ACTS BY EMPLOYERS: The Family Leave Acts makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under the Acts.
- discharge or discriminate against any person for opposing any practice made unlawful by the Acts or for involvement in any proceeding under or relating to the Acts.

ENFORCEMENT:

- Employees covered by a collective bargaining agreement may follow the complaint procedure set out in their respective agreements.
- The U.S. Department of Labor is authorized to investigate and resolve complaints of violations of FMLA. The Alaska Department of Labor is authorized to investigate and resolve complaints of violations of AFLA.
- An eligible employee may bring civil action against an employer for violations of either family leave Act. The Acts do not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FOR ADDITIONAL INFORMATION: Contact your agency Human Resource Office, Payroll Services or the nearest office of the Wage and Hour Division, listed in most telephone directories under U.S. Government, Department of Labor.

Links to Additional Information:

- Absence Management Contact - soa.absence.management@alaska.gov
- Family Leave Information for State of Alaska Employees – http://doa.alaska.gov/dop/AbsenceManagement/familyLeave/

D.6: EMAIL RETENTION POLICY

THE STATE of ALASKA
GOVERNOR SEAN PARNELL

Department of Administration

10th Fl. State Office Building
PO Box 110200
Juneau, AK 99811-0200
Main: 907.465.2200
Fax: 907.465.2135
www.doa.alaska.gov

Focus: State of Alaska Executive Branch Employees	State of Alaska Department of Administration Office of the Commissioner Chief Information Officer
Topic: Email Retention Policy	**Effective Date:** January 22, 2014
Authority: AS 44.21	

POLICY

Emails, including attachments, are subject to the same records retention requirements that apply to any other electronic or non-electronic records. Like paper records, if an email is subject to multiple records retention requirements, it must be archived for the longest applicable period. The applicable records retention requirements are the State of Alaska executive branch records retention schedules imposed pursuant to AS 40.21 and any implementing regulations, and the requirements imposed pursuant to a notification of a legal hold in connection with judicial or administrative litigation, or imposed because of a request under the Alaska Public Records Act, AS 40.25.100 – 40.25.220.

Accordingly, all executive branch employees are responsible for archiving into the designated executive branch email archiving system their sent and received emails (including any attachments) in accordance with the policy identified here.[1]

ALL EXECUTIVE BRANCH EMPLOYEES

When executive branch employees conduct state business through email they must, whenever feasible, use the state's electronic mail system. In some circumstances, employees may need to use, or may inadvertently use, private email accounts to conduct state business. In those instances, employees must send copies of those messages to their state email accounts.

---

[1] **Guidelines for determining what types of emails must be archived** can be found in the document entitled "Email: FAQ and Rules," linked on the Division of Archives home page and found at http://www.archives.state.ak.us/pdfs/records_management/email.pdf

Under no circumstance may State of Alaska personally identifiable information (PII) be sent to or from an executive branch employee's private email account. PII is defined in AS 45.48.590(4).[2]

Employees are required to follow the executive branch email policy. Failure to do so may result in discipline up to and including dismissal.

EXECUTIVE EMPLOYEES

Any email sent or received by an executive employee[3] may be deleted within a year unless the email is subject to a records retention requirement, public records request or legal hold. If within that year a sent or received email becomes subject to a records retention requirement, public records request or legal hold then it cannot be deleted unless the requirement, request, or hold is lifted before the end of the period. All email not deleted within a year will be automatically archived. The automatic archiving of an email does not mean the email qualifies as a "public record" under the laws of Alaska. All such emails remain subject to privileges and exceptions as provided by the laws of Alaska.

NON-EXECUTIVE EMPLOYEES

If a records retention requirement applies to a sent or received email of a non-executive employee, then within a year of the email being sent or

---

[2] **Definition of Personally Identifiable Information:**
AS 45.48.590(4): "personal information' means (A) an individual's passport number, driver's license number, state identification number, bank account number, credit card number, debit card number, other payment card number, financial account information, or information from a financial application; or (B) a combination of an individual's (i) name; and (ii) medical information, insurance policy number, employment information, or employment history . . . . ."

[3] **Definition of Executive Employee:**
The following persons are executive employees: (1) the Executive Branch employees defined as "public officials" in AS 39.50.200(a)(9); and (2) the persons employed in the following job classifications:

Assistant Commissioner
Executive Director
Assistant Director
Labor Relations Manager
State Accountant
State Leasing and Facilities Manager
Department of Public Safety Liaison
Chief, Worker's Compensation Adjudication
Veterans Affairs Administrator
Administrator, Violent Crimes Compensation Board
Administrator, Highway Safety Planning Agency
Marine Highway Transportation Services Manager

Positions placed in the partially exempt service under AS 39.25.130(a)(1) or (2) will be added to this list.

received, it must be filed in the state's designated email archiving system folders in accordance with the records retention requirement. If an email is subject to multiple records retention requirements, it must be archived for the longest applicable period. Any email not filed in a longer-term archiving system folder within a year of it being sent or received will be automatically deleted.

EDUCATION

All employees with an email account must be educated on the executive branch email policy. Any new employee with an assigned email account must be educated on the policy before the account is activated. The education portion of this policy does not take effect until the state implements the email archiving system.

1/23/14

Curtis Thayer, Commissioner Date
Department of Administration
Chief Information Officer

D.7: HOW TO NAME ELECTRONIC FILES AND FOLDERS

Records & Information Management Service (RIMS)

How To Name Electronic Files and Folders

Authority: AS 40.21 (Public Records Act) and 4 AAC 59 (Archives & Records)

Naming Electronic Files and Folders

The amount of records being created, especially electronic records, is increasing at a rapid rate. As a result, to quickly find information, it is increasingly important to name files and folders in a consistent way.

Rules for Naming Electronic Files and Folders

When saving a document e.g. a word or excel document, use these rules when naming them:

Rule 1: Avoid using special characters such as \ / ; * ? " < > ` { } [ ] & $ % , .

Rule 2: Do not use spaces between words and elements – use capital letters for each new word and nothing between the elements of the file name.

Rule 3: Be brief – use no more than about 30 characters to name your file/folder.

Rule 4: Include dates; if relevant (see the *Date* element below for format).

Rule 5: Include a version; if relevant (see the *Version* element below for details).

Rule 6: Be consistent in the words you use to name files and folders.

Elements to Use When Naming Files

Element	Remarks	Example
Title*	This is free text.	RIMSManual, LeaseAdministration
Version**	This is a two-digit number showing the version of the document.	v01, v02, vFinal etc...
Date**	Use the standard MMDDYYYY format.	03152010
Extension*	This will be automatically generated by the software being used e.g. Microsoft Word, Abode Acrobat Reader etc...	.pdf, .doc

* Mandatory
** At least one of these elements should be used

Who Do I Contact For More Information?

You can contact Gordon E. Brown, State Records Manager (gordon.brown@alaska.gov).

D.8: RECORD RETENTION AND DISPOSITION SCHEDULE

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

STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 524 Schedule No: 05-524.1

DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT

DIVISION OF LIBRARIES, ARCHIVES & MUSEUMS

524 - ALASKA STATE ARCHIVES/RECORDS & INFORMATION MANAGEMENT SERVICE (ASA/RIMS)

The agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention and Disposition Schedule (GARRDS), unless those records have been listed on this schedule.
Unless otherwise noted all records series are nonconfidential. This records schedule supersedes #54806.

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

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

<table>
<tr><td colspan="4">Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.</td></tr>
<tr><td colspan="2">Division Director</td><td>Signature of Division Director
Original signature held on file.</td><td>Date
11/3/2011</td></tr>
<tr><td>Attorney General/Designee
Original signature held on file.</td><td>Date
10/19/2011</td><td>Commissioner of Administration/Designee
Original signature held on file.</td><td>Date
11/1/2011</td></tr>
<tr><td>State Archivist
Original signature held on file.</td><td>Date
11/3/2011</td><td>Records Analyst
Original signature held on file.</td><td>Date
11/3/2011</td></tr>
</table>

RRDS Continuation	Agency I.D: 524	Schedule No: 05-524.1		Page 2 of 4
Item No - Record Series Title & Description	**Format**	**Total Retention**	**Bus. Ess.**	**Remarks**
001 - Records Management Reference Requests This series consists of microfilm and microfiche requests from state agency personnel. These microforms are stored at the Short Street facility. Arranged by chronologically.	H & E	C+3		
002 - Records Retention Schedules Records retention schedules are prepared by records analysts and document the administrative, legal, fiscal and historical values of records administered by state agencies. The schedule stipulates how long records are retained in the office, how long a period, if any, in which they are stored offsite, and their ultimate disposition (destruction or transfer to the State Archives). Arranged by department and then by schedule number.	H & E	PO		Current records retention schedules in PDF format are posted on the Records & Information Management Service homepage. Current records schedules in PDF format are posted on the Records Management homepage.
003 - Retention Schedule Development Files Consists of a Records Retention Schedule (item #002) working file. Includes backup documents that justify certain retention periods, records audit forms, contact notes, memoranda, emails, etc.	H & E	C		C = Until current RRS is superseded. Data relating to progress of updating RRS is located in the "RIMS RRS Information" Excel spreadsheet.
004 - Records Dispositions Official Record Copy of Records Disposition Authorizations and Records Destruction Notices documenting disposition of State records. Arranged numerically.	H & E	PO		
005 - Records Transfer Lists Records Transfer Lists document the transfer of records (boxes, master microfilm, or other media) to the records centers or Short Street. Transfer lists for boxes with a retention of five years or longer are output to paper. Hard copies are arranged by agency identification number; electronic versions are administered by year then by RTL number on the "O" drive of the server.	H & E	PO		Relevant information on the transfer list is input into the Records & Information Management System (item #006).

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

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

RRDS Continuation	Agency I.D: 524	Schedule No: 05-524.1		Page 3 of 4
Item No - Record Series Title & Description	**Format**	**Total Retention**	**Bus. Ess.**	**Remarks**
006 - Records & Information Management System Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records).	D	PO	Y	Refer to 4 AAC 59.005 (Retention & Preservation of Electronic Records).
007 - Security Log Non-staff entry to stack area. Current copy located at upstairs reference desk. Arranged chronologically.	H	1		
008 - Records Officer Appointments Records fficer appointment memoranda under AS 40.21.060 (9). Arranged by department number.	H & E	C + 3		C = Until appointment is superseded.
009 - Records Center Holdings & Statistical Operational Reports Arranged chronologically.	H	C		C = Until administrative need is met. Official Record Copy held by the Division of General Services.
010 - Archives Finding Aids & Registers These research aids facilitate State Archives' research and consist of hardcopy finding aids, accession register, Excel, Minisis, and MS Access datafiles. Hardcopy is arranged by record group number and then by series number.	H, E & D	PA	Y	Obsolete, superseded or redundant information may be disposed after administrative need is met. Finding aids include agency histories with supporting information; de-accessioning notes; functional series descriptions, including scope and content notes/supporting data; container lists that document file unit contents; and, shelf locations.

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

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

RRDS Continuation	Agency I.D: 524	Schedule No: 05-524.1		Page 4 of 4
Item No - Record Series Title & Description	**Format**	**Total Retention**	**Bus. Ess.**	**Remarks**
011 - Archives Series File This file documents the care and management of records that have been transferred to the legal and physical custody of the State Archives. Includes disposition paperwork, support materials generated during the archival arrangement and description process, all extant processing worksheets, container lists, shelf lists, and series inventory updates. Arranged by record group number and then by series number.	H & E	PO		
012 - Archives Service Worksheet This records series is used for statistical purposes and documents pertinent patron (or client) data. Data includes research topic, requested documents, accounting, and patron information. Arranged sequentially.	H & E	CY+5		Confidential under AS 40.25.140.
013 - Registration Forms Signed registration forms that certify the researcher will comply with Archives' policies and procedures. Arranged by registration form number.	H	CY+1		Names, addresses and all other personally identifiable information is confidential under AS 40.25.140. Patrons must register annually. Patrons must register annually.
014 - Request for Copy Service Form serves as a receipt for copy service provided to patrons. Arranged sequentially.	H	CFY+3		

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

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

D.9: RETENTION OF PUBLIC RECORDS

STATE OF ALASKA
GENERAL ADMINISTRATIVE
RECORDS RETENTION SCHEDULE

Schedule #100.3

January 2009

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

http://www.archives.state.ak.us/records_management/records_management.html

AUTHORIZATION & APPROVAL

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

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

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

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

Victor Leamer, Division of General Services
Frank Hurt, Division of Personnel & Labor Relations
Kim Garrett, Division of Personnel & Labor Relations
Margie Vandor, Attorney General's Office
Craig Tillery, Attorney General's Office
Sylvia Watson, Office of the Governor
Deborah Behr, Attorney General's Office
Kim Garnero, Division of Finance
Judy Bockmon, Attorney General's Office
Gail Voigtlander, Attorney General's Office

AUTHORIZATION & APPROVAL			
Under the authority of AS 40.21 and 4 AAC 59 the records listed on *General Administrative Records Retention Schedule #100.3* are approved for retention and disposition as indicated.			
/for/ Commissioner of Administration *Kim Garnero /s/*	**Date** **1/8/09**	**/for/ Attorney General** *Craig Tillery /s/*	**Date** **12/29/08**
State Archivist *Glenn Cook /s/*	**Date** **12/12/08**	**State Records Manager** *D. Dawson, CRM /s/*	**Date** **12/12/08**

GENERAL INFORMATION & INSTRUCTIONS

Benefits of Utilizing the General Records Schedule

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

Disposition of State Records—General Rule

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

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

GENERAL INFORMATION & INSTRUCTIONS

The General Schedule & Electronic Records

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

Definition of Record

AS 40.21.150 (6) defines "record" to mean “any document, paper, book, letter, drawing, map, plat, photo, photographic file, motion picture film, microfilm, microphotograph, exhibit, magnetic or paper tape, punched card, electronic record, or other document of any other material, regardless of physical form or characteristic, developed or received under law or in connection with the transaction of official business and preserved or appropriate for preservation by an agency or a political subdivision, as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them.”

Definition of Electronic Record

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

“Record” Electronic-Mail [E-mail]

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

Non-Record E-mail

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

GENERAL INFORMATION & INSTRUCTIONS

Other Relevant Statutory References

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

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

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

AS 40.25.220 (3) "public records" means books, papers, files, accounts, writings, including drafts and memorializations of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a private contractor for a public agency, and that are preserved for their informational value or as evidence of the organization or operation of the public agency; "public records" does not include proprietary software programs.

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

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

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

Abbreviations Used on this Records Schedule

AAC: Alaska Administrative Code
AKSAS: Alaska State Accounting System
APSIN: Alaska Public Safety Information Network
AS: Alaska Statutes
ADA: Americans with Disabilities Act
AFLA: Alaska Family Leave Act
CD: Compact Disk
CFR: Code of Federal Regulations
DGS: Division of General Services
DAS: Division of Administrative Services
DOF: Division of Finance
DOPLR: Division of Personnel & Labor Relations
EEO: Equal Employment Opportunity
ESD: Employment Security Division
FMLA: Family & Medical Leave Act
IT: Information Technology
MOA: Memoranda of Agreement
NCIC: National Crime Information Center
OMB: Office of Management & Budget
OSHA: Occupational Safety & Health Admin.
RSA: Reimbursable Services Agreement
SEF: Statewide Equipment Fleet
URL: Uniform Resource Locator
VPN: Virtual Private Network

TABLE OF CONTENTS

BUDGET PREPARATION RECORDS . . . . Page 1

Item No.

1	Agency Budget Request (Final Submission)
2	Agency Budget Workpapers (Original Preparation File)
3	Program Unit Budget Request Files (Working File)

GENERAL ACCOUNTING RECORDS . . . . Pages 2 - 6

Item No.

20	Disbursement Accounting (AKSAS Original Document File)
21	Payroll Accounting (Automated Payroll Reports)
22	Payroll Accounting (Pay/Leave Records)
23	Reimbursable Services Agreements
24	Travel Accounting
25	Vendor Files
26	Adjusting Entries
27	Accounting Reports
28	Revenue Accounting
29	Banking Records
30	Reconciliation Workpapers
31	Redeemed Warrants
32	Forgery & Fraud Investigation Case Files

GRANT MANAGEMENT RECORDS . . . . Pages 7 - 8

Item No.

40	Grant Administration Files (State Issued)
41	Grant Administration Files (State Received)
42	Grant Solicitation Files
43	Applications & Responses (Not Awarded)
44	Evaluations & Recommendations of Responses

PROCUREMENT, LEASING & PROPERTY RECORDS . . . . Pages 9 - 11

Item No.

50	Procurement Files
51	Lease Administration Files
52	State Equipment Records
53	Automotive Management (Major)
54	Automotive Management (Minor)
55	Property Control Records
56	Property (Land & Buildings)

TABLE OF CONTENTS

GENERAL ADMINISTRATIVE RECORDS . . . . Pages 12 - 21

Item No.

60	Administrative Systems Studies & Operational Plans
61	Program History Files
62	General Correspondence Files & Central Files
63	Legal Opinions
64	Legislation & Regulation Working Files
65	Minutes & Meeting Files—Major Policy Making
66	Minutes & Meeting Files—Non-Policy Making
67	Program Policies & Procedures--Major
68	Program Policies & Procedures—Routine
69	Advertisements: Legal
70	Public Records Log & Requests for Information
71	Reading Files
72	Records & Information Management Files
73	Reports—Staff
74	Reports—Annual
75	Reports—Audit
76	Transitory & Miscellaneous Administrative Information
77	Technical Reference Files
78	Special Projects
79	Functional Forms Files
80	Numerical Forms Files
81	Forms Management Reports
82	Emergency Response, Disaster Prevention & Recovery Plans
83	Disaster Preparedness Drills
84	Drafts & Working Papers
85	Incident & Unusual Occurrence Reports
86	Inspection Records
87	Key & Badge Issuance Records
88	Supply Records
89	Security Recordings
90	Visitor Logs
91	Complaints: Citizen/Consumer/Employee
92	Training Materials
93	Mail & Telephone Records
94	Postage Records
95	Parking Decal/Permit Records
96	Memoranda of Understanding/Agreement
97	Lost & Found Records
98	Web Site Content, Management & Operations Records

TABLE OF CONTENTS

PERSONNEL ADMINISTRATION RECORDS . . . . Pages 24 - 34

Item No.

100	Individual Personnel Files—Classified, Partially Exempt & Non-Permanent
101	Individual Personnel Files--Exempt
102	Recruitment, Selection & Appointment Records
103	Unsolicited Employment Inquiries
104	Position Control Number Files
105	Employee Training Records—Hazardous/Toxic Substances & Blood-Borne Pathogens
106	Hazard Communication & Material Safety Data Sheets
107	Employee Medical Records
107a	Employee Medical Records --Report of Occupational Injury or Illness
107b	Employee Medical Records --ADA Accommodation Records
107c	Employee Medical Records --FMLA/AFLA Files
107d	Employee Medical Records --Drug Test Records
108	EEO & Affirmative Action Complaints
109	Grievance Case Files
110	Background/Security Checks
111	Ethics Disclosure Forms
112	Ethics Files
113	Ethics Reports

INFORMATION TECHNOLOGY RECORDS . . . . Pages 35 - 38

Item No.

120	Feasibility Study Reports
121	Systems Analysis & Design Documentation
122	Testing Data
123	Program Source Code & Programmer Documentation
124	Program (User) Documentation & Training Materials
125	IT General Documentation File
126	Post Implementation Evaluation Review & Reports
127	IT Asset Audits (Inventories)
128	IT Access Authorizations
129	Change, Configuration & Release Management Records

ALPHABETIC INDEX . . . . Pages 39 – 43

BUDGET PREPARATION RECORDS

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

GENERAL ACCOUNTING RECORDS

Item No.	Records Series & Description	Retention & Disposition	Remarks
20	**Disbursement Accounting (AKSAS Original Document File):** These records are payment documents prepared by agencies and include payments related to accounts payable, petty cash, and vendors.	**Record Copy:** retain current fiscal year plus 3 years.	**Agency** administers **Record Copy**. **AKSAS:** Alaska State Accounting System
21	**PAYROLL ACCOUNTING Automated Payroll Reports:** These records document payroll related transactions input to the payroll system. Records set includes, but is not limited to: 1. Cash Value of Leave 2. Leave Activity Report	**Record Copy: DOF retains. Retentions vary.** **Agency Copy: Retain current fiscal year plus 3 years.**	The Division of Finance (DOF) administers **Record Copy** of Automated Payroll Reports under *Records Schedule #29000*. DOF retains Employee Payroll Files for 75 years.
22	**PAYROLL ACCOUNTING Pay/Leave Records (Originals):** These records document payroll related transactions input to the payroll system. Records set includes, but is not limited to: 1. Timesheets 2. Leave Request/Report (Form 02-035) 3. Adjustments to timesheets 4. Retroactive pay worksheets 5. Taxable moving, mileage, and per diem payment documentation.	**Record Copy: DOPLR retains current calendar year plus 3 years.** **Agency Copy: Retain 1 year.**	The Division of Personnel & Labor Relations (DOPLR) administers **Record Copy** of **Pay/Leave Records**. Retention Authority: AS 23.05.080 (Employer's Records); AS 23.10.100 (Employer to Keep Records); 2 AAC 08.030 (Leave Accounting).

GENERAL ACCOUNTING RECORDS

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

GENERAL ACCOUNTING RECORDS

Item No.	Records Series & Description	Retention & Disposition	Remarks
26	**Adjusting Entries (AJE's)** **AKSAS Document File:** Documents include the Financial Transaction Reports and backup for adjusting journal entries and journal entry logs.	**Record Copy:** **DAS retains current fiscal year plus 3 years.** **Agency Copy:** **Retain current fiscal year plus 3 years.**	The Division of Administrative Services (DAS) within each Department administers the **Record Copy**.
27	**Accounting Reports:** This records series consists of routine balancing and status reports output from AKSAS reflecting expenditures and receipts of an agency and includes, but is not limited to, these informational reports: 1. Financial Transaction Reports (FTR) 2. Documents Outstanding File (DOF) 3. Audit Trail 4. Cash Availability 5. Field Warrant	**Record Copy:** **DAS retains current fiscal year plus 3 years.** **Agency Copy:** **Retain current fiscal year plus 3 years.**	

GENERAL ACCOUNTING RECORDS

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

GENERAL ACCOUNTING RECORDS

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

GRANT MANAGEMENT RECORDS

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

GRANT MANAGEMENT RECORDS

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

PROCUREMENT, LEASING & PROPERTY RECORDS

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

PROCUREMENT, LEASING & PROPERTY RECORDS

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

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

PROCUREMENT, LEASING & PROPERTY RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

GENERAL OFFICE ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

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

PERSONNEL ADMINISTRATION RECORDS

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

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

PERSONNEL ADMINISTRATION RECORDS

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

INFORMATION TECHNOLOGY RECORDS

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

INFORMATION TECHNOLOGY RECORDS

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

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

INFORMATION TECHNOLOGY RECORDS

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

ALPHABETIC INDEX

Item No.	Records Series Title	Page No.
	A	
128	Access Authorizations, IT	35
27	Accounting Reports	4
26	Adjusting Journal Entries	4
60	Administrative Systems Studies	12
69	Advertisements: Legal	15
108	Affirmative Action Complaints	32
1	Agency Budget Request (Final Submission)	1
2	Agency Budget Workpapers (Original)	1
107c	Alaska Family Leave Act	30
74	Annual Reports	16
102	Appointment Records	25
53-54	Automotive Management	10-11
	B	
87	Badge Issuance Records	20
110	Background Checks	33
29	Banking Records	5
	C	
62	Central Files	13
129	Change Management Records	38
91	Complaints: Citizen/Consumer/Employee	21
128	Computer Change Requests	37
100	Confidentiality Statements	24
100, 111	Conflicts of Interest	24, 33
62	Correspondence, General	13
	D	
25	Delivery Orders & Receipts	3
83	Disaster Preparedness Drills	19
82	Disaster Preparedness Plans	19
20	Disbursement Accounting	2
100, 115	Disclosure Statements	24, 31
84	Drafts & Working Papers	19
113	Drug Test Records	30

ALPHABETIC INDEX

Item No.	Records Series Title	Page No.
	E	
108	Equal Employment Opportunity Complaints	32
52	Equipment Records	10
82	Emergency Response Plans	19
100-101	Employee Records	24-25
103	Employment Inquiries, Unsolicited	26
111-113	Ethics Records	33-34
	F	
107c	Family & Medical Leave Act Records	30
120	Feasibility Study Reports	35
128	Firewall Access Requests	37
32	Forgery & Fraud Investigation Case Files	6
79	Forms, Functional Files	18
80	Forms, Numerical Files	18
	G	
40	Grant Administration Files (State Issued)	7
41	Grant Administration Files (State Received)	7
43	Grant Applications & Responses (Not Awarded)	8
44	Grant Evaluations & Recommendations of Responses	8
42	Grant Solicitation Files	7
109	Grievance Case Files	32
	H	
106	Hazard Communication	27
	I	
85	Incident Reports, General Office	20
107a	Incident Reports (Accident/Illness)	29
107	Incident Reports (Personnel Medical)	28
127	Information Technology Asset Audits	35
125	Information Technology, General	36
85	Inspection Records	20

ALPHABETIC INDEX

Item No.	Records Series Title	Page No
	K	
87	Key Issuance Records	20
	L	
51	Lease Administration Files	9
63	Legal Opinions	13
64	Legislation Working Files	13
96	Letter of Intent	23
90	Logs, Visitor	21
97	Lost & Found Records	23
	M	
93	Mail Records	22
106	Material Safety Data Sheets	27
107	Medical Records, Employee	28
96	Memoranda of Understanding/Agreement	23
65	Minutes & Meeting Files, Major Policy Making	14
66	Minutes & Meeting Files, Non-Policy Making	14
	N	
100	Nepotism Waivers	24
	O	
107a	Occupational Injury or Illness Reports	29
60	Operational Plans	12

ALPHABETIC INDEX

Item No.	Records Series Title	Page No.
	P	
95	Parking Decal/Permit Records	22
128	Passwords, User & Network Admin.	37
21	Payroll Accounting	2
128	Personal Identity Management	37
100	Personnel Files, Individual—Classified, Partially Exempt & Non-Permanent	24
101	Personnel Files, Individual—Exempt	25
60	Plans, Operations	12
104	Position Control Number Files	26
126	Post Implementation Evaluations	37
94	Postage Records	22
50	Procurement Files	9
61	Program History Files	12
67	Program Policies & Procedures, Major	14
68	Program Policies & Procedures, Routine	14
123	Program Source Code	36
3	Program Unit Budget Request Files	1
124	Program (User) Documentation	36
123	Programmer Documentation	36
55	Property Control Records	11
78	Project Management Records	18
56	Property (Land & Buildings)	11
70	Public Records Log	15
70	Public Information Requests	15
	R	
71	Reading Files	15
30	Reconciliation Workpapers	5
72	Records & Information Management Files	16
102	Recruitment Records	25
31	Redeemed Warrants	6
64	Regulations	13
23	Reimbursable Service Requests	3
74	Reports, Annual	16
75	Reports, Audit	17
73	Reports, Staff	16
120	Reports, Feasibility Study	33
81	Reports, Forms Management	18
85	Reports, Incident	20
70	Requests for Information	15
28	Revenue Accounting	5

ALPHABETIC INDEX

Item No.	Records Series Title	Page No
	S	
102	Selection Records	25
110	Security Checks	33
89	Security Recordings	21
129	Service Level Agreements	38
78	Special Projects	18
61	Strategic Plans	12
88	Supply Records	20
121	Systems Analysis & Design	35
	T	
77	Technical Reference Files	17
93	Telephone Records	22
122	Testing Data	35
92	Training Material Records	22
105	Training Records, Employee—Hazardous Substances & Blood-Borne Pathogens	27
76	Transitory & Miscellaneous Administrative Information	17
24	Travel Accounting	3
	U	
85	Unusual Occurrence Reports	20
	V	
25	Vendor Files	3
89	Video Tapes, Surveillance	21
128	Virtual Private Network (VPN) Requests	37
90	Visitor Logs	21
	W	
31	Warrants, Redeemed	6
128	Web Filtering Waiver Form	37

D.10: RETIREE RETURN TO WORK POLICY

THE STATE
of ALASKA

GOVERNOR BILL WALKER

Department of Administration

DIVISION OF RETIREMENT AND BENEFITS
6th Floor State Office Building
333 Willoughby Avenue
P.O. Box 110203
Juneau, AK 99811-0203
FAX: (907) 465-3086
Phone: (907) 465-4460
Toll-Free: (800) 821-2251

Retiree Return to Work Policy

Effective Date: October 1, 2017
Last Revised: August 7, 2017
External Requirement for Review: Department of Law
IRS Compliance Reporting: Department of Law

Policy Owner: Division of Retirement and Benefits
Policy Contact: Kathy Lea, Chief Pension Officer
Systems Affected: All Pension and Annuity Plans Administered by the Division

1. Background

The PERS and TRS plans require cessation of pension benefits during re-employment in a position covered by the same retirement system (AS 39.35.152; AS 14.25.043). Now, federal law similarly restricts re-employment into positions which are not covered by the retirement systems, such as temporary, nonpermanent positions or independent contractors if the positions are with the same employer from which the person retired. This policy is being adopted to protect the retirement systems and members by placing restrictions of retiree re-employment with the same employer into non-covered positions.

Federal Treasury Regulations require employers and employees to be able to prove the returning retiree actually terminated employment by showing there was no pre-arrangement to return to work prior to the employee's retirement and by showing a period of separation from employment.

In 2016, the IRS and Treasury Department released proposed regulations for different requirements for governmental plans which allow for in-service distributions before retirement and governmental plans which do not. Although the proposed regulations have not been finalized, governmental plan sponsors may rely on them until the issuance of final regulations.

2. Reason for Policy

Failure to follow the requirements under Code Section 401(a)(36) and the proposed normal retirement age regulations regarding in-service distributions raises qualification issues for a plan and potential early distribution tax penalties for the individual.

Importantly for purposes of this Policy, the pension and annuity plans administered by this Division (PERS, TRS and JRS) are qualified, governmental plans. Maintaining the qualified status of each plan is the top priority of the Division and it is of paramount importance to each plan and all their respective members, retirees and beneficiaries. Accordingly, the Division must take all steps necessary to preserve the qualified status of the plans.

The PERS, TRS and JRS do not allow in-service distributions of tax qualified funds (AS 14.25.220(37) (TRS), AS 22.25.010 (JRS) and AS 39.35.370 (PERS)). The Division has conferred with its outside tax counsel, Ice Miller LLP, and confirmed that in order to avoid potential early distribution tax penalties for our members and to avoid a risk of disqualification of our plans, retirees must clearly demonstrate a valid severance from employment with their participating employer so that the retiree does not receive an in-service distribution in violation of the terms of the plans (the IRS refers to the valid severance from employment with the employer as a "bona fide separation from service"). To have a bona fide separation from service, a member cannot retire from service with his/her employer, but also have a prearranged agreement to be rehired by the same employer.

For the past year, the Division has required the member's attestation that there is no pre-arrangement with the employer for the member to return to work after retirement on the retirement application form. The Division does not have to collect evidence to prove compliance or noncompliance, but it does need to have a policy regarding reemployment in compliance with federal law requirements for a qualified, governmental pension plan. Based upon experiences over this time, the Division has determined the plans' current requirement for only a 60-day break in employment is insufficient to ensure retirees only are receiving their retirement benefits after a bona fide separation from service.

Therefore, the purpose of this policy is to establish a required 6-month break in service before a member can return to employment with the same employer. In consultation with its outside counsel, the Division believes that a 6-month break in service requirement for reemployment of a retiree who is receiving retirement benefits from the plans is sufficient to establish that the retiree has had a bona fide separation from service. Once a policy is adopted, the division will work with the Dept. of Law to draft regulations.

3. Scope

The Division has implemented the certification of no pre-arrangement for employment by adding a check box to the retirement applications for retirees to indicate whether there is a pre-arrangement for reemployment with the same employer.

<u>Indication of Pre-arrangement on Application for Retirement</u>
Our proposed action with retirees who are under age 62, who indicate there is a pre-arrangement, will be to contact them and suspend their retirement until the Division is assured both the retiree and his/her employer will actually have a separation.

D.11: SEAT BELT POLICY (AO 85)

As State of Alaska employees, the following Administrative Order applies to all Authority employees:

Administrative Order No. 85

October 14, 1985

WHEREAS, this State Administrative Order requires the driver and passenger in motor vehicles used in the conduct of State business, including privately owned vehicles used in the conduct of State business, to wear safety belts; and

WHEREAS, this State Administrative Order also requires persons transporting young children in motor vehicles in the conduct of State business to utilize approved child safety devices as required by AS 28.05.095; and

WHEREAS, the term "motor vehicle" as used in this order is defined as a motor vehicle operated or driven on a highway or vehicular way and equipped with safety belts (i.e. typical street automobiles and trucks); and

WHEREAS, surveys indicate that less than one-third of motor vehicle occupants in Alaska routinely wear safety belts; and

WHEREAS, a major cause of injury and death from motor vehicle accidents is the failure of drivers and passengers to wear safety belts; and

WHEREAS, during the past two years approximately 57 State employees were injured while driving on State business; and

WHEREAS, lost employee time and workers' compensation payments represent a significant loss to the State of Alaska; and

WHEREAS, safety belts have been proven effective in reducing traffic deaths and the severity of traffic injuries, when used;

NOW, THEREFORE, I Bill Sheffield, Governor of the State of Alaska, by virtue of the power and authority vested in me by the Constitution and Statutes of the State of Alaska, do hereby issue this Administrative Order to become effective immediately:

1. All State agencies, departments, boards, commissions, and offices, subject to the mandatory authority of the Governor, shall develop and implement a published safety belt use policy for persons in motor vehicles while on State business.
2. Every safety belt use policy shall include a plan for achieving compliance which shall contain a requirement that employees attest to having read and understood the provisions of the Administrative Order.
3. The State Highway Safety Planning Agency shall arrange to distribute when needed to every State department, office, or authority, safety belt information materials.
4. All State entities exempt from the mandatory authority of the Governor are hereby

requested to implement voluntarily the provisions of this Order.

5. Safety belt information materials shall be made available at all new employee orientation meetings and at such other times as are appropriate for carrying out the safety belt use policy.
6. All State employees are requested to voluntarily wear safety belts in motor vehicles when they are not traveling on State business, and encouraged to obey the requirements of the child safety device law under AS 28.05.095.

Dated at Juneau, Alaska, this 14 day of October, 1985.

S/S Bill Sheffield
Bill Sheffield
Governor of the State of Alaska

Please refer to https://gov.alaska.gov/admin-orders/administrative-order-no-85/ for the entire Administrative Order.

D.12: SEXUAL HARRASSMENT AND OTHER DISCRIMINATORY HARASSMENT

Administrative Order No. 81

October 25, 1984

In furtherance of the State of Alaska's commitment to human rights and equal employment opportunity, I, Bill Sheffield, Governor of the State of Alaska, under the authority granted by Article III of the Alaska Constitution and by Alaska Statute 44.17.060, hereby order the following as the policy and guidelines for the Executive Branch of Alaska State Government on discriminatory harassment and more specifically on sexual harassment. This Order amends and supplements Administrative Order No.75, the general policy on equal employment opportunity.

1. STATEMENT OF POLICY

1.1 The Executive Branch of the State of Alaska, as an employer, will not tolerate, condone or permit any kind of harassment of employees or applicants for employment on the basis of their sex, color, race, religion, national origin, age, handicap, marital status, changes in marital status, pregnancy or parenthood. Such harassment is in direct violation of Federal and State law and is inconsistent with the State's policy on equal employment opportunity.

1.2 Persons who knowingly engage in or instigate such harassment will be subject to disciplinary actions which may lead to suspension and discharge. Additionally, managers and supervisors who knowingly permit harassment activity to occur without further action will be subject to disciplinary action. Where such prohibited activity is perpetrated by a non-employee, the State will take available and appropriate disciplinary action which may include, by way of example, loss of contract.

2. GENERAL PROVISIONS

2.1 Scope: The policy and guidelines herein apply to all agencies, employees and applicants for employment within the Executive Branch of Alaska State Government.

2.2 Frivolous or Malicious Accusations: Persons making frivolous or malicious accusations of harassment may be subjected to disciplinary actions.

2.3 Management Activities: This Order is not intended to restrict bonafide activities such as reprimands, disciplinary actions and employee performance evaluations which are clearly within the scope of a supervisor's duties and responsibilities, and which serve a legitimate management purpose.

3. DEFINITIONS

3.1 Harassment: Unwanted communication and/or conduct by a supervisor, co- worker or non-employee in the workplace which adversely affects the employment relationship or working environment for the employee or applicant for employment and is based on the sex, race, religion, national origin, age, handicap, marital status, changes in marital status, pregnancy or parenthood of that individual. Harassment may include slurs, abusive language, threats, derogatory comments, unwelcome jokes, teasing and other such verbal or physical conduct.

3.2 Sexual harassment: Addressed and defined by the U.S. Equal Employment Opportunity Commission in the Federal Guidelines on Discrimination Because of Sex published on November 10, 1980, and codified as 29 CFR Section 1604.11, sexual harassment is defined as follows:

"(a) Harassment on the basis of sex is violation of Sec. 703 of Title VII. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment."

4. <u>GUIDELINES FOR THE IMPLEMENTATION OF POLICY</u>

4.1 Responsibility for implementation:

(a) Overall responsibility for the administration of this order is delegated to the Director of the Division of Equal Employment Opportunity.
(b) All agency heads, managers and supervisors within the Executive Branch of State Government are responsible for taking immediate and appropriate corrective action where they have any knowledge of such prohibited practices. Such corrective actions should be taken only after consultation with the State Division of Equal Employment Opportunity.

4.2 Complaints:

(a) Employees believing they have been subjected to harassment should contact their department or agency's Equal Employment Opportunity Representative or the State Division of Equal Employment Opportunity.

(b) A complaint may be formally filed on the "Complaint of Discrimination Form" available through agency personnel offices and the State Division of Equal Employment Opportunity.

(c) The Division of Equal Employment Opportunity shall develop the appropriate administrative process to resolve harassment complaints.

(d) Any form of retaliation, reprisal or adverse action taken against an employee for complaining about, reporting, or cooperating in the investigation of such harassment is prohibited and will be dealt with severely. Such disciplinary action may include suspension and dismissal.

4.3 Dissemination of Policy:

(a) The policy is to be posted in the form provided in this order on all bulletin boards and at every facility and office within each department.

(b) It will be the responsibility of each agency head to ensure that copies of this policy are disseminated to all supervisory staff and that copies of this policy are included in all agency policy manuals and employee handbooks.

This Order takes effect October 25, 1984.

Dated at Anchorage, Alaska October 25

S/S Bill Sheffield

Bill Sheffield

Governor of the State of Alaska

D.13: SOA ETHICS INFORMATION

Ethics Information for Public Employees (AS 39.52)

Introduction

This is an introduction to AS 39.52, the Alaska Executive Branch Ethics Act. This guide is not a substitute for reading the law and its regulations. State employees who have further questions should contact the "designated ethics supervisor" in their agency.

The Ethics Act applies to all current and former executive branch public employees and members of statutorily created boards and commissions.

Scope of Ethics Act (AS 39.52.110)

Service in a public office is a public trust. The Ethics Act prohibits substantial and material conflicts of interest. Further, public employees, and their immediate family, may not improperly benefit, financially or personally, from their actions as public employees. The Act does not, however, discourage independent pursuits and it recognizes that minor and inconsequential conflicts of interest are unavoidable.

Misuse of Official Position (AS 39.52.120)

Public employees may not use their positions for personal gain or to give an unwarranted benefit or treatment to any person. For example, public employees may not:

- use their official positions to secure employment or contracts;
- accept compensation from anyone other than the State for performing official duties;
- use State time, equipment, property or facilities for their own personal or financial benefit or for partisan political purposes;
- take or withhold official action on a matter in which they have a personal or financial interest; or
- coerce subordinates for their personal or financial benefit;
- attempt to influence the outcome of an administrative hearing by privately contacting the hearing officer.

Improper Gifts (AS 39.52.130)

A public employee may not solicit or accept gifts if a person could reasonably infer from the circumstances that the gift is intended to influence the public employee's action or judgment. "Gifts" include money, items of value, services, loans, travel, entertainment, hospitality, and employment. All gifts from registered lobbyists are presumed to be improper, unless the giver is immediate family of the person receiving the gift.

A gift worth more than $150 given to a public employee or the employee's immediate family must be reported within 30 days if:

- the public employee can take official action that can affect the giver, or

- the gift is given to the public employee because he or she is a public employee.

The receipt of a gift worth less than $150 may be prohibited if a person could reasonably infer from the circumstances that the gift is intended to influence the public employee's action or judgment. Receipt of such a gift should be disclosed.

Any gift received from another government, regardless of value, must be reported; the public employee will be advised as to the disposition of this gift.

A form for reporting gifts is available at www.law.alaska.gov/doclibrary/ethics or from the ethics supervisor.

This restriction on gifts does not apply to lawful campaign contributions.

Improper Use or Disclosure of Information (AS 39.52.140)

No former or current public employee may use or disclose any information acquired from State employment if that use or disclosure could result in a financial or personal benefit to the public employee (or immediate family), unless that information has already been disseminated to the public.

Improper Influence in State Grants, Contracts, Leases or Loans (AS 39.52.150)

A public employee, or immediate family, may not apply for, or have an interest in a State grant, contract, lease, or loan, if the public employee has authority to affect the award or administration of that State grant, contract, lease, or loan.

A public employee (or immediate family) may apply for or be a party to a competitively solicited State grant, contract or lease, if the public employee does not serve in the same administrative unit awarding or administering the grant, contract, or lease and so long as the public employee does not take official action in the award or administration of the grant, contract, or lease.

A public employee (or immediate family) may apply for and receive a State loan that is generally available to the public and has fixed eligibility standards, so long as the public employee does not take (or withhold) official action affecting the loan's award or administration.

Public employees must report to their designated ethics supervisor any personal or financial interest (or that of immediate family) in a State grant, contract, lease or loan that is awarded or administered by the agency the public employee serves. A form for this purpose is available at www.law.alaska.gov/doclibrary/ethics or from the designated ethics supervisor.

Improper Representation (AS 39.52.160)

A public employee may not represent, advise, or assist a person in matters pending before the employee's administrative unit for compensation or if the representation benefits the employee's personal or financial interest. This section does not allow a public employee to engage in any conduct that would violate a different section of the Ethics Act.

This prohibition does not apply to collective bargaining matters.

Outside Employment (AS 39.52.170)

State employees may not work (paid or unpaid) for a person or organization or provide services that benefit their own interests in addition to their State job, if that outside work or service is incompatible or in conflict with the proper discharge of their official State duties.

A public employee must report outside employment or service for which he or she is paid to the designated ethics supervisor. Volunteer service must be disclosed only if it is a potential conflict with State duties or if the employee receives any compensation, including travel or meals. Changes in paid outside employment or services must be reported as they occur. A form for this purpose is available at www.law.alaska.gov/doclibrary/ethics or from the ethics supervisor.

Restriction on Employment After Leaving State Service (AS 39.52.180)

For two years after leaving State service, a former public employee may not provide advice or work for compensation on any matter in which the former public employee personally and substantially participated while employed by the State. This prohibition applies to cases, proceedings, applications, contracts, legislative bills, regulations, and similar matters. This section does not prohibit a State agency from contracting directly with a former public employee.

With the approval of the Attorney General, the Executive Director may waive this prohibition if the Executive Director determines that the public interest is not jeopardized.

Some senior public officers are also prohibited from working as registered lobbyists or for companies they were involved with while in State service for one year. See AS 39.52.180(d) and (e) for positions affected by these restrictions.

Aiding a Violation Prohibited (AS 39.52.190)

Aiding another public officer to violate the Ethics Act is also prohibited.

Disclosure Procedures

Notification of Potential Ethical Violations (AS 39.52.210)

When a public employee is involved in a situation that may violate AS 39.52.110-190, the public employee must not take official action related to that situation and must immediately disclose the matter in writing to their designated ethics supervisor and the Attorney General. A form for this purpose is available from the ethics supervisor or at www.law.alaska.gov/doclibrary/ethics. The designated ethics supervisor will determine whether a violation may or does exist and advise the public employee and the Attorney General in writing. The supervisor may reassign the public employee's duties to avoid the violation (where feasible), or direct the public employee to remove the conflicting personal or financial interest, or find another solution.

Reports by Third Parties (AS 39.52.230)

A third party may report a suspected violation of the Ethics Act by a public officer in writing and under oath to the public officer's designated ethics supervisor. The designated ethics supervisor will give a copy to the public employee and to the Attorney General and review the report to determine whether a violation may or does exist. If the designated ethics supervisor determines a violation exists, the public employee's duties may be reassigned (where feasible), the public employee may be directed to remove the conflicting personal or financial interest, or another solution may be found. The ethics supervisor may also refer the matter to the Attorney General.

Attorney General's Advice (AS 39.52.240-250)

Ethics supervisors may request a written advisory opinion from the Attorney General interpreting the Ethics Act. A former public employee may also request written advice from the Attorney General. These opinions are confidential. Versions of opinions without identifying information may be made available to the public.

Complaints, Hearings, and Enforcement

Complaints (AS 39.52.310-330)

Any person may file a complaint with the Attorney General about the conduct of a current or former public employee. Complaints must be written and signed under oath. The Attorney General may also initiate complaints from information provided by designated ethics supervisors. A copy of the complaint will be sent to the public employee who is the subject and to the Personnel Board.

All complaints are reviewed by the Attorney General, except for those alleging violations by the Governor, Lieutenant Governor or the Attorney General, which are handled by independent counsel appointed by the Personnel Board. If the Attorney General determines that a complaint does not warrant investigation, the complainant and the public employee will be notified of the dismissal. The Attorney General may refer a complaint to the public employee's designated ethics supervisor for resolution.

After investigation, the Attorney General may dismiss a complaint for lack of probable cause to believe a violation occurred or recommend corrective action. The complainant and public employee will be promptly notified of this decision.

Alternatively, if probable cause exists, the Attorney General may initiate formal proceedings by serving the public employee with an accusation alleging a violation of the Ethics Act. Complaints or accusations may also be resolved by settlement with the subject.

Confidentiality (AS 39.52.340)

Complaints and investigations prior to formal proceedings are confidential. If the Attorney General finds evidence of probable criminal activity, the appropriate law enforcement agency shall be notified. If there is evidence of a probable violation of AS 15.13, the Alaska Public Offices Commission will be contacted.

Hearings (AS 39.52.350-360)

An accusation by the Attorney General of an alleged violation may result in a hearing. An administrative law judge from the state's Office of Administrative Hearings serves as hearing officer and determines the time, place and other matters. The parties to the proceeding are the Attorney General, acting as prosecutor, and the accused public employee, who may be represented by an attorney. Within 30 days after the hearing, the hearing officer files a report with the Personnel Board and provides a copy to the parties.

Personnel Board Action (AS 39.52.370)

The Personnel Board reviews the hearing officer's report and is responsible for determining whether a violation occurred and for imposing penalties. An appeal may be filed by the public employee in the Superior Court.

Penalties (AS 39.52.410-460)

All penalties under the Ethics Act are in addition to discipline that may be imposed by the employee's agency.

The Personnel Board may order a public employee, who is violating the Ethics Act, to stop engaging in actions related to the complaint. It may order divestiture, establishment of a blind trust, restitution or forfeiture, and may recommend disciplinary action.

If the Personnel Board finds that a former public employee violated the Ethics Act, the Personnel Board will issue a public statement about the case and will ask the Attorney General to pursue appropriate additional legal remedies.

The Personnel Board will report to the President of the Senate a violation of the Ethics Act by a public officer who is removable from office only by impeachment.

State grants, contracts, and leases awarded in violation of the Ethics Act are voidable. Loans issued in violation of the Act may be made immediately payable.

Fees, gifts, or compensation received in violation of the Ethics Act may be recovered by the Attorney General.

The Personnel Board may impose a fine of up to $5,000 for each violation of the Ethics Act. In addition, a public employee may be required to pay up to twice the financial benefit received in violation of the Act.

Criminal penalties are in addition to the civil penalties listed above.

Definitions (AS 39.52.960)

Please keep the following definitions in mind:

Administrative Unit - a division or other official subcategory of an agency.

Agency - a State department, a public corporation, the University of Alaska, the Alaska Railroad Corporation, and all statutorily created boards and commissions.

Benefit - anything that is to a person's advantage regardless of financial interest or from which a person hopes to gain in any way.

Designated Ethics Supervisor - for employees of a department, the commissioner or the commissioner's designee; for staff of boards or commissions, the executive director of the board or commission.

Financial Interest - any property, ownership, management, professional, or private interest from which the employee or a member of the employee's immediate family receives or expects to receive a financial benefit. Holding a position in a business, such as officer, director, partner, or employee, also creates a financial interest in a business.

Immediate Family - spouse; another person cohabiting with the person in a conjugal relationship that is not a legal marriage; a child, including a stepchild and an adoptive child; a parent, sibling, grandparent, aunt, or uncle of the person; and a parent or sibling of the person's spouse.

Official Action - advice, participation, or assistance, including, for example, a recommendation, decision, approval, disapproval, vote, or other similar action, including inaction, by a public officer.

Personal Interest - the interest or involvement of an employee (or immediate family) in any organization or political party from which a person or organization receives a benefit.

For further information and disclosure forms, visit our Executive Branch Ethics web site or please contact:

State Ethics Attorney
Alaska Department of Law
1031 West 4th Avenue, Suite 200
Anchorage, Alaska 99501-5903
(907) 269-5100
attorney.general@alaska.gov

D.14: TRAVEL POLICY (AAM 60)

AAM 60. TRAVEL **(Note: AEA internal travel procedures are located at D.14.1)**

60.010	Introduction to Travel	04/13
60.020	Travel Definitions	11/22
60.030	E-Travel	04/14
60.040	Travel Approvals	08/20
60.050	Travel Purchase Policies	10/15
60.060	Payment Methods for Transportation and Expenses	10/19
60.065	Taxes Related to Travel	01/11
60.070	Travel Advances	06/18
60.080	Interruption or Deviation of Travel for Traveler Convenience	01/21
60.090	Unused Transportation and Accommodations	07/14
60.100	Airline Delays, Rescheduling, and Overheading	01/07
60.110	Excess Baggage	04/05
60.120	Rental Cars	10/15
60.130	Airport Shuttle, Courtesy Van, and Taxi Service	10/15
60.140	Privately Owned Vehicles	10/16
60.150	Privately Owned Aircraft	11/22
60.160	Charters and Group Transportation	01/10
60.170	Alternatives to Travel	04/05
60.180	Boards and Commissions	01/07
60.190	Health and Safety of Travelers	01/10
60.200	Travel Related to Contracts	10/08
60.210	Traveler Reimbursement	11/22
60.220	Travel Expenses - Required Receipts and Documentation	10/15
60.230	Third Party Reimbursements	01/24
60.240	Lodging Types and Rates	09/23
60.250	Meal and Incidental Expense Allowances	07/24
60.260	Contracting for Subsistence	07/05

AAM 60.010 Introduction to Travel (04-13)

The travel policies of the State of Alaska are adopted by the Commissioner of the Department of Administration in accordance with AS 39.20.160. State agencies and Travelers are required to comply with these policies whenever traveling on state business and are prohibited from adopting their own policies that differ from statewide policies without the approval of the Commissioner of Administration. Commissioners or designee may approve policy exceptions on a trip-by- trip basis for subordinate personnel within their agency based on documented circumstances or unique business requirements. Policy exceptions for commissioners must be approved by the Commissioner of the Department of Administration. Policy exceptions for the Department of Administration must be approved by the Governor's Chief of Staff.

The purpose of the travel policies is to provide approval to travel on state business, and to provide reimbursement for actual and necessary expenses incurred by Travelers while traveling on state business. The policies apply uniformly to all Travelers unless otherwise provided for by a collective bargaining agreement. When there is a conflict between these policies and a collective bargaining agreement, the relevant provisions of the collective bargaining agreement supersede. State agencies may not impose more restrictive rules than set forth in the travel policies or in collective bargaining agreements.

AAM 60.020 Travel Definitions (11-22)

Commercial Lodging Facility

A Commercial Lodging Facility is a licensed entity that is in the business of selling lodging to the general public and includes hotels, inns, motels, apartments, and campgrounds.

Travel Administrator

Travel Administrators are agency personnel responsible for maintaining the travel profiles for their agency. They may or may not also be the Travel Coordinator.

Travel Coordinator

Employee designated within an agency to oversee the travel function. Travel Coordinators assist and train travel planners, monitor travel operations, and make recommendations on statewide travel policy.

Duty Station

The Duty Station of a Traveler includes the city, town, or village within 50 miles of where the Traveler spends the major portion of their working time, or the place to which the Traveler returns to duty on completion of special assignments. On a case-by-case basis, commissioners or designee may identify a radius or commuting area that is broader than 50 miles within which Per Diem will not be allowed for travel within one calendar day.

A Traveler that performs official state business duties within their defined Duty Station is not eligible for privately owned vehicle mileage reimbursement. Commissioners or designee may approve exceptions on a case-by-case basis based on documented circumstances or unique business requirements. See AAM 60.140 for details on taxability of such an allowance.

Emergency

An Emergency is defined as an unforeseen set of circumstances that calls for immediate action. Emergencies include those that are the result of business-related occurrences, as well as personal situations. Personal emergencies generally do not affect Travel Status, except in the following cases:

- Traveler suffers a serious health condition [as defined by AS 39.20.550(5)] while in Travel Status
- Death of an immediate family member [as defined by 2 AAC 08.999(c)] occurs while Traveler is in Travel Status

- Other situations deemed by agency management as severe enough to affect Travel Status

E-Travel

Managed travel program for the State of Alaska Executive Branch.

E-Travel Management Team

Comprised of the State Travel Manager, as well as others from the Division of Finance that support this program.

E-Travel Online

Online booking tool used for travel arrangements provided by the travel management contractor.

Lodging Allowance

Lodging Allowance is the portion of Per Diem that covers lodging, generally the actual cost of the Traveler's hotel room, unless otherwise stated in individual bargaining unit agreements.

M&IE

Meals and Incidental Expense allowance is the portion of Per Diem that reimburses Travelers for the cost of meals and incidental expenses including discretionary tips.

Non-Commercial Lodging Facility

A Non-Commercial Lodging Facility may include, but is not limited to, a public facility in a rural setting such as a community building or school, motor home, or private home. Such facilities will generally lack amenities such as shower, kitchen, and bedroom/sleeping quarters.

Per Diem

Per Diem allowance is a daily payment instead of reimbursement for actual lodging and meal expenses. It is separate from transportation and other miscellaneous expenses.

Residence

The Residence of a Traveler is the location, or within 50 miles thereof, where the Traveler maintains the primary dwelling.

If a Traveler maintains multiple residences, the commissioner of the agency shall designate the residence that bears the most logical relationship to the Traveler's Duty Station as the Traveler's primary residence. Factors to be considered in determining the primary residence include: the time ordinarily spent performing duties at each location; the degree of business activity at each location; the relative amount of state wages earned at each location. Agencies may also contact the Division of Finance for assistance.

Ticket Class

Lowest [coach] ticket class on a regularly scheduled airplane, ship, or train that is the most direct route to accomplish the business purpose of the travel.

Travel Planners

Individuals within each agency that support Travelers by making travel arrangements, explaining policies, ensuring travel is approved prior to purchase, and ensuring reimbursement occurs timely after travel is complete.

Traveler

Throughout these policies, Traveler usually means a state official or a person employed by a state agency. At times, an agency may require board or commission members, volunteers, wards of the state, or other nonemployees to travel on state business. The agency must generally apply the same travel policies for nonemployees, except when travel reimbursement terms under a professional service contract differ as discussed in AAM 60.200.

Travel Authorization

A form approved by the Department of Administration used to document pre-travel approval and final travel related expenses.

Travel Expenses

- Transportation expenses consist of commercial carrier fares, vehicle mileage allowances, taxi fares, bus fares, and other essential transportation expenses while on official state business.
- The Per Diem consists of two parts, meals and incidental expenses, and lodging.
- Other expenses consist of charges for business telephone calls, internet, parking fees, Emergency purchases of supplies, and other charges necessary to conduct official business.

Travel Status

Travelers shall be considered in Travel Status from the time an authorized trip begins until it ends. An "authorized trip" is a trip approved in accordance with administrative manual guidelines and where a Traveler travels outside the boundaries of the Duty Station. An authorized trip begins when a Traveler is leaving the Duty Station and:

- A Traveler leaves the normal work location during normal work hours; or
- A Traveler leaves the residence outside normal work hours.

An authorized trip ends when:

- A Traveler returns to the normal work location during normal work hours; or
- A Traveler returns to the residence if the trip ends outside normal work hours; or
- A Traveler accepts voluntary denied boarding compensation. Refer to AAM 60.080 Interruption or Deviation of Travel for Traveler Convenience.

Refer to:

http://doa.alaska.gov/dop/ppdb/SOP/Ch08TravelasTimeWorked/traveltimeworkSOPrev1.pdf for policies on compensation for travel as time worked.

Travel Status is either short-term or long-term and Per Diem allowances vary according to status. The determination of short-term or long-term is based upon the duration and type of lodging facility provided to the employee. See AAM 60.240 for further guidance. A brief return of the employee to their Duty Station for business or personal convenience does not disrupt the long-term status of the trip.

A Traveler is not in Travel Status for local travel or day trips. The following are some examples of Travelers who would not be considered in Travel Status under the local travel or day trip provision:

- A state trooper while on patrol in his/her assigned territory.
- A safety inspector whose normal duties include driving from his/her normal Duty Station to a construction site for purposes of conducting an inspection.
- A health inspector whose normal duties include driving from his/her normal Duty Station to various communities to inspect facilities.

A mileage reimbursement form or suitable documentation must be used to reimburse transportation costs when the Traveler has met Travel Status by performing official state business duties outside their defined Duty Station.

AAM 60.030 E-Travel (10-19)

The Department of Administration has established E-Travel as the managed travel program serving the State of Alaska Executive Branch, including employees, members of boards and commissions, inmates, witnesses, and other individuals that travel on official State business.

E-Travel is comprised of:

- Travel policies contained in AAM 60.
- E-Travel Online, which is the online booking tool configured for State of Alaska travel policies used for researching and purchasing travel.
- Travel management contractor.
- Other contracts with vendors in the travel industry including airlines, hotels, and rental car agencies.
- E-Travel Management Team.
- Travel Coordinators, Travel Administrators, and Travel Planners within each agency.
- Employees and others traveling on official State business.

Travel Management Contract

All travel paid by a State of Alaska Executive Branch agency must use the travel management contractor unless it is listed as optional under the service standards for performance on the Division of Finance travel web site, or a waiver has been granted by the Department of Administration.

All contracted travel personnel are required to sign and adhere to a confidentiality agreement. The confidentiality agreement prohibits contracted personnel from discussing state travel arrangements with anyone that does not have a valid State of Alaska-related business need to know. The agreement includes a liquidated damage clause for breach of confidentiality.

Traveler Profile

An electronic Traveler profile is required for booking travel. As a general rule, employees who will travel as part of their jobs should have individual Traveler profiles. The state information in these profiles is maintained by Travel Administrators. Optional information such as mileage number or seat preference may be entered by the Traveler. Traveler profile instructions are available on the Division of Finance travel web site.

Agency Travel Policies

Within the confines of this section, agencies may establish more specific, but not more restrictive travel policies.

Travel Purchase Process

Travel may be purchased using E-Travel Online or by calling the travel management contractor for agent assist services.

Travel Planners should confirm the details of the itinerary before purchasing. After purchase, the agency is responsible for the carrier's change fee and any additional service fees to cancel and reissue the ticket. The Traveler is personally responsible for the change fee when the change is for personal convenience.

Travel purchases must include the name of the approving official authorizing the purchase.

Fare Increases

Fares may increase before purchase. The state agency pays the increased fare unless it is a travel management contractor delay, in which case the contractor will absorb the fare increase.

Refunds

Agencies may request a refund for a refundable ticket at any time by replying to the final itinerary asking the contractor to refund the ticket. Any unused refundable ticket will be refunded 30 days after the return date on the ticket by the travel management contractor and the state agency will be notified.

AAM 60.040 Travel Approvals (08-20)

Pre-trip Approvals

All travel shall be approved in advance. Travel included on an agency's commissioner approved travel plan for the fiscal year submitted on the designated template meets the pre-trip approval requirement. Requests for travel approval not included on the commissioner approved travel plan shall be in writing and must document essentials of the travel including purpose, destination, departure and return dates, a total not-to-exceed amount, and whether a personal deviation is requested, with any related leave requests. Other aspects necessary for planning travel include whether a rental car, travel advance, or reimbursement of actual lodging costs are requested by the Traveler. Approval of financial coding for the trip may be required in advance at the agency's discretion. The approval required depends on the location of the travel:

- Travel within Alaska - Prior approval is required by the agency and the department's commissioner or designee.
- Travel to the Contiguous United States, Hawaii, British Columbia, and Yukon Territory - Prior approval is required by the agency, by the department's commissioner or designee, and by the Governor's Office.
- Travel Outside the United States - Prior approval is required by the agency, the department's commissioner or designee, and the Governor's Office.

Post-travel Expense Approvals

Following completion of travel, actual travel expenses must be documented for approval in the Travel Authorization Form.

General Travel Approval Policies

- All state travel shall be work-related and essential for state business.
- Agencies may document pre-approval for certain types of travel that does not fit the specific trip-by-trip approval process.
- Personal travel plans of the Traveler shall not influence the approval of state-funded travel. Refer to AAM 60.080 Interruption or Deviation of Travel for Traveler Convenience.
- Travel Status should be confined to the minimum amount of time required to conduct the business of the state. As a rule, a Traveler may travel the day prior if the only available scheduled flights depart prior to 7:00 a.m. and a Traveler may stay an extra night if the only available scheduled flights arrive after 10:00 p.m. Supervisors may approve exceptions to these travel times when circumstances justify.
- When the required travel period exceeds 15 consecutive days, division directors may authorize employees to return home on days off at state expense. Such trips shall not curtail productive work time, and shall be limited to no more than one per month. Authorized costs for such trips are limited to the amount of avoided Per Diem and rental car expense.
- Whenever a Traveler and the state opt to share the cost of business travel, the agreement will be documented in advance, including the duration of state business within the travel period. For bargaining unit members, such agreements require the concurrence of the union and must be authorized by the Division of Labor Relations.

AAM 60.050 Travel Purchase Policies (10-15)

Alaska Statute 39.20.140(b) requires that the state pay no more than "the lowest ticket class fare for the most direct route" unless specific exemptions are met:

- lowest ticket class accommodation is not available;
- waiting for lowest ticket class accommodation would cause a delay harmful to the state; or
- Department of Administration finds that travel by lowest ticket class accommodation is not in the best interest of the state, and authorizes other accommodation.

First or business class is allowed if it is offered to the Traveler on a complimentary basis because of frequent flyer status and upgraded by the airline involved, except when acting as an escort.
The statutes require purchasing the best fare for the most direct route that meets the state's business needs. This requirement also applies to contractors traveling on behalf of the state, regardless of whether the state is

paying the travel expenses directly or reimbursing the contractor. The best fare does not require the purchase of nonrefundable tickets; agencies should make this business decision based on the nature of the travel.

Federally funded or reimbursed Travelers are required by 49 U.S.C. 40118, commonly referred to as the "Fly America Act," to use U.S. flag air carrier service for all air travel. However, an exception to this requirement is transportation provided under a bilateral or multilateral air transportation agreement to which the United States government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act.

These agreements are called "Open Skies" agreements. Any international travel being reimbursed by the federal government should be booked accordingly. Failure to follow these regulations can affect travel reimbursement by the federal government.

Travelers and approvers are required to document reasons for declining savings where the lowest available airfare is not purchased. Variances from State of Alaska travel policy may be reported to the agency for analysis.

Electronic ticketing is the method preferred by the state. Paper tickets will be issued only when necessary.

Travel planners must confirm the name on the Traveler's government- issued ID before an airline ticket is issued using a generic profile. The airline ticket must be issued in the name on the government-issued ID.

All air and ferry travel must be ticketed using E-Travel except as noted in the service standards.

Travelers are generally required to use State of Alaska contracted / preferred travel providers to ensure we obtain the best fares, rates, and insurance coverage. The Department of Administration, Division of General Services has negotiated travel contracts, some of which are mandatory. All contracts are listed in the Contract Award Manual, and terms, including allowable exclusions, should be reviewed and understood before travel is purchased.

State contract airfares are not available for travel by consultants and contractors, even if their travel is reimbursed by the state.

If an airline lowers a fare and a state-purchased ticket is reissued to a lower fare, the difference in fare belongs to the state. Airlines sometimes issue a nonrefundable electronic discount code credit (e-certificate) in lieu of refunding the form of payment used to purchase the original ticket. This e-certificate belongs to the state. Travelers are not allowed to use these e- certificates for personal travel, even if deposited in their personal account by the airline. The e-certificate number must be given to the Traveler's agency to be used for future state travel.

Excess costs, circuitous routes, delays, or luxury accommodations unnecessary or unjustified in the performance of official state business travel are not acceptable. The Traveler will not be reimbursed for any additional costs that result from unauthorized travel arrangements.

AAM 60.060 Payment Methods for Transportation and Expenses (10-19)

The State of Alaska uses two primary methods to purchase transportation for individuals traveling on official state business:

1. One Card Alaska Corporate Charge Card (Card) – Agencies shall issue corporate charge cards to employees who travel. Corporate charge cards include One Cards and Managed Spend (declining balance) Cards. Employees with Cards are required to use them for purchases when the state pays actual costs, as in the case of transportation and actual lodging expenses.

2. Central Travel System (CTS) Accounts - The State of Alaska has established CTSs, which are used to purchase airfares and pay for rental cars for Travelers without Cards. CTSs are ghost accounts for which plastic cards are not issued.

There may be occasions when neither the Card nor the CTS can be used to purchase transportation. In these cases, it should be purchased using EFT or a state warrant.

Alaska Marine Highway

Transportation on state ferries may be authorized when in the best interest of the state. All ferry transportation will be paid by the employee using their Card, or by the agency through use of the CTS or an interdepartmental billing. Staterooms may be paid in advance utilizing the Card only if the appropriate authorization has been obtained in advance. Meals are to be paid directly by the Traveler. The Traveler may be eligible for reimbursement of lodging expenses and/or M&IE in accordance with AAM 60.240 and AAM 60.250.

Lodging

Frequent Travelers should use their Card to pay for lodging. When the Card is not available, agencies may choose to use direct billing as the method of payment.

Meals and Incidental Expenses

For meals and discretionary tips, the Traveler receives a meals and incidental expense allowance as described in AAM 60.250. Personal expenses for meals, phone calls, movie rental, and entertainment must not be commingled with purchases for lodging expenses on the state Card.

AAM 60.065 Taxes Related to Travel (01-11)

The travel policies of the state are generally intended to be in compliance with current IRS regulations as an accountable plan. See AAM 320 for tax implications related to state travel reimbursement policies.

Travel purchases are expenditures of the state and are generally tax- exempt under local Alaska tax ordinances when purchased with the Card or other means of direct payment by the state. The state is subject to the taxes of other states or localities outside Alaska, and many federal fees and taxes.

State employees are ultimately responsible for making sure state or local sales taxes are not charged if using a state charge card to purchase services or products in Alaska.

Vendors should not be held responsible when Travelers fail to identify themselves as state employees, and some judgment based on cost/benefit criteria should be applied when determining when to call the vendor for credits/refunds for small amounts of taxes on state purchases after the fact. State agencies should reflect any action taken to retrieve taxes on the Travel Authorization.

Taxes resulting from purchasing with the Traveler's personal form of payment are the responsibility of the Traveler unless state payment methods were not available to the Traveler.

Lodging

Hotel charges paid directly by the state are generally exempt from local taxes within Alaska. State exemption from hotel taxes does not extend to lodging while staying at a hotel during a personal deviation.

It is a Traveler's responsibility to review the hotel bill prior to signing and ask that taxes, if any, be removed. If the hotel does not remove the taxes immediately, report this issue to the agency Travel Coordinator.

This policy does not apply to lodging purchased by employees who are reimbursed a Per Diem allowance for lodging per the terms of their collective bargaining agreement. This lodging is a purchase of the employee, not a direct state purchase, and is therefore subject to hotel and sales tax under local ordinances.

Meals and Incidental Expenses

The actual costs for meals and other out-of-pocket expenses, as described in AAM 60.250, are purchases of the Traveler, and are therefore taxable transactions under local tax ordinances. The Card should not be used for meals and incidental expenses to ensure proper tax treatment.

Ground Transportation

The state does not pay taxes on ground transportation within Alaska, but is responsible to pay other states' taxes and fees. Travelers must identify themselves as state employees when presenting a state form of payment for tax exemption within Alaska. The Traveler should circle the fare amount and write that amount on the total charge line of the receipt. Tips should not be included with the fare for state payment.

Once the taxes are included they cannot be removed due to local city, borough, or municipality regulations. It is the Traveler's responsibility to pay any taxes not removed prior to issuance of receipt.

AAM 60.070 Travel Advances (06-18)

Travel advances are limited to payments made prior to travel commencing, and are generally calculated at 80% of estimated meals and incidental expenses. Agencies may authorize higher advances when circumstances warrant. Agencies may choose to pay travel advances using either EDI, or through use of the Card at an ATM.

All travel advances require employee notification that any monies owed the State of Alaska by the Traveler may be deducted from the employee's paycheck. The Travel Advance Authorization form, available on the Division of Finance web site, needs to be signed only once by a Traveler for recovering all subsequent advances through payroll deductions. These forms should be kept on file by travel planners.

A Traveler shall not receive an additional travel advance until the previous travel advance and trip has been reconciled and closed out.

A Traveler shall not receive travel advances for same day travel. These payments are taxable and must be paid through payroll.

Agencies may make exceptions to policies in this section when circumstances justify.

AAM 60.080 Interruption or Deviation of Travel for Traveler Convenience (01-21)

Any interruption or deviation from the most direct and efficient means of travel for Traveler convenience requires prior approval at the agency level by the appropriate supervisor or designee. Such approvals must weigh the interests of the state as Travelers are not automatically entitled to deviations for personal convenience.

Any additional time or expense resulting from an interruption or deviation for Traveler convenience shall be borne solely by the Traveler. Travelers are responsible for researching and purchasing air, car, and lodging for the personal portion of the travel on their own time. This is not a work function, and travel planners cannot research or purchase travel outside of the minimum itinerary required to conduct state business. The business itinerary must be documented in a state-authorized fare quote (see 3 below) when the travel is approved.

Travelers should be aware that personal deviations from the state- authorized itinerary may negate workers' compensation coverage. The greater the personal deviation, the more likely the departure from the course of employment, and thereby workers' compensation coverage.

When a Traveler interrupts business travel for personal reasons, the following apply:

1. Per Diem, travel allowances, and reimbursements are calculated for the minimum itinerary that is required to conduct state business without regard for the actual itinerary that includes the deviation for personal convenience. For example, a Traveler (Anchorage Duty Station) is traveling on state business (in Seattle) and the business is concluded at noon on Wednesday. For personal reasons the Traveler will not return to the Duty Station until the following Monday. In this example, the Traveler's entitlement to Per Diem, mileage, and other travel reimbursements ends an hour after the first flight that would get the Traveler home Wednesday evening is scheduled to land. This entitlement is not increased if the Wednesday evening flight does not operate as scheduled, as Travelers relinquish their right to reimbursement for flight delays once they choose to deviate from the business itinerary. See Personal Travel FAQs for other examples.

2. A Traveler requesting approved personal air travel deviation for an alternate routing, personal discount coupons to purchase companion travel, or travel that increases airfare, will make the transportation arrangements for the entire trip on their own time. These arrangements will be purchased by the Traveler using a personal form of payment instead of a state form of payment. Personal travel segments cannot be purchased at state-contracted rates. Exception: If the only deviation is an extension of dates on either end of the state-authorized dates, agencies may opt to pay for the combined airfare when purchased if the personal portion can be recovered from the Traveler's reimbursement after travel is complete.

3. A state-authorized fare quote must be obtained before personal travel is booked or at the time the travel is approved, whichever is later, for a price comparison to determine Traveler reimbursement. To ensure contract rates are applied the fare quote (air, car, and hotel) must be obtained in E-Travel Online by capturing the business itinerary and fare on the purchase page (no fee), or by calling the contracted travel agency (fee applies). After travel is complete, the Traveler must present a copy of the ticket receipt or itinerary showing payment and the state-authorized fare quote to obtain reimbursement. The state will reimburse the lesser amount of either the deviated ticket purchased or the state-authorized fare quote. If the Traveler cannot produce a state-authorized fare quote as instructed above, the Traveler will be eligible for a maximum allowance of $200 for a round-trip or multi-destination itinerary or $100 for a one-way itinerary, plus the authorized car and hotel expenses. The state will reimburse the lesser amount of either the deviated ticket purchased or the predetermined allowance.

4. Rental cars obtained for official state business are authorized only for the minimum business itinerary. The rental period may not extend to the personal travel. See AAM 60.140 for clarification on personal travel involving privately owned vehicles.

5. Any additional time that reduces the Traveler's work week related to indirect travel will be charged to annual leave, personal leave, or leave without pay. In the example 1 above, the employee's leave status would begin Thursday morning when the Traveler could have returned to work based on the scheduled flights for the minimum business itinerary. Leave in conjunction with business travel must be documented in prior approval and supervisors are responsible for ensuring that leave is reported appropriately for Travelers they supervise.

6. Per Diem is allowed when a Traveler is granted leave due to illness. However, the Per Diem allowance shall not be authorized for a period of illness exceeding three calendar days in any one period of absence. Per Diem is not authorized if the Traveler is hospitalized or otherwise has no actual and necessary business expenses requiring reimbursement.

7. Agencies must ensure that employees combining business and personal travel are well-informed and cautioned that airfares may result in a liability to the employee, should the reason for the business travel be cancelled. Employees leaving on vacation in conjunction with the business event will become responsible for all costs should the business event be cancelled. Employees opting not to travel if the business event is cancelled will be responsible for the cost of travel that the state cannot recover that was attributable to the personal portion of the airfare. The employee may be reimbursed, at the agency's option, for the business portion of unused tickets. The business portion of unused tickets paid to employees must be monitored by the agency as state assets until they are used or expire. Employees leaving the agency prior to the expiration of such a ticket are required to return the state payment for any business portion that is still available for use by the employee.

8. Voluntary denied boarding compensation where the Traveler voluntarily vacates his/her seat and takes a later flight may be retained by a Traveler (viewed as an insignificant personal travel credit under ethics rules). A Traveler cannot volunteer for denied boarding on an outbound flight unless the Traveler has previously approved personal travel for the beginning of the travel period. Nor may a Traveler volunteer for denied boarding if it may cause a delay in return to work. By accepting a voluntary bump on the return portion, the Traveler puts himself on personal travel rather than state business. Travel Status ends, no further Per Diem is allowed, and all state insurance coverage ceases for the duration of the trip. The Traveler is responsible for any additional travel expenses caused by the voluntary action.

AAM 60.090 Unused Transportation and Accommodations (07-14)

When Travelers' plans change, Travelers shall release air, car, and hotel reservations within the required time limits. Travelers may contact vendors directly or contact the travel management contractor to cancel reservations. The state shall not reimburse Travelers for charges incurred as a result of failure to release reservations.

Travelers shall submit any unused portion of air or ferry tickets with the Travel Authorization. Travel planners may forward unused tickets to the travel management contractor to process refunds or the agency may retain them for reissuing later. Any unused refundable ticket will be automatically refunded 30 days after the return date on the ticket by the travel management contactor and the state agency will be notified.

AAM 60.100 Airline Delays, Rescheduling, and Overheading (01-07)

When an airline assumes the cost of a Traveler's lodging and/or meals due to airline delays or overheading, the Traveler shall be paid a Per Diem allowance up to the originally scheduled arrival time. When the airline does not assume the cost of a Traveler's lodging and/or meals, the Traveler shall be paid the Per Diem allowance that applies for the actual trip.

Involuntary denied boarding compensation is payable to the state, not to the individual employee. If a Traveler is performing official travel and a carrier denies a confirmed reserved seat on a plane, the Traveler must submit to the agency any payment received for liquidated damages. The Traveler must ensure the carrier shows the "State of Alaska" as payee on the compensation. Any such compensation must be submitted with the Travel Authorization.

AAM 60.110 Excess Baggage (04-05)

The state will only pay for excess personal and state baggage necessary to carry out official state business. Such baggage shall be transported by the most economical method (checked as excess baggage, shipped via airfreight, etc.).

AAM 60.120 Rental Cars (10-15)

When necessary, the rental of a car may be authorized for Travelers in Travel Status and should be included as part of the request for Travel Authorization approval. The cost and intended use of the car must be considered in determining the size and type of car to rent. As a rule, a mid-size or less car should be rented, however a larger than mid-size car may be allowed when several Travelers are traveling together or circumstances require the use of a larger car. Such situations must also be documented on the completed Travel Authorization.

- All car rentals must be reserved using E-Travel.
- Travelers are generally not authorized to upgrade their rental cars at the airport. If a car upgrade is required for business or safety reasons, the reason must be documented on the

Travel Authorization when it is finalized.
- Travelers are responsible for refueling rental cars prior to returning them to the rental car companies. If the rental car company refuels the vehicle, a justifiable business purpose must be provided for incurring the additional cost.

By most state laws, auto liability insurance (covering third party damage or injury claims) is provided by the car-rental company as owner of the vehicle. Excess auto liability coverage is provided through Risk Management for authorized business travel. All liability insurance offered by car rental companies must be declined by Travelers.

Collision or Physical Damage Waiver for any damage to a rental car (collision, comprehensive coverage, and related loss of use claims) is often offered by the car rental company at the time of hire and must be declined by Travelers when hiring from a state contracted rental car company. Risk Management will respond to any physical damage claims to rental cars while used on state business related travel. If an agency elects not to use a contracted rental car company where available, the agency accepts responsibility to cover any physical damage to the rental car should it occur.

Rental cars may be driven on state business only, and Risk Management self-insurance coverage applies only where the car is used on state business. State business includes usual travel related activity (restaurants, hotels, etc.), but does not extend to any personal deviations for individual Traveler convenience. Refer to AAM 60.080 Interruption or Deviation of Travel for Traveler Convenience.

If there is damage to any rental car:

- Travelers are cautioned to never accept responsibility or admit liability.
- If the lessor requests information or payment, advise the lessor to contact the Department of Administration, Division of Risk Management.
- If there is personal injury or an accident, telephone the Division of Risk Management as soon as possible.

During the deviated portion of a trip, or when family members are accompanying a Traveler, rental vehicles must be purchased by the Traveler. The Traveler must possess the appropriate insurance coverage that meets State of Alaska laws or purchase the insurance coverage from the rental car company. Reimbursement of rental cars may be received at the lesser of the state's daily contract rate or actual rental rate upon agency approval and based on a business need. All invoices, contracts, and receipts must accompany the Travel Authorization expense report.

See AAM 60.350 for use of rental cars connected with an employee move.

AAM 60.130 Airport Shuttle, Courtesy Van, and Taxi Service (10-15)

When a Traveler in Travel Status requires transportation either to or from an airport or ferry terminal, an airport shuttle, courtesy van, taxi or limousine service is allowed. When departing/returning on state travel, if a Traveler uses a privately owned vehicle for transportation to or from an airport or ferry terminal, the Traveler is allowed mileage and up to seven days of parking reimbursement. Parking reimbursement for more than seven days must be included on the request for Travel Authorization and approved prior to travel. Additional days of parking may be reimbursed when state business related itinerary changes occurred during Travel Status that prevented pre-approval.

AAM 60.140 Privately Owned Vehicles (10-16)

A Traveler may receive mileage reimbursement for using a privately owned vehicle, such as auto, snowmobile, motorcycle, or boat when it is in the best interest of the state and their official state business duties are outside their defined Duty Station. The approving official shall be responsible for substantiating that use of a privately owned vehicle is in the state's best interest. The Traveler shall receive a mileage reimbursement equal to the miles entered in the mileage form and the established rates published on the Division of Finance web site at:
http://doa.alaska.gov/dof/travel/resource/POV_Rate_Table.pdf.

When a Traveler uses a privately owned vehicle, the amount of reimbursement shall be limited to what the lowest available commercial alternative would have cost. Per Diem, actual hotel expenses and meal allowances, or other travel reimbursements shall not exceed the amounts that would have been incurred had the Traveler used common carrier transportation. Only mileage incurred while engaged in official state business is reimbursable.

Mileage incurred for commuting between an employee’s residence and normal work location is not reimbursable. If approval under section 60.020 is obtained, mileage incurred for commuting to/from a temporary worksite is reimbursable to the extent that it exceeds the distance from the employee’s residence to the normal work location.

Any additional regularly scheduled work time away from the Duty Station required as a result of using a privately owned vehicle for personal convenience will be charged to annual leave, personal leave, or leave without pay.

When two or more Travelers that are traveling in the same direction, and it is possible to share a privately owned vehicle or airplane, the state will reimburse the total mileage only once (AS 39.20.130).

AAM 60.150 Privately Owned Aircraft (11-22)

When a state employee who is a qualified pilot rents an aircraft or uses a privately owned aircraft for state business, the following items must be filed with the Department of Administration/Risk Management if the employee does not have an insurance policy meeting the required limits. Otherwise, the items must be filed with the agency Administrative Officer before using the aircraft:

- A copy of a valid pilot's license.
- A copy of current medical certification.
- Proof of aircraft liability insurance with limits not less than $1,000,000 combined single limit for bodily injury and property damage per occurrence/annual aggregate.

It is the responsibility of each agency to ensure these documents are on file before authorizing or reimbursing a Traveler for the use of a privately owned aircraft. No passengers are permitted to accompany a pilot except other state employees who are also traveling on state business to the same destination.

For Travelers who do not have the required $1,000,000 aircraft liability insurance coverage, the Division of Risk Management has an insurance policy to provide the required coverage for Travelers who meet certain minimum pilot qualifications. This coverage is a separate aircraft liability policy for $1,000,000 combined single limit liability, for bodily injury and property and may be purchased on a per-flight basis with individual coupons. In the event the aircraft owner has liability insurance, the state policy applies as excess insurance over any other valid and collectible policies.

To obtain individual trip coupons for this per-flight, aircraft liability insurance, contact Risk Management at:

Division of Risk Management Department of Administration
P.O. Box 110218
Juneau, AK 99811-0218

Phone (907) 465-2180
Fax (907) 465-3690

The cost is $50 per aircraft per round trip flight. The first order for coupons must be accompanied by a copy of the Pilot Qualification Certification (note minimum flight hour requirements on this form), a copy of the pilot's license, and current medical certification. The coupons may be purchased by the Traveler pilot or through a request to transfer the funds via an interdepartmental billing (Journal Entry).

The original completed coupon shall be attached to the Travel Authorization. A copy of the coupon must be returned to Risk Management to comply with insurance policy requirements.

The reimbursement rate for privately owned aircraft is the lesser of the state-published rate on the Division of Finance website at:

http://doa.alaska.gov/dof/travel/resource/POV_Rate_Table.pdf or the common carrier rate to the same destination. Bargaining unit agreements may supersede this rate.

AAM 60.160 Charters and Group Transportation (01-10)

When it is necessary to hire a boat, aircraft, or other special conveyance, an explanation stating the facts constituting the necessity must be included with the Travel Authorization. When two or more Travelers travel as a group or with a group, the names and business relationship of each member of the group shall be included with the Travel Authorization of each Traveler.

All charters must be handled in compliance with the policies and provisions of AS 36.30, purchasing regulations 2 AAC 12, and the agency's delegation of purchasing authority. E-Travel may be used for chartering transportation.

AAM 60.170 Alternatives to Travel (04-05)

Agencies are to develop and implement alternatives to travel, as well as less expensive means of travel. These methods should include, but are not limited to:

- Teleconferencing and video conferencing.
- Video recordings and published reports.
- Reduced frequency of regularly scheduled out of town meetings.
- Restrictions on the number of staff traveling to the same destination.
- Coordinating between agencies for joint travel arrangements when more than one agency is involved.

If an agency determines that a seminar, workshop, or training program is essential to staff development for five or more employees, the agency will investigate the option of bringing the trainer on-site instead of authorizing employees to travel to an off-site location. The agency will document the comparative cost of an on-site session and retain such documentation on file with the agency's travel records. The agency must also explore the practicality of fulfilling the desired staff development goals through use of video teleconferencing or web-based conferencing where these options may be more cost-effective.

AAM 60.180 Boards and Commissions (01-07)

Except for those board and commission members specifically covered in statute, each state board and commission member is entitled to the same reimbursement for lodging and M&IE allowances as provided to state officials and employees in this section of the administrative manual.

When the meeting or other business takes place in the vicinity of the member's residences (see definition at AAM 60.020), members are not in Travel Status and are not entitled to reimbursement or a Per Diem for lodging. However, the commissioner of the department with oversight authority of the board may authorize reimbursement of such lodging expenses when deemed necessary and in the best interests of the state. For example, it might be authorized if the travel home would present a hardship due to the age and health of the board member. When such payments are authorized, approval must be noted on the Travel Authorization.

A board or commission member, who is not a state employee, attending a board or commission meeting is entitled to a prorated M&IE if meals are not provided. To be eligible for each meal period allowance requires the member to be in attendance for at least three consecutive hours within that meal period as defined in AAM 60.250. See AAM 320 for when this allowance may be taxable to board and commission members.

State employees serving as board or commission members as part of their official duties are not entitled to an M&IE allowance or reimbursement for lodging expenses when the board or commission meeting is in the vicinity of their residence and/or Duty Station. (AS 39.20.180, AS 39.20.185)

AAM 60.190 Health and Safety of Travelers (01-10)

The health and safety of Travelers is a top priority in the conduct of state travel related activities. It is advantageous to the state for agencies to establish and alter travel plans and itineraries with consideration of hazardous weather and other situations that could threaten the health and safety of state personnel. When this occurs, Travelers should note the reason for any additional expense on the Travel Authorization.

Travelers with Physical and Medical Conditions

The impact of the medical conditions of Travelers on state travel should be considered on a case-by-case basis. For Travelers weighing over 300 pounds, the state can pay for two seats in coach class or one first class ticket, whichever costs less. Similar accommodations can be made for Travelers weighing less than 300 pounds if the airline requires the purchase of a second seat.

Compliance with the Americans with Disabilities Act (ADA) is mandatory. Each agency has the authority to provide reasonable accommodations during state travel for Travelers with disabilities. Decisions regarding specific situations not addressed by policy shall be made and documented by the agency, conferring with the Division of Personnel and Labor Relations as necessary.

All state personnel are to be afforded equal opportunity to perform travel for official state business even if the travel costs for disabled Travelers will exceed what would normally be most economical to the state. For example:

- When a Traveler uses a wheelchair and it is necessary to pay more for an airline ticket so the Traveler can fly on a larger airplane that can accommodate the wheelchair.
- When a Traveler has hearing or vision impairments and there is a cost of providing auxiliary aids and services to enable the Traveler to successfully accomplish the purpose of the travel.

All special needs of Travelers should be documented in their travel profile.

The extra travel costs required to comply with the ADA shall be documented and reviewed by the Division of Personnel and Labor Relations. ADA supporting documentation should remain confidential with no details on the Travel Authorization beyond a statement added indicating the agency file location.

AAM 60.200 Travel Related to Contracts (10-08)

Agencies are encouraged to require the policies of AAM 60 in the terms of their professional service contracts which include travel. When the state reimburses a contractor for travel under these policies, the travel account codes in the financial system may be used because the travel reimbursements are excludable under the rules governing IRS accountable plan.
When contract terms for travel reimbursement differ from the policies of AAM 60, or the contractor does not account to the state for travel costs, the services account codes must be used to ensure that travel reimbursements are reported as taxable income to the contractor.

AAM 60.210 Traveler Reimbursement (11-22)

All travel expenses incurred by State of Alaska employees will be reimbursed based upon collective bargaining contracts, Alaska Statutes, and this section of the Alaska Administrative Manual. Failure to follow State of Alaska travel policies may result in non-reimbursement or delayed reimbursement. If, in an emergency situation, it is necessary for a Traveler to deviate from travel policy (examples: booking outside of E-Travel or First Class fares) then a memo should accompany the travel packet explaining the circumstance.

Within five business days after travel is complete, the Traveler, or someone acting on behalf of the Traveler, is required to submit a completed travel packet including final trip receipts, evidence of pre- approval, and trip details to the financial entity responsible for processing final reimbursements.

- If the final amount to be reimbursed is $.49 or less, no reimbursement will be processed. If the final amount to be reimbursed is $.50 or more, the amount to be paid will be rounded up to $1.00.
- Any monies owed the state by the Traveler may be deducted from employee paychecks. Travelers can alternatively give a personal check or money order to the agency's fiscal office and a copy of the payment must accompany the travel packet.

If the Traveler is due an additional amount, final payment shall be certified within fifteen business days from when the financial entity responsible for processing final reimbursements receives a properly completed Travel Authorization expense report or final travel packet. Travel packets containing errors may delay travel reimbursements. Travel reimbursements are not subject to penalty pay or short pay provisions.

Depending on how the reimbursement is processed by the responsible financial entity, the Traveler will receive their travel reimbursement via their paycheck or direct deposit unless the Traveler chooses non-electronic payment, in which case a warrant will be mailed to the Traveler's personal address on file in the statewide financial system.

AAM 60.220 Travel Expenses – Required Receipts and Documentation (10-15)

The following shall be attached to the Travel Authorization expense report when submitted for final payment:

- Final itinerary.
- Itemized Commercial Lodging Facility receipts (short-term Per Diem).
- Receipts for expenses exceeding $50.
- ATM receipt for any cash advances on state charge cards.
- Rental car agreement.

Though receipts for expenses of $50 or less are not required, total reimbursement for which receipts are not available shall not exceed a cumulative total of $75 per trip.

Receipts are strongly encouraged. All expenses claimed are subject to review and reimbursement of unsupported expenses may be disallowed. Fraudulent claims will be subject to disciplinary action.

The following travel-related expenses are not reimbursable:

- Lost or stolen articles.

- Alcoholic beverages.
- Damage to personal cars, clothing, or other items.
- Services to gain entry to a locked car.
- Movies charged to hotel bills.
- All expenses related to the personal negligence of the Traveler, such as fines, parking tickets and traffic citations.
- Entertainment expenses.
- Tips and gratuities.
- Towing charges.
- Expenses for children, spouses, and companions while in Travel Status.
- Personal phone calls or faxes.

The above list is not all-inclusive.

AAM 60.230 Third Party Reimbursements (01-24)

Occasionally a third party (outside entity) may agree to pay all or a part of a Traveler's travel expenses. In such cases, the Travel Authorization will indicate the third party's involvement in the trip. The Traveler is only entitled to reimbursement for travel expenses, Per Diem or other expense allowances, etc., in accordance with state policies and is to be paid by the state agency for which they are traveling and/or employed. If a third party reimbursement is higher than what is allowed per state policies, the overpayment needs to be returned to the third party. Travelers may not accept honorariums as long as they are traveling for and representing the state.
The third party should be instructed to reimburse the state directly for the travel expenses to reduce potential tax consequences to the Traveler.

When this is not possible, any third party reimbursement made directly to the Traveler for travel expenses, Per Diem, and/or meal allowances shall be turned over to the Traveler's state agency for deposit into the state treasury.

Payments by a third party for state agency travel expenses must be recorded appropriately in the state financial system. If the travel is material to the agency's travel budget and is part of the agency's regular duties or is connected with carrying out the purpose of the agency, the costs must be recorded as an expenditure with an offset recorded as a revenue. If the state incurs the expenditure and is reimbursed by the third party, the reimbursement is to be recorded as revenue.

However, if the travel is not directly related to the state agency's program, is not a recurring event, or is immaterial to the agency's travel budget, this transaction does not need to be recorded as an expenditure and a revenue of the state agency. If the state incurs the expenditure and is reimbursed by the third party, the reimbursement may be recorded as an abatement. If the third party pays directly for state expenses, such as purchasing the airline ticket for the

Traveler, these expenses do not need to be recorded. However, any receipts obtained by the Traveler showing the cost of the airline ticket or lodging must be attached to the Travel Authorization expense report.

Any time a third party is paying for a Traveler's travel expenses, the state agency must avoid the appearance of or the fact of any conflict of interest. The agency should also ensure the transaction does not violate the code of ethics and if there is any question, the Department of Law should be consulted on the matter.

AAM 60.240 Lodging Types and Rates (09-23)

Travelers are permitted actual costs or an allowance for lodging and an allowance for meal and incidental expenses (M&IE). Refer to AAM 60.250 for policies on M&IE. The combined costs for lodging and M&IE are referred to as the Per Diem allowance. Where applicable, travel provisions of collective bargaining agreements supersede AAM Per Diem allowance policies and rates.

A Traveler is not entitled to a Lodging Allowance when provided lodging by the state or a third party with whom the state is conducting business.

Travelers are not entitled to a Lodging Allowance when staying in their own residence(s).

The term of a stay (short- or long-term), type of lodging facility, and location of overnight lodging determine applicable lodging types and rates. Agencies should take into consideration the length of stay in one location in determining the type of lodging accommodations.

For current lodging rates, refer to the State of Alaska Per Diem Rates published on the Division of Finance web site at: http://doa.alaska.gov/dof/travel/trav_acct.html.

In- and Out-of-State, Short-Term Lodging (Actuals or Allowance)

Travelers on short-term Travel Status in or outside of Alaska are eligible for reimbursement of actual lodging expenses. Actual costs for short-term lodging are authorized for moderately priced commercial lodging. Each agency must ensure that lodging costs are reasonable and necessary and that government or other discount rates are used. Travelers must submit original or scanned itemized commercial lodging receipts with their Travel Authorization expense report.

Actual lodging expenses that exceed $400 room rate per night, excluding taxes, must be approved in advance by commissioners or designee. All requests shall include justification that clearly demonstrates the lodging is a government rate and cannot be acquired for less than $400 per night. Quotes from a least three moderately priced hotels in the same vicinity should be included with the justification.

Travelers on short-term Travel Status in- and out-of-State are eligible for a daily noncommercial allowance:

- When the Traveler is required to stay in a community or location where Commercial Lodging Facilities and state- or vendor- provided facilities are not available.
- When the Traveler chooses noncommercial lodging in situations where Commercial Lodging Facilities are available.

In-State, Long-Term Lodging (Allowance)

Agencies should provide in-state long-term lodging accommodations when the assignment is expected to be longer than 30 days at any one location.

- The long-term commercial Lodging Allowance rate is authorized when a Traveler stays in Commercial Lodging Facilities.
- The long-term noncommercial Lodging Allowance rate is authorized when a Traveler is required to stay in a community or location where Commercial Lodging Facilities and state- or vendor-provided facilities are not available.

These rates apply beginning the first day of Travel Status. Brief interruptions for business or personal convenience do not change the status from long-term.

Out-of-State, Long-Term Lodging (55% of Federal Lodging Allowance)

The long-term lodging rate outside Alaska is 55 percent of the federal Lodging Allowance. A link to the federal Per Diem rates is located on the Division of Finance web site at: http://doa.alaska.gov/dof/travel/trav_acct.html.

Required Approvals for Short- and Long-Term Travel Assignments

The short-term Lodging Allowance rate may not be used after a Traveler's 30th consecutive day in one location unless a continuation has been approved in advance by the director of the Division of Finance.

When in-state Travel Status is expected to extend beyond six consecutive months in one location or out-of-state travel is expected to be 30 days or longer, the Traveler's agency must receive advanced approvals for the assignment and for use of the long-term lodging rate from the agency's administrative services division and the director of the Division of Finance. The approvals are requested on the Long-Term Travel Assignment form which has specific information required for the approvals. Particularly, continued Travel Status that extends beyond a year and requires the requestor(s) to justify why it is in the state's best interest to pay Per Diem rather than move the Traveler to the project location.

This form is published on the Division of Finance web site at:

http://doa.alaska.gov/dof/forms/resource/longterm.pdf.

See AAM 320 for a summary of tax implications related to state travel reimbursement policies.

AAM 60.250 Meals and Incidental Expense Allowances (07-24)

Meal and incidental expense (M&IE) allowances and prorated M&IE allowances are provided to the Traveler to cover the cost of meals and incidental expenses such as discretionary tips. Where applicable, travel provisions of collective bargaining agreements supersede AAM M&IE allowance policies and rates.

There are two types of M&IE allowances, short-term and long- term/noncommercial. The appropriate M&IE allowance rate for a day is the rate established for the community in which the Traveler is required to obtain overnight lodging. On the day of return, a Traveler is entitled to the M&IE allowance rate applicable for the preceding day. When travel involves crossing the International Date Line, the M&IE allowance shall be calculated based on the total number of hours in flight.

For current M&IE allowances, refer to the state Per Diem rates published on the Division of Finance web site at: http://doa.alaska.gov/dof/travel/trav_acct.html.

A link to the federal Per Diem rates is located on the Division of Finance web site at: http://doa.alaska.gov/dof/travel/trav_acct.html.

Short-Term M&IE (Allowance)

Travelers on short-term Travel Status in Alaska are eligible for a daily state M&IE rate.

Travelers on short-term Travel Status outside of Alaska, including travel to Hawaii and foreign destinations, are eligible for the daily federal M&IE rate for the location.

A Traveler is eligible for the short-term M&IE allowance rate in two circumstances: when a Traveler in short-term Travel Status is expected to incur expenses from dining at commercial establishments; and when a Traveler in long-term Travel Status will incur expenses from dining at commercial establishments because the Traveler is required to stay in a lodging facility that does not provide cooking facilities to its guests.

Long-Term M&IE (Allowance)

Travelers on long-term Travel Status in Alaska are eligible for a daily state M&IE rate.

Travelers on long-term Travel Status outside of Alaska, including travel to Hawaii and foreign destinations, are eligible for 55% of the daily federal M&IE rate for the location.

A Traveler is eligible for a long-term M&IE allowance in two circumstances: when a Traveler in long-term Travel Status, is expected to prepare meals; and when a Traveler is in short-term Travel Status in a location where there are no commercial dining establishments and they are expected to provide their own meals.

M&IE Rules for Specific Situations

Whenever a Traveler is in Travel Status and is entitled to reimbursement for lodging under both the short-term and long-term/noncommercial Per Diem rules, the Traveler is entitled to only the M&IE allowance that applies to the location where the Traveler is staying.

Travelers are entitled to the entire incidentals portion of the rate for each day or partial day in Travel Status unless all meals are provided.

If a Traveler maintains a dwelling at their destination and it is available to them, they will be entitled to only an M&IE allowance for normal workdays. An M&IE allowance for other than normal workdays is not allowed.

If a Traveler is temporarily returned to the Traveler's Duty Station while on a long-term assignment and is continuing to receive a long-term lodging Per Diem, the Traveler is not entitled to any M&IE allowance while at the Duty Station.

Prorated M&IE Allowances

On the initial day of departure and final day of arrival, the Traveler receives 75% of the daily M&IE allowance for the travel destination. The prorated M&IE allowance is applied to both meals and incidental expenses.

Travel Status Less Than 24 Hours, More Than 12 Hours

Travelers who are in Travel Status less than 24 hours but more than 12 hours and who return to their residence and/or Duty Station rather than obtaining overnight lodging at their travel destination, are entitled to 75% of the daily M&IE allowance for the travel destination.

Travelers who are normally scheduled to work more than 10 hours per day must be in Travel Status at least 2 hours more than their regular scheduled workday to be eligible for 75% of the daily M&IE allowance for the travel destination. See AAM 320 for details on taxability of such an allowance.

Meals Provided to Travelers

Occasionally, a Traveler is provided a meal while at a conference, training, seminar, etc., or as part of a lodging package such as at bed and breakfast inns (where the state is paying for actual lodging costs). It is the Travelers responsibility to accurately report consumed meals on the Travel Authorization expense report submitted for M&IE allowance. The signature of the Traveler certifies the facts on the Travel Authorization form and is sufficient to process the claim for payment.

Excluding the initial day of departure and final day of arrival the M&IE allowance must be reduced by the consumed meals reported by the Traveler on the Travel Authorization form. The prorated meal rates are published on the Division of Finance web site at http://doa.alaska.gov/dof/travel/resource/rates.pdf.

AAM 60.260 Contracting for Subsistence (07-05)

The state may enter into agreements with restaurants, hotels, and lodging houses to furnish subsistence to a Traveler or groups of Travelers when in the best interest of the state (AS 36.30). A contract for subsistence must comply with appropriate procurement regulations. Such agreements require the vendor to provide itemized invoices for services.

ALASKA ENERGY AUTHORITY

MEMORANDUM

TO: AEA Staff

FROM: Curtis Thayer

DATE: July 19, 2024

RE: Travel Planning, Travel Requests and Travel Authorizations

Alaska Energy Authority (AEA) adopts the following updated travel authorization guidance effective immediately:

Travel Plan Consideration:

1. AEA shall continue to use the same essential purpose criteria when evaluating travel requests and all travel should meet one or more for the following criteria:
    a. Federal Mandate
    b. State Mandate
    c. Promoting Governor's Priority
    d. Promoting or supporting Authorities' core mission(s)
    e. Life/Safety/Health/Emergency
    f. Third-party payer with benefit to the State – identify the specific Governor priority/agency core mission(s) benefit
    g. Compliance Requirement(s)
2. AEA primarily identifies the National Association of State Energy Officials (NASEO) as the primary membership organization for conferences, trainings and opportunities to inform AEA on management and policy priorities, interface with peers on public policy ideas and share best practices, to the benefit of the State.
    a. Executive Director's out of state travel will be focused on participating in NASEO events.
    b. Executive Director encourages AEA Directors and staff, as subject matter experts, to participate in NASEO events that benefit the Authority and the State, subject to the travel requirements.
    c. Membership paid and or conference fees associated with a trip should be noted for reference on the travel plan.
3. All travel shall be subject to the same requirements and criteria regardless of the source of the funds.

Travel Adjustments and Waivers:

Following the approval of AEA's travel plan, modifications for in state and out of state travel will be approved by the Executive Director, with the following exceptions outlined below:

1. All international travel must be submitted to Board Chair and to gov.cos.travel@alaska.gov for consideration with a justification on how it benefits the State, even if listed on the approved travel plan.

813 W Northern Lights Blvd, Anchorage, AK 99503 • **Phone:** (907) 771-3000 • **Fax:** (907) 771-3044 • **Email:** info@akenergyauthority.org

2. Travel waiver requests must include the specific criteria evaluated and met, and a justification regarding the benefit to the State; travel waiver requests received with no justification will not be considered.

Travel Planning and Processing:

AEA will use the updated travel plan development and approval process as outlined below:

1. AEA will develop the annual travel plan using the updated Office of Management and Budget (OMB) template.
2. AEA travel plan will be submitted to OMB by June 1st for OMB and Governor's Office review and approval prior to the start of the new fiscal year.
3. AEA Travel coordinator(s) will assign a unique Travel Authorization number for all travel.
4. AEA travel will process all travel through the established AEA Travel Request / Travel Authorization / Travel Reconciliation process, which adheres to the State of Alaska Travel Policy. *(AEA does not use IRIS for expenditures and revenues or use the TRQS/TAPO process).*
    a. AEA staff travel will be approved by Department Director and AEA Executive Director. (In State / Out of State).
    b. AEA Executive Director is responsible for all AEA travel.
    c. AEA Board Chair will approve AEA Executive Director out of state travel.
    d. All international travel (for all employees) will be approved by Executive Director, Board Chair and Governor's Office. (See above *"Travel Adjustments and Waivers"*).
    e. AEA Board travel will be approved by Executive Director and Board Chair.
    f. All travel not on the approved travel plan requires justification and approval by AEA Executive Director.
    g. Travel requests must be submitted at least 7 days in advance of travel.
    h. The following changes to in-state trips on the travel plan do not require re-approval:
        - Traveler name unless it is changing to a Director from a staff member.
        - Trip dates if the length of the trip does not change by more than 1 day. (NOTE: Rural travel may require a travel window for weather considerations).
        - Destination for in –state trips.
        - Cost difference of $500 or less.
        - Purpose of trip as long as the general purpose remains consistent with the travel plan.
        - Changes to the travel plan are managed on a per trip basis. Any travel request that deviates from the approved travel plan must be noted and addressed in the travel request.
4. Travel in support of and funded by capital projects follows the same process as travel funded from the operating budget.
5. Department Directors will need to monitor their travel costs against their approved travel budget.

Travel Budget:

AEA is responsible for tracking the travel budget and staying within its annual budget submitted to and approved by the Office of Management and Budget (OMB).

1. AEA will monitor its annual travel plan to ensure it is staying within the approved plan and is exercising all cost saving measures possible. Examples are: (a) sending only one employee to a conference; (b) attending events remotely; (c) taking advantage of early registration; (d) purchasing transportation tickets in advance; (e) third party reimbursements.
2. Expenditures in excess of the AEA's travel budget require Office of Management and Budget (OMB) and Board Chair approval. A justification memo directed to the OMB Director is required, along with the appropriate transaction to adjust their travel.
3. AEA is expected to track travel and to provide per trip reports on the travel upon request.

Cc: Julie Sande, Commissioner, Department of Commerce, Community and Economic Development.

Part IV: APPENDIX F

F: OFFICE AND EMPLOYEE CONDUCT POLICIES

This Appendix includes the following:

F.1 Expenses: Food, Entertainment, Gifts

F.2 Meeting Rooms Policy

F.3 Recording Meetings Policy

F.4 Social Media

F.1 EXPENSES: FOOD, ENTERTAINMENT, GIFTS POLICY

Topic: Food, Entertainment, Gifts		PP No: 060-050
Original Effective Date: June 3, 2005	Number of Pages: 1	Revision Dates: February 29,2016 September 24, 2024

Authorization:	
Curtis Thayer, AEA Executive Director	Curtis E. Thayer

Policy

Authority staff or board members may incur expenses for food, entertainment, and gifts to further the Authority's mission. The expenditures must not exceed a reasonable amount for the circumstances.

This policy applies to the following:

1. Board Meetings
2. Authority's participation in external community relations events like Chamber of Commerce, Economic Development Council, Alaska Municipal League, etc.
3. Business meeting meals when hosted by an employee or board member and to which non-employees and business associates are invited.
4. Internal Employee meals hosted in conjunction with staff meetings and business.
5. Gifts should be of nominal value and given only when it is customary and appropriate under specific circumstances. [i.e., visiting foreign delegations]
6. In compliance with the State of Alaska Drug-Free Workplace Act of 1988, the purchase of alcoholic beverages will not be approved or reimbursed

Procedure

The Executive Director will approve all purchases and payments under this policy. An employee, other than the Executive Director or Board Chairman, must receive prior approval to make purchases under this policy. Approval from the Executive Director should be attached to the original receipts with a brief, written explanation of purpose and submitted to Finance [using the petty cash reimbursement form, a check request, or small procurement request form].

F.2 MEETING ROOMS POLICY

Topic:		PP No:
Meeting Rooms		030-002
Original Effective Date:	Number of Pages:	Revision Dates:
October 20, 2009	1	March 4, 2014 September 26, 2024

Authorization:	
Curtis Thayer, AEA Executive Director	

Policy

The use of the Authority's meeting rooms is restricted to Authority business use during regular work hours 8:00 a.m. to 5:00 p.m. Business use is defined as a meeting with an employee or hired consultant in attendance dealing directly with Authority business.

The Authority Board meeting will take precedence over any meeting that may be scheduled in the board room. If there is a conflict, the organizer of the meeting to be moved will be contacted by an Authority Executive Assistant and asked to reschedule or move to another available room.

Authority business meeting organizers are responsible for making arrangements for the room to be cleaned up after a meeting: shut down electronic equipment properly, wipe off the white boards, remove coffee cups, dishes, lunch items, and turn off the lights.

Personal use of meeting rooms is considered incidental and available for staff on a case by case basis outside of business hours and with prior approval by the appropriate Executive Director.

The building cannot be used at any time for political or personal business purposes. An employee of the Authority must be in attendance and is responsible for cleaning the room after the meeting, coffee pots and lights are turned off and ensuring the front doors are locked. Long distance telephone calls are prohibited. Coffee is not provided and therefore groups should bring their own.

F.3 RECORDING MEETINGS POLICY

Topic: Recording Meetings		PP No: HR-006
Original Effective Date: October 20, 2017	**Number of Pages:** 2	**Revision Dates:** February 29,2016 September 26, 2024

Authorization:	
Curtis Thayer, AEA Executive Director	

Policy

This policy applies to all meetings, with the exception of public meetings (Board, BPMC, EETFAC, IMC, REFAC[1]) where meeting minutes are required for public disclosure and record keeping.

This policy applies to in-person, virtual, and/or teleconference meetings, or any combination of thereof, where Authority employees are present and the topic includes Authority business. Authority business includes, but is not limited to, department meetings, performance meetings, coaching and/or disciplinary meetings, or any other meeting deemed by management to include Authority business.

In order for the Authority to function effectively, we encourage candid communications. A frank and candid expression of views may be chilled if employees are concerned that conversations with other employees are being recorded. In light of these considerations, the Authority prohibit the recording of conversations without prior authorization.

Prior authorization must first be received from a member of the Executive Management Team, or their direct reports, if delegated such authority. Additionally, consent must be received from all parties to the conversation before recording is allowed. It is the responsibility of the meeting organizer to notify the participants of the intention to record the meeting. Likewise, it is the responsibility of the meeting leader to obtain consent of all the actual participants before the recording starts, and during the meeting for those who join at a point after the recording has started.

From time to time, communications in the workplace may include confidential or privileged information. Oral communications, once taped, will constitute a public record and may be subject to a Public Records Act request or be construed as evidence subject to a litigation hold.

Meetings* that are not good candidates for recording include, but are not limited to, the following:

- Meetings that include deliberative and privileged information;
- Meetings where negotiation tactics may be discussed;
- Meetings that contain confidential business information protected from disclosure per AS 44.88.215

*This policy is not intended to prevent employees from engaging in lawful concerted activities.

It is a requirement of this policy, for any meeting that is important enough to be recorded, that the minutes of the meeting be transcribed and retained in compliance with the record retention requirements.

Violation of this policy may lead to disciplinary action, up to and including dismissal.

Employees with any questions regarding this policy should see Human Resources.

[1] including but not limited to:

- Board – Authority Board Meetings
- BPMC – Bradley Project Management Committee
- EETFAC – Emerging Energy Technology Fund Advisory Committee
- IMC – Intertie Management Committee
- REFAC – Renewable Energy Fund Advisory Committee

F.4 SOCIAL MEDIA

The Authority use social media is to provide information to the public and to engage the public in a civil dialogue regarding information about the Authority. Therefore, this policy applies to all uses of social media by all Authority employees, including any social media platforms currently in use by the Authority, unless an exception is made by the Executive Director.

The personal use of social media is covered later in this policy.

Administrators

The Communications Director for the Authority will serve as the administrator of the Authority's social media needs and will be responsible for account creation, account management and compliance. The Authority's Human Resources department will serve as a repository for account names, passwords, etc. serving only as an alternative during times of transition.

1. The administrator will be responsible for obtaining approval from the Executive Director prior to opening a new business/Authority social media account and only with those providers that comply with State and Federal laws. A list of social media sites in use by other State of Alaska agencies can be found at https://www.alaska.gov/socialmedia.html.
2. The administrator will be responsible for reviewing each request to create a social media account and will be responsible for discussing such request with the Executive Director. The approval from Executive Director is required prior to the creation of an account, or the request to use a personal account for Authority business (i.e. job postings).
3. Whenever possible, only Authority owned accounts should be used.
4. The administrators will keep a record of the names, user names, and passwords of the accounts used on behalf of the Authority.
5. The administrators will ensure each has administrative access to every page maintained by the Authority;
6. The administrator will ensure that any staff responsible for Authority authorized social media accounts follow the social media related legal requirements and the State of Alaska/Authority related policies on social media.
7. For each approved account, the following applies:

    A. In creating business accounts, each employee must use their official job title, their work email address, and their contact information.
    B. The Authority, not the employee who creates or administers the business account, retains all rights regarding the account. Upon separation from employment with the Authority, or a change in job responsibilities, the employee must immediately stop administering the Authority's account.
    C. Not create multiple accounts if doing so would violate the provider's terms of service.
    D. If a social media provider allows only one account per individual to use that social media provider's site, an employee with an existing personal account must use that personal account to create a business page or to otherwise use the site.
    E. Prior approval from the Communications Director/Executive Director is required before converting a business account to a personal account.
    F. Prior approval from the Communications Director/Executive Director is required before

deleting inactive business accounts.

Creation and Management of Approved Social Media Pages

1. Only those employees with prior approval from the Executive Director/ Communications Director may create and administer pages for the purpose of making **posts** or receiving **comments** (i.e., as opposed to making comments on or gathering information from the social media pages of other individuals or entities).
2. Each page creation requires approval before the page is created.
3. In creating a page, the employee must ensure the following:
   A. Each page displays the Authority's name, the Authority's general office contact information, and the Authority's general email address;
   B. prominently state on each page that the page is maintained by the Authority;
   C. whenever possible, prominently state the following on each page: "For more information about the Authority, please visit [URL]";
   D. as soon as a page is created, notify the Communications Director that the page was created; and
   E. obtain approval from the Communications Director/Executive Director prior to deleting an inactive page.
4. The Authority, not the individual employee, retains all rights regarding the page. Upon the separation from employment with the Authority, or a change in job responsibilities, the employee must immediately stop administering the page.
5. The Authority webmaster and/or the Communications Director must maintain on the Authority's Internet site a directory of active Authority social media pages.

Page Content

Employees who are authorized to create and/or monitor social media content must:

1. Monitor all comments and if possible, screen comments for prohibited content (addressed in the next section of this policy) before comments are posted.
2. While on leave, ensure that another authorized employee monitors all comments.
3. Allow all comments except ones that contain prohibited content; otherwise, disable all comments. If doubt exists regarding whether a comment contains prohibited content, consult with the Authority's General Counsel for guidance. If the Authority's General Counsel is not available, confirm with the Executive Director before reaching out to the Department of Law for guidance.
4. If the social media platform allows, universally and promptly remove entire comments (i.e., do not edit or hide comments) that contain prohibited content (addressed in the next section of this policy), but retain the removed comments in accordance with the SOA Retention of Public Records, which can be found in Appendix D of this manual.
5. If using filters to identify potentially prohibited content, promptly review the automatically flagged, hidden, or removed content to determine whether the flagged content should be removed, hidden content should be restored or removed, and removed content should be restored.
6. If reasonable under the circumstances, when a comment is removed, post the following or a substantially similar statement: "[USER NAME]'s comment was removed for containing content prohibited under the Notice."

7. Except to block spam, obtain the Authority's General Counsel's approval before blocking a commenter for including prohibited content. If the Authority's General Counsel is not available, confirm with the Executive Director before reaching out to the Department of Law for guidance.
8. Retain posts and comments in accordance with the SOA Retention of Public Records, which can be found in Appendix D of this manual.
9. Only post content that is authorized. For example, do not post content, such as a seal or a logo that might affect a proprietary right, such as a copyright or trademark, of the State, the Authority, or any other person without the Communications Director's approval.
10. As appropriate, post on the Authority's website new content posted on a social media site.
11. Post a correction (as soon as possible) upon learning that a post contains incorrect or misleading content.
12. And comply with the Commenting section below.

Posted Notice
If a page allows comments, prominently post the notice below:

NOTICE OF PROHIBITED CONTENT

The sole purpose of the Alaska Energy Authority's (AEA) use of social media is to provide information to the public and to engage the public in a civil dialogue regarding only that information. AEA may remove any comment that wholly or partially does not relate to its post; contains obscene, indecent, or profane language; may compromise safety or public welfare; may violate a State or Federal law, including laws that protect privacy, proprietary, reputational or other rights; or contains a link or attachment that may compromise a system or equipment. If your comment includes prohibited content, the Authority may temporarily or permanently block you from commenting on the page. This platform and any messaging system on this platform will not be recognized by AEA as a means for submitting any request, notice, or comment that AEA is legally obligated to consider or respond to; visit AEA's website for contact information. The following link contains other critical information concerning your use of this page, including your potential liabilities:

http://doa.alaska.gov/ resources/socialMediaPolicy.html.

Commenting
Only AEA employees who are authorized, in writing, by the Executive Director/ Communications Director, to comment on behalf of the Authority may do so. They may comment only on the sites expressly authorized to comment and must:

- Identify themselves as an Authority employee.
- Use their official titles and contact information.
- Comply with all State and Federal laws.
- Comply with this policy, including the Prohibited Content provision of the Notice above, and all other applicable Authority and State policies.
- Comply with the social media provider's most current terms of service.
- Be professional, considerate, and respectful.

- Ensure all of their statements are factually accurate and not misleading.
- Not express personal opinions.
- Use only Authority authorized accounts and pages for Authority business.
- And not provide personal information (e.g., home phone numbers) about any individual.

Record Retention

Posts, comments, and responses to comments are records under AS 40.21.150(6). Therefore, the Authority must retain posts, comments (including removed contents), and responses in compliance with the SOA Retention of Public Records, which can be found in Appendix D, of this manual.

Security

The Authority's use of social media must comply with the State of Alaska's policies on Business Use/Acceptable Use (ISP-172) (see **Appendix D.3**) and the requirement to use strong passwords. The Communications Director must change passwords, remove profiles, or both whenever a person should no longer have access to a social media account or page. A current State or Authority network password must not be used as a password for any social media site.

Personal Use of Social Media

This policy addresses the work-related use of social media, not its off-duty, personal use. Nothing in this policy prevents employees from using their personal social media accounts to communicate an opinion on a matter of public concern; to engage in concerted activities for mutual aid or protection; or to exercise their right to file a complaint of discrimination or other workplace misconduct.

However, you should be mindful that even your personal use of social media must comply with all applicable laws and policies, such as the Alaska Executive Branch Ethics Act (AS 39.52) and its implementing regulations, and the Office of Information Technology's Business Use/ Acceptable Use Policy (ISP-172), included in **Appendix D.3**.

For example, an employee should not use an Authority or state email address when using social media in a personal capacity. Additionally, in using any social media for a personal purpose, there are circumstances when a reasonable person might mistake your statements or actions (e.g., "likes" or retweets) as statements or actions on behalf of the Authority, such as when you identify yourself as an employee of the Authority on the social media platform. You should consider including a disclaimer in these circumstances that clarifies that your statements and actions (1) are your own and (2) do not necessarily represent the State's positions.

The Ethics Act further prohibits state employees from sending messages through social media that advocates for a political party or candidate for partisan public office while on duty or in an Authority/State building. Engaging in such activity may result in disciplinary action. There is no distinction regarding the amount of political content, nor regarding the number of people receiving the message. Employees who telework, regularly or periodically, are considered to have the same on-duty status as if they were at the office or regular work location. Employees who work irregular hours are considered to be on-duty any time they are performing official duties.

Employees may not engage in monetized personal social media activity that would conflict with their official duties. Employees are required to notify the Authority/Human Resources of any outside employment so a determination can be made if such employment results in an ethics violation.

This policy is not intended to prevent employees from discussing or sharing Authority information that is publicly available. Employees may not, however, accept compensation for statements or communications made over social media that relate to their official duties.

If you have any questions about this section of the policy or about any other off-duty activity and whether the activity could relate to your job, contact Human Resources.

Enforcement

Violation of this policy may result in disciplinary action, up to, and including, dismissal.

Definitions

Communications Director – The department Director unless another position is designated by the Executive Director.

Comment - Content, including attachments and links, in response to a post.

Page - The location of an individual's or entity's presence on a social media site.

Post - Initial content, including attachments and links.

Record- "Record" as defined in AS 40.21.150(6).

Social Media Provider - Entity that hosts a social media site.

Social Media - Communication on Internet sites. Examples of locations where social media occurs include the following:

- blogs and microblogs;
- wikis;
- forums;
- social networking sites (e.g., Facebook, LinkedIn, and Twitter/X);
- social hosting sites (e.g., for document, photo, audio or video sharing, or for social bookmarking);
- real-time web communication sites (e.g., chat rooms);

- widgets; and
- interactive areas of any Internet sites, such as where comments are posted on news media sites.

Spam - Obvious electronic junk.

Terms of Service - A social media provider's rules governing the use of its site.

ALASKA ENERGY AUTHORITY

Employee Policies and Guidelines

Alaska Energy Authority
813 W Northern Lights Blvd.
Anchorage, AK 99503
Phone: (907) 771-3000
Fax: (907) 771-3300
Email: info@akenergyauthority.org