



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 Division of Libraries, Archives and Museums
 Archives and Records Management Services
 POB 110525, 141 Willoughby
 Juneau, AK 99811-0525
 465-2245; 465-2276/Voice; 465-2465/Fax

STATE OF ALASKA

Schedule Number: 80905

Agency ID #: 302

RECORDS RETENTION SCHEDULE

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DEPARTMENT OF COMMERCE, COMMUNITY
 & ECONOMIC DEVELOPMENT
 DIVISION OF CORPORATIONS, BUSINESS &
 PROFESSIONAL LICENSING
 OCCUPATIONAL LICENSING BOARDS

DIVISION OF FINANCE

APR 12 2007

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 noted all records series are nonconfidential. This records schedule supercedes #80904.

Statutory/Regulatory Authority: AS 08.01-98, except 08, 52, 56, 60, 66 & 76 (Centralized Licensing); AS 43.70 (Business Licensing); AS 44.33.020 (DCED); AS 44.62.010 (Administrative Procedure Act); AS 05.05-10 (Athletic Commission); AS 46.03.375 (Storage Tank Workers); 12 AAC 02-68 (Administrative Regulations); 12 AAC 70 (Business Licensing); 42 CFR 431, 433, 483 (Nurse Aide Registry); 42 CFR 442, 45 (Nursing Home Administrators); 12 USC 3338 (Real Estate Appraisers).

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 full 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.

Data from many records series listed on this schedule are input into the Professional Licensing and the Business Licensing Systems (Items 26, 27).

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

Divison Director Rick Urion	State Archivist <i>[Signature]</i>	Date 4/18/07	Attorney General <i>[Signature]</i>	Date 4/6/07
Signature of Division Director <i>[Signature]</i>	Date 3/16/07	Records Analyst <i>[Signature]</i>	Date 3-14-07	Commissioner of Administration <i>[Signature]</i>

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p>Application for License or Exam (Abandoned/Withdrawn):</p> <p>(Denied):</p> <p>Some abandoned/withdrawn files may include temporary license or permit.</p> <p>[REFER TO ITEM #25 FOR MEDICAL BOARD INSTRUCTIONS.]</p>	2	-	-	2		<p>Division keeps record of files that are destroyed.</p> <p>Annual accrual rate is approximately 3-5 cubic feet.</p> <p>JUSTIFICATION FOR 10 YEAR RETENTION: Administrative need.</p>
		2	8	-	10		
5	<p>Examination Records:</p> <p>Includes: rosters of candidates, exam results and score sheets (if applicable), administration record, exams as applicable, or exam series reference. This is the "History" file of the exam.</p> <p>Arranged by exam chronologically.</p>	1	5		6		<p>Blank examinations are kept until administrative need is met.</p> <p>This records series does not include examination records for Nursing (Item 6); CPA & EIT (Item 13).</p>
6	<p>Nursing Examination Records:</p> <p>Exam results from the national computerized exam. Includes names and dates.</p> <p>Arranged chronologically.</p>	40	10	-	50	X	<p>Blank examinations are kept until administrative need is met.</p> <p>JUSTIFICATION FOR 50 YEAR RETENTION: Administrative need.</p> <p>Only a few sheets of paper are generated annually.</p>

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7	<p>Nursing School Accreditation Records:</p> <p>Under AS 08.68.290 nursing schools must be accredited by the Board. This series documents the accreditation process. 12 AAC 44.140 also requires each nursing program to submit reports related to faculty, students and recent curriculum.</p> <p>Arranged alphabetically by institution.</p>	C	10	-	C+10		<p>C=Until administrative need is met. Maintained in Anchorage.</p> <p>Annual reports are maintained until administrative need is met.</p> <p>JUSTIFICATION FOR "C+10" RETENTION: Administrative need.</p> <p>Annual accrual rate is approximately three to five cubic feet.</p>
8	<p>Educational Programs:</p> <p>This records series documents continuing education courses that are approved by the agency (Board or Department) and includes: Continuing Education (CE) Sponsors and Nurse Aide Program approvals for programs whose educational curricula have met State requirements are documented in biennial onsite facility inspections (arranged by institution number). Five to 10 percent of licensees are audited and required to submit an affidavit certifying that continuing education hours were met.</p>	C+3	5	-	C+8		<p>C=Until expiration of course approval; or, until program is no longer recognized as a valid sponsor, whichever applies first.</p> <p>JUSTIFICATION FOR "C+8" RETENTION: Renewals are on a biennial basis; therefore, any litigation involving denial of education should be resolved within 8 years. Also coincides with retention of records series #20, Rosters of Mail-Outs.</p> <p>Annual accrual rate is less than 1 cubic foot.</p>
9	<p>Barbers & Hairdressing Student Records (Incomplete Hours):</p> <p>(All Hours Completed):</p> <p>Incomplete hours: training interrupted. Includes student permit files and monthly training forms. All hours completed: student graduated but has not yet obtained licensure.</p> <p>Required under AS 08.13. The contents of this records series are incorporated into Item 1, Licensee Files, if the student obtains licensure. Arranged alphabetically.</p>	2 10	3 40	- -	5 50	X	<p>JUSTIFICATION FOR 50 YEAR RETENTION: Administrative need. Occupational Licensing maintains original documents (rather than the school or individual and is the Office of Record for student records. When requested, the Division must provide the educational history of a student.</p> <p>Annual accrual rate is approximately 4 cubic feet.</p>

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10	Business License (Initial Applications):	3	-	-	3		Applications and renewals may be subpoenaed by the court.
	Business License (Renewal Forms): Required under AS 43.70, the Alaska Business License Act.	2	-	-	2		
11	Business License History Records (Original):	C	-	-	M	X	Output from the Business Licensing System.
	(COM Masters):	-	50	P	-		The Division does not currently microfilm any records.
	(Work Copy Microfilm):	P	-	-	-		
12	License Continuum: Consists of a hardcopy sequential listing of licenses issued. Format: receipt book. Maintained by program.	C	-	-	C	X	C=As long as there is an administrative need to maintain historical record of licenses issued. The Continuum establishes the license number for each licensee.

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13	<p>CPA & EIT Exam Applicant Records:</p> <p>[Refer to description for Item 5.]</p>	C+3	7	-	C+10		<p>C=Until last contact with the applicant. CPA: Certified Public Accountant EIT: Engineer in Training</p> <p>JUSTIFICATION FOR "C+10" RETENTION: Administrative need. The CPA master exam list with "exam results" is maintained as a permanent record in the Board office. National organization expects organizations to maintain permanent record.</p> <p>Annual accrual rate is approximately 6-10 cubic feet.</p>
14	<p>GUIDE USE AREA REGISTRATIONS</p> <p>(Lapsed Registrations & Incomplete Applications, Abandoned): Applications listing guide use area. Arranged alphabetically by guide name or by lapsed license file number. [The series is part of Item 1.]</p>	C+1	9	-	C+10	X	<p>C=When related professional license expires.</p> <p>JUSTIFICATION FOR "C+10" RETENTION: Administrative need.</p> <p>Annual accrual rate is approximately 3-5 cubic feet.</p>
15	<p>Guide & Transporter Records:</p> <p>This records series is required under AS 08.54.400 and consists of hunt records and transporters activity record. (A transporter is one who transports a client via airplane, horse or boat, etc, but may not provide big game commercial hunting services). Arranged by license number or alphabetically by guide/transporter name. [The series is part of Item 1.]</p>	C+1	9	-	C+10	X	<p>C=Until related professional license expires.</p> <p>JUSTIFICATION FOR "C+10" RETENTION: Administrative Need.</p> <p>Annual accrual rate is approximately 3-5 cubic feet.</p>

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16	MARINE PILOT RECOGNIZED ASSOCIATION RECORDS Initial Documents Recognizing Association:	C+1	5	-	C+6		C=Until the Association no longer exists.
	Annual Association Correspondence:	1	5	-	6		
17	Marine & Deputy Marine Pilot Training Documentation:	C+1	9	-	C+10		C=Until applicant is licensed. NOTE: Agency will review boxes prior to destruction. C=Until all administrative/management need is met. These backup documents prove eligibility and are required at time the Board takes action on license approval. This documentation, because it is so voluminous, is kept separate from Item 1, Licensee Files.
	Deputy Marine Pilot Background Experience Documentation: Marine & Deputy Marine Pilot Training Documentation verifies training of marine pilot and deputy marine pilot applicants in accordance with 12 AAC 56.028 & .031. Arranged numerically by license. Deputy Marine Pilot Background Experience Documentation satisfies requirements of AS 08.12.093 (b) and may be disposed after all administrative/management need is met.	C	-	-	C		
18	Architects, Engineers & Land Surveyors (AELS) Exam Materials: Includes National Council of Examinations for Engineering and Surveying (NCEES) and National Council of Architectural Registration Boards (NCARB) Solution Booklets. *Does not include the exam "History" file (refer to Item 5.)	C+1	-	-	C+1		C=Until ability for appeals has run out.

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19	<p>Postsecondary Education Commission & CSED Denied Licenses:</p> <p>Consists of hard copy temporary license files and an electronic report of individuals who have student loans in default (transmitted to the Division by Postsecondary). Licensees with a student loan in default are not allowed to renew. CSED also provides the Division with information regarding delinquent child support obligors. Denials for CSED include initial licenses and renewals.</p> <p>Arranged chronologically.</p>	5	-	-	5		<p>CSED: Child Support Enforcement Division</p> <p>License renewal is on a biennial basis so a five year retention is adequate for documenting an historical record of denial. The Post Secondary Education Commission list is noncumulative. Retain the CSED documentation for 5 years or until superceded, obsolete or administrative/management need is met.</p>
20	<p>Rosters of Mail-outs:</p> <p>Consists of renewal mail outs, continuing education audit mail out and final outcome file, information broadcasts (new statutes, testing programs).</p>	C+3	5	-	C+8		<p>C=Until administrative/management need is met.</p> <p>JUSTIFICATION FOR "C+8" RETENTION: Administrative need.</p> <p>Annual accrual rate is less than 1 cubic foot.</p>
21	<p>Hearing Files (Subject):</p> <p>Consists of subject files entitled Pilotage Rate Tariff, Laetrile and other special topics not related to a regulation project that have relevance to a Board hearing or which are not related to an individual license litigation action under Item 22.</p> <p>Arranged alphabetically by topic.</p>	1	9	-	10		<p>JUSTIFICATION FOR 10 YEAR RETENTION: Administrative need.</p> <p>Refer also to the General Administrative Records Retention Schedule, Item 64, Legislation & Regulation working Files.</p> <p>Annual accrual rate is less than 1 cubic foot.</p>

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22	<p>Litigation Records:</p> <p>The Occupational Licensing Boards office in Juneau may initiate hearings regarding initial license denials and accusations that are unrelated to the Investigation Unit's cases.</p> <p>Also included under this item are Surety Fund Claim Litigation Files.</p> <p>Arranged alphabetically by name.</p>	C+1	9	-	C+10		<p>C=Until the adoption of the hearing officer's proposed decision.</p> <p>Annual accrual rate is approximately 2 cubic feet.</p>
23	<p>Ethics Reports:</p> <p>Ethics reports submitted by members of professional licensing boards. Includes miscellaneous correspondence and directives related to Board member reports.</p> <p>Arranged alphabetically by Board.</p>	3	-	-	3		
24	<p>Courtesy Licenses:</p> <p>Nonresidents who enter the state on a temporary basis may practice an occupation regulated by the board or the department if they procure a temporary courtesy license under AS 08.01.062. For all programs including: Veterinarian, Appraiser, Chiropractic, Barber & Hair Dresser.</p>	1	4	-	5		

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25	<p>Application for License or Exam, Medical Board (Abandoned/Withdrawn):</p> <p>(Denied):</p>	10	-	-	10		<p>Division keeps record of abandoned/withdrawn files that are destroyed.</p> <p>JUSTIFICATION FOR 10 YEAR RETENTION: Administrative need</p>
26	<p>Professional Licensing System:</p> <p>The Professional Licensing System tracks, maintains, issues and creates professional licenses. A list of all professional licenses issued is available at the Divisions homepage along with relevant applications and statutes/regulation references.</p>	C	-	-	C	X	<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p>
27	<p>Business Licensing System:</p> <p>The Business Licensing system tracks, maintains, issues and creates individual and company business licenses. A list of all business licenses issued is available at the Divisions homepage along with relevant applications and statutes/regulation references.</p>	C	-	-	C	X	<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).</p>

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28	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Occupational Licensing Boards staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies of records 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 Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>