DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
Division of Libraries, Archives and Museums
Archives and Records Management Services
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STATE OF ALASKA

RECORDS RETENTION SCHEDULE

Schedule Number: 83703

Agency ID #: 300

DEPARTMENT OF COMMERCE, COMMUNITY & ECONOMIC DEVELOPMENT

DIVISION OF CORPORATIONS, BUSINESS & PROFESSIONAL LICENSING

INVESTIGATIONS SECTION

DIVISION OF FINANCE
APR 12 2007

KEY

A	-	After Audit	**Numerals**	-	Years in Addition to current year
CFY	-	Current Fiscal Year	**TO**	-	Term of Office
CY	-	Current Year	**M**	-	After Microfilming
P	-	Permanent	**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 #83702.

Statutory/Regulatory Authority: AS 08 (Centralized Licensing); AS 43.70 (Business Licensing; AS 44.33.020 (DCED); AS 44.62 (Administrative Procedures Act); AS 05.05-10 (Athletic Commission); AS 46.03.375 (Storage Tank Workers); 12 AAC 02-75 (Administrative Regulations); 12 AAC 12 (Business Licensing); 42 CFR 431, 433, 483 (Nurse Aide Registry); 42 CFR 442, 45 (Nursing Home Administrators); 12 USC 3338 (Real Estate Appraisers).
This section investigates public complaints into allegations of incompetent or unlicensed professional services, in order to protect the public and the rights of licensees.

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.

Divison Director		State Archivist	Date	Attorney General	Date
Richard Urion			4-18-07	Craig J. Tillery	4/6/07
Signature of Division Director	Date	Records Analyst	Date	Commissioner of Administration	Date
	3/20/07	Christopher L. Hills	3-8-07		4/13/07

Item No.	Records Series Title and Description	Retention: Office	Retention: Records Center	Disposition: State Archives	Disposition: Destroy	Disposition: Vital Record	Remarks
1	**Investigation Files:** This series consists of all complaint documentation and subsequent investigation. Includes "no violation and no jurisdiction" cases. May include the following: correspondence; investigator's notes; return receipts; certifications; and copies of license.	C+6 Mos.	9.5	-	C+10		C=Until case is closed. Annual accrual rate is approximately 7.5 cubic feet. Investigation Files are confidential under the Alaska Constitution, Article 1, Section 22. Justification for "C+10" retention: Administrative Need.
2	**Licensing Action Files (For Cases With License Action Taken):** Includes the following documents: Accusation or Statement of Issues by the Division; request for hearing by Respondent; memo/letter from the Division referring the matter to the Hearing Unit; hearing decision or stipulated settlement; Notice to the Respondent of the results of the hearing; and copy of the decision.	C+6 Mos.	9.5	-	C+10		C=Until case file closed. Annual accrual rate is approximately 7.5 cubic feet. Justification for "C+10" retention: Administrative Need.
3	**Board General Files:** This series consists of reference and background materials regarding each board. Arranged alphabetically by Board name.	C	-	-	C		C=Until administrative need is met. Record copies administered by the Board.

Item No.	Records Series Title and Description	Retention: Office	Retention: Records Center	Disposition: State Archives	Disposition: Destroy	Disposition: Vital Record	Remarks
4	**Archives (Electronic):** This Oracle database tracks boxes in the Records Center and documents files numbers, box numbers, transfer list numbers and disposition dates.	C	-	-	C		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).
5	**Enforcer (Electronic):** This Oracle database provides statistical information for all cases including: who the case is assigned to, all official staff action and final disposition of case.	C	-	-	C		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). Some data is confidential under the Alaska Constitution, Article 1, Section 22.
6	**GENERAL ADMINISTRATIVE RECORDS:** Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology. Investigations staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).	-	-	**See GRS**	**See GRS**		All duplicate copies of records maintained on any media may be destroyed as soon as administrative/management need is met. 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.