



Department of Education and Early Development  
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# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 659      Schedule No: 11-659.1**

DEPARTMENT OF FISH AND GAME  
 DIVISION OF COMMERCIAL FISHERIES  
 659 - INFORMATION SERVICES SECTION

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.

Certain information administered by the Information Services Section may be confidential under AS 16.05.815. This schedule supersedes #113600.

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.

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.

Division Director	Signature of Division Director		Date
Jeff Regnart	*		6/14/12
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
Alan Birnbaum*	10/8/12	Scot Arehart*	8/24/12
State Archivist	Date	Records Analyst	Date
Dean Dawson*	8/28/12	Gordon E. Brown*	8/27/12

\* = Original signatures held on file.

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Batch Lists/Phone Logs/Shipping Receipts</b>                      Batch listings of issued permits, phone conversations and instructions provided and shipping receipts of items mailed to the industry.</p>	H	3		
<p><b>002 - Commercial Operator's Annual Reports (COAR)</b>                      Operators are required per 5 AAC 39.130 to submit accurate and complete summaries of activity for each Intent to Operate (item #003) permit issued. This series includes buying and production information for all permit types required to file a COAR report.                       Arranged by processor code.</p>	H & E	PA	Y	Data from this report series is entered into the ENCOAR database. It provides economic data regarding buying and production values used by the department, other state and federal agencies and outside inquirers. Ex-vessel and first wholesale values are calculated from this data set.  Certain data may be confidential under AS 16.05.815.
<p><b>003 - Intent to Operate (1997 to Present)</b>                      The Department of Revenue, Fisheries Business License Section, transmits the approved applications via download to the Department of Fish and Game. The applications have facility/vessel intended activities, area of operation and mailing address.                       Arranged by processor code.</p>	H	3		Data from this report series is entered into the ENCOAR database. It provides economic data regarding buying and production values used by the department, other state and federal agencies and outside inquirers. Ex-vessel and first wholesale values are calculated from this data set.

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.

<p><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>004 - Intent to Operate (Prior to 1997)</b>                      Applications submitted to the Department of Fish and Game directly for information regarding: business and processing activity, facility/vessel, fishery area, code plate and fish tickets requested and signature.</p> <p>Arranged alphabetically.</p>	E	PO	Y	<p>In 1997 Department of Revenue and the Department of Fish and Game combined the Intent to Operate applications to satisfy requirements for both agencies. All applications submitted to Department of Fish and Game prior to 1997 will be retained permanently as electronic files.</p> <p>Applications prior to 1997 have been captured electronically and are stored on the network in the Seafood Industry Coordinator folder.</p>
<p><b>005 - Request Forms</b>                      Includes the following request forms: Fish Ticket Data Report Request, Request for Release of Fish Ticket Data to a Third Party and Request for Release of Processor Information.</p> <p>Arranged alphabetically by requestor's last name.</p>	H & D	3		Requests are electronically logged in Report Tracker in Microsoft Access.
<p><b>006 - Certified Record of Naming a Company Agent</b>                      Authorized representatives certify they meet the requirements set forth in 5 AAC 39.130 to operate as a legal processor or primary fish buyer.</p> <p>Arranged numerically by processor code.</p>	H	3		
<p><b>007 - Special Applications</b>                      Includes the following types of applications: Fish Transporter Permit, Independent Buyer Permit, Waivered Buyer Permit and Catcher/Seller Permit.</p> <p>Arranged numerically by processor code.</p>	H & E	20		

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>008 - Applications Not Assigned a Processor Code</b>                      This fileset relates to items #003, #004 and #007. They are applications received that are never permitted and for which no processor code is assigned.</p>	H & E	1		
<p><b>009 - Processor Capacity Surveys</b>                      Processors may be required per 5 AAC 39.132 to provide estimates of their maximum processing capacity for the upcoming fishing season. This series includes survey mailing lists, survey forms and processor responses, summary reports of survey results, survey database files, and other report comparing survey results to actual processing capacity.                       Arranged alphabetically by company name.</p>	H & E	10		

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.

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