



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT  
 Division of Libraries, Archives and Museums  
 Archives and Records Management Services  
 141 Willoughby Avenue  
 Juneau, AK 99801-1720  
 465-2276/Voice; 465-2465/Fax

STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Schedule Number: 112004

Agency ID #: 365

Page 1 of 8

DEPARTMENT OF FISH & GAME

COMMERCIAL FISHERIES ENTRY COMMISSION

KEY

- A - After Audit
- CFY - Current Fiscal Year
- CY - Current Year
- P - Permanent
- Numerals - Years in Addition to current year
- TO - Term of Office
- M - After Microfilming
- C - Current/or as defined

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

Unless otherwise indicated all records series are nonconfidential. This records schedule supercedes #112003.

Statutory Authority: AS 16.43.010 - .990. Many of the prescribed retention periods are longer than usual due to application processes that may span decades in adjudicated cases. Although fishermen are supposed to keep their own records, they often rely on CFEC for license documentation.

The Commercial Fisheries Entry Commission (CFEC) is an independent quasi-judicial, regulatory agency of the state, whose purpose is to "...promote the conservation and sustained yield management of Alaska's fishery resources and the economic health and stability of commercial fishing in Alaska by regulating and controlling entry into the commercial fisheries in the public interest and without unjust discrimination." [AS 16.43.010(a)]. NOTE: Under 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their prescribed retention period. This requires taking into account the issues of refreshing, migration, security duplicates; and, analog/digital crosswalks in planning, implementing, and administering the electronic system. Back-ups produced for system recovery purposes do not serve a recordkeeping function and do not substitute for security copies of records.

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

Division Director	State Archivist	Date	Attorney General	Date
Frank Homan, Commissioner	<i>[Signature]</i>	4/4/06	Craig Tillery	3/9/06
Signature of Division Director	Records Analyst	Date	Commissioner of Administration	Date
<i>[Signature]</i>	D. Dawson	2/24/06	<i>[Signature]</i>	3/29/06

# RECORDS RETENTION SCHEDULE CONTINUATION

SCHEDULE NUMBER 112004

Page 2

Agency ID 365

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p><b>GENERAL ADMINISTRATIVE RECORDS:</b></p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing &amp; Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>CFEC staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies maintained on any media may be destroyed as soon as administrative/management need is met.</p> <p>The General Schedule may be accessed on the Archives &amp; Records homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>
2	<p><b>Reading File (Electronic):</b></p> <p>(CD):</p> <p>Arranged by author.</p>	C	-	-	C	X	<p>C=Until administrative/management need is met. Justification for 35-year Retention: The CFEC has determined that a 35-year retention is necessary for legal purposes. A CD will be transmitted annually to the Records Center. The CFEC will ensure that proper safeguards and procedures are in place to facilitate access for 35 years, including refreshing media and migrating information to new applications/technologies/media.</p> <p>Copies of the Licensing Supervisor's reading files are also in the permitting files.</p>
3	<p><b>Final Budget Submissions File:</b></p> <p>Arranged chronologically.</p>	10	-	-	10		<p>Refer also to the GRS, Budget Preparation Records, Items 1-3.</p>

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER**

**112004**

**Page 3**

**Agency ID**

**365**

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<b>ROUTINE DATA PROCESSING RECORDS (Production Requests):</b>  (Reports):  Requests are from government offices and fishermen, including printouts.  Arranged chronologically.	1	4	-	5	Some data from this records series is administered electronically (Batch Processing).  The Routine DP Report is also known as the Tape Control Report.	
		2	-	-	2		
5	<b>Special/Research Data Processing Requests &amp; Reports:</b>  These are one-time requests.  Arranged alphabetically or chronologically as appropriate.	C	15	-	C+15	C=Until administrative/management need is met. Some data from this records series is retained only in electronic format.  Confidential under 20 AAC 05.1930.  Annual accrual rate is approximately 4 cubic feet.	
6	<b>Production Projects:</b>  Internal program output documentation.  Arranged alphabetically by subject.	C	15	-	C+15	C=Until administrative/management need is met. Some data from this records series is retained only in electronic format.  Confidential under 20 AAC 05.1930.  Annual accrual rate is less than 1 cubic foot.	

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER**

**112004**

**Page 4**

**Agency ID**

**365**

**Retention**

**Disposition**

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p><b>Research &amp; Reference Files:</b></p> <p>This series consists of permit transfer survey, processor's intent to operate files, special projects, pricing information, correspondence, backup material, fiscal modeling, distribution studies and Board of Fisheries reports.</p> <p>Arranged alphabetically by subject.</p>	C	15	-	C+15		<p>C=Until administrative/management need is met.</p> <p>Some files may be confidential under 20 AAC 05.1930.</p> <p>Annual accrual rate is approximately 4 cubic feet.</p>
8	<p><b>Fishery Limitation Files:</b></p> <p>Consists of petitions, informal meeting tapes, memoranda, correspondence, point scheme proposals and backup materials. This records series constitutes a significant part of the State's history in fishery limitations.</p> <p>Arranged alphabetically by fishery.</p>	C	-	P	-		<p>C=Until administrative/management need is met.</p> <p>Some files may be confidential under 20 AAC 05.1930.</p> <p>Annual accrual rate is less than 1 cubic foot.</p>
9	<p><b>Request for Application Forms--Yellow Cards:</b></p> <p>These yellow cards were sent out in a one-time mailing in late 1974 and subsequently returned to CFEC.</p> <p>Arranged alphabetically.</p>	C	-	-	C		<p>C=Until administrative/management need is met.</p>

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER 112004**

**Page 5**

**Agency ID 365**

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
10	<b>Entry Permit Applications (Denied):</b>	35	-	-	35	X	Justification for 35-year Retention: High administrative reference need.  C=Until transferred to Item 18, Permanent Licensing File. Some data from this records series is input into the Licensing System.  Some files may be confidential under 20 AAC 05.1930. CFEC no longer generates microfiche. A workcopy is maintained onsite. Annual accrual rate is approximately 3 cubic feet.
	(Issued):	C	-	-	C		
	(Master Microfiche):	-	35	-	35		
	Records series consists of correspondence, classification notice, denied application, certified mail affidavits and requests for hearings.  Arranged alphabetically by applicant name within fishery.						
11	<b>Applications for Commercial, Gear &amp; Vessel License (DR230) (1966 - 1974):</b>  CFEC reviews the applications to determine previous participation in a fishery and verify correct licensure. Includes the ADF&G number and salmon landing books.  Arranged alphabetically (1966 - 1968; 1974); by location number (1969 - 1973).	35	-	-	35	X	Justification for 35-year Retention: Legal need.  ADF&G: Alaska Department of Fish & Game.  Some data from this records series is input into the Licensing System.
12	<b>Licenses for Commercial, Gear &amp; Vessel (1965 - 1977):</b>  License copies.  Arranged alphabetically.	CY	35	-	CY+ 35	X	Justification for 35-year Retention: Legal need.  Some data from this records series is input into the Licensing System.

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER** 112004

112004

**Page** 6

**Agency ID** 365

365

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
13	<p><b>Commercial Fishing License File:</b></p> <p>Commercial (DR234); Gear (DR233); Vessel (DR232) licenses (1965). Commercial; vessel licenses (1978 - present).</p> <p>Arranged alphabetically.</p>	35	-	-	35	X	<p>Justification for 35-year Retention: Legal need.</p> <p>Some data from this records series is input into the Licensing System and Bristol Bay Vessel Registration.</p>
14	<p><b>Reference Documents:</b></p> <p>Licensing/landing records, data sheets, application logbooks, vessel registers (1960 - 1977).</p> <p>Arranged as appropriate to material.</p>	C	-	-	C		C=Until updated.
15	<p><b>FISH TICKETS</b> <b>(All Except Halibut):</b></p> <p>(Halibut):</p> <p>Fish tickets document landing information (species, poundage, catch location, by whom, etc.) and are completed by the Processor. The processor retains the white original; the fisherman retains the pink copy; the yellow copy is submitted to the area ADF&amp;G office. Area office staff enter data into the Fish Ticket System, which is searchable by social security number, permit number and vessel number.</p>	-	45	-	45	X	<p>Justification for 45-year Retention: Legal need.</p> <p>Confidential under 20 AAC 05.1930.</p> <p>Annual accrual rate is approximately 130 cubic feet (All Except Halibut) and approximately 3 cubic feet (Halibut). The Department supplies the four-part forms to the Processor; the goldenrod copy is usually kept by the Processor, but sometimes provided to the fisherman. Local office staff stamp a sequential number on the yellow copy at time of data entry.</p>
		2	43	-	45		

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER**

**112004**

**Page 7**

**Agency ID**

**365**

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
16	<p><b>ADJUDICATORY HEARING TAPES/LOGS (Masters):</b></p> <p>(Duplicates):</p> <p>Adjudication hearings conducted by paralegals, hearing officers and/or Commissioner.</p> <p>Arranged numerically.</p>	C	20	-	C+20	X	<p>C=Until duplicate is made.</p> <p>Justification for "C+20" Retention: Legal need.</p> <p>Annual accrual rate is less than 1 cubic foot.</p>
		20	-	-	20		
17	<p><b>Judicial Appeal Case Files (Superior &amp; Supreme Court):</b></p> <p>This series consists of summaries, complaints, answers, motions, orders, pleadings, response to requests, opinions, affidavit of mailing, brief and final judgment.</p> <p>Arranged alphabetically.</p>	C	20		C+20		<p>C=Until case is settled.</p> <p>Justification for "C+20" Retention: Legal need.</p> <p>Annual accrual rate is less than 2 cubic feet.</p>
18	<p><b>PERMANENT LICENSING FILES (1975 - present):</b></p> <p>(Master Microfiche, 1974 &amp; prior):</p> <p>Annual filings, renewals relating to vessel licenses and transfer documents.</p> <p>Arranged alphabetically.</p>	3	22	-	25	X	<p>Some data from this records series is input into the Licensing System.</p> <p>Some files may be confidential under 20 AAC 05.1930.</p> <p>Annual accrual rate is approximately 15 cubic feet.</p>
		P	-	-	-		

**RECORDS RETENTION SCHEDULE CONTINUATION**

**SCHEDULE NUMBER 112004**

**Page 8**

**Agency ID 365**

**Retention**

**Disposition**

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
19	<p><b>Investigation Files:</b></p> <p>These files confirm and resolve questions of residency. Consists of voter registration, property tax, utility records, State and federal income tax documents, business license, telephone company information, driver and vehicle license.</p> <p>Arranged numerically.</p>	C+2	15	-	C+17		<p>Confidential under 20 AAC 05.1930.</p> <p>Annual accrual rate is approximately 5 cubic feet.</p>
20	<p><b>REGULATIONS (Regulation Files):</b></p> <p>(Backup Materials):</p> <p>Regulation files include proposed regulations, drafts and regulations as filed in the Lt. Governor's Office. Backup materials consists of notices, hearing tapes, written public comments, notes, memoranda and correspondence.</p> <p>Arranged chronologically.</p>	C+30	-	P	-	X	<p>C=Until regulation is implemented.</p> <p>Records transferred to the state archives may be sampled unless transferring authority recommends otherwise.</p>
21	<p><b>Statute Files:</b></p> <p>Proposed statutes, drafts and statutes as enacted. Includes letters, correspondence and CFEC backup.</p> <p>Arranged chronologically.</p>	C+30	-	P	-	X	<p>Records transferred to the state archives may be sampled unless transferring authority recommends otherwise.</p>