



Department of Education and Early Development
 Division of Libraries, Archives & Museums
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 645 Schedule No: 02-645.1

DEPARTMENT OF ADMINISTRATION
 645 - DIVISION OF FINANCE

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise indicated all records series are nonconfidential. Confidential records are maintained in accordance with AS 39.25.080. This schedule supersedes #29001.

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 Scot Arehart	Signature of Division Director <i>Original signature held on file.</i>	Date 9/1/2011
Attorney General/Designee <i>Original signature held on file.</i>	Date 8/5/2011	Commissioner of Administration/Designee <i>Original signature held on file.</i> Date 8/24/2011
State Archivist <i>Original signature held on file.</i>	Date 9/2/2011	Records Analyst <i>Original signature held on file.</i> Date 9/2/2011

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
001 - Comprehensive Annual Financial Report (CAFR) Workpapers Division of Finance is responsible for production of the state's Comprehensive Annual Financial Report (CAFR). Documentation includes various financial information from each department, miscellaneous correspondence, hand posted adjustments and master copy of report and supplements. Statute reference AS 37.05.210.	H	7		AS 14.56.120 requires that 4 copies of published CAFR be submitted to the State Library Distribution and Data Access Center.
002 - Statewide Cost Allocation Plan (SWCAP) Workpapers Working papers for the Statewide Cost Allocation Plan (SWCAP) consists of current fiscal year reports of expenditures and restricted revenue, monthly time allocation reports, property listing reports, state service allocation reports (e.g., central mail, archive storage, enterprise technology services, facility lease/maintenance costs, state owned equipment fleet reports) and various correspondence with individual departments.	H	5		A copy of the published plan is sent to the State Library.
003 - Bonded Debt & Debt Service Report Workpapers Division of Finance working files to account for the payment of interest and principal on all serial and term debt. Documentation includes AKSAS transactions for wire transfers, agency journal entries, related FTP registers, schedule of debt service payments and spreadsheets.	H	C+7	Y	C = Maturity date.
004 - Cancelled Bonds & Coupons Any Bond certificate or coupon that is cancelled. The cancelled coupon is held by Division of Finance for 12 months and then destroyed in the prescribed manner.	H	C+1		C = Cancellation.
005 - Certificates Of Destruction Of Bonds and Coupons The Division of Finance is responsible for the proper and secure destruction of coupons. The destruction must be witnessed and recorded. Documentation includes a list of coupons, date, and witness verification for the destruction of coupons. Statute reference AS 37.15	H	37		

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Retention Key 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	Format Key H = Hardcopy E = Electronic D = Database M = Microform	Bus. Ess = Business Essential 1. Are necessary for emergency response 2. Are necessary to resume or continue operations
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006 - Bank Statements Of Bond Accounts Monthly statements of bond accounts received from paying agent banks (arranged chronologically by bank).	H	7		
007 - University of Alaska (Capital and Operating Work Papers) Division of Finance working files regarding revenue and accounting disbursement transactions for the University of Alaska. Documentation includes AKSAS transactions for scheduled wire transfer advances and related agency journal transactions, quarterly and annual reports from the University, and miscellaneous auditing/reconciliation working papers.	H	CFY+3		
008 - Accounting Training Files DOA/Division of Finance Accounting Systems training course information and curriculum files. Documentation includes student course evaluations, attendance lists, instructor notes, course outlines, etc.	H & E	C+2		C = Calendar year course delivered.
009 - Department AKSAS Transaction Files Exceptional budgetary and financial transactions that require Division of Finance authorization. Documentation consists of correspondence, spreadsheets, and AKSAS FTP registers. Documentation arranged by department by transaction type.	H	CFY+2		Official Record Copies are maintained in each department.

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<p>010 - Structure Control Reports Reports contain a variety of information related to structural processing controls.</p> <p>Reports IDs :</p> <ul style="list-style-type: none"> • Transaction Cutoff Date Roll Forward Control Report (ASAB18L0-01) • Transaction Code Process Indicator Control Report for change CC and LC (ASAB19L0-01) • Transaction Code Process Indicator Control Report for STP run control (ASAB22L0-01) • Exploded Financial File Creation Control Report (ASAP2000-02) • AR Total Control Posting Errors (ASAP6000-01) • AR Cross Structure Control Posting Errors (ASAP6000-02) • Memo Posting Error File Control Report (ASAP6000-05) • AR Summary Control Posting Errors (ASAP6000-07) 	H	6 Mos.		Reports created under RD 125.
<p>011 - Automated Authorized Budget (AB) Reports (Operating and Capital) The Auto AB process is used to post the approved state budget (capital and operating) to AKSAS. The application allows users to enter the AKSAS AR numbers and final legislation document information. Documentation includes Alaska Budget System (ABS) generated reports, AKSAS reports and allocation transactions.</p>	H	CFY+2		
<p>012 - State and Federal Withholding Taxes Disbursements Division of Finance receives record of taxes (including Medicare) withheld from employee payroll and issues payment of these taxes to appropriate governmental entities. Documentation includes quarterly and annual reports and working papers providing information for payment disbursements.</p>	H	CY+4	Y	26 CFR Ch 1, subpart G section 31.6001-1. Some documentation contains confidential information.
<p>013 - FTPs RD 912 and Lower Levels Source documentation and related AKSAS Financial Transaction Register (FTP) required to process various budget and financial transactions originated in DOF/Accounting Services.</p>	H	CFY+3		FTP hard copy.

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<p>014 - FEDI File Transmittal The State of Alaska uses the FEDI (Financial Electronic Data Interchange) process to enable the electronic transfer of payments directly to a vendor's bank account. Division of Treasury/Cash Management processes the funds transfer based on the FEDI file prepared by Division of Finance. The FEDI file backup documentation includes the file transmission form, AKSAS management reports, warrant vendor processing file, various warrant print selection reports, FEDI log, and the authorization to disburse memo signed by Treasury.</p>	H	CFY+3		
<p>015 - Accounting Services Project Files Files contain a variety of documentation as required for the design, development, or implementation of the specific project. Documentation (paper and/or electronic) includes memorandums, spreadsheets, test models, outlines, reports, notes, etc. Electronic files (directory/subdirectories) will be deleted to complete destruction process at the end of the retention period.</p>	H & E	C		C = Until administrative need is met.
<p>016.01 - Accounting Services Reports (Year-End Audit Trail Reports) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.</p>	H	7		Systems Admin unit holds Year-End Audit Trails reports for CFY+3 then passes to Accounting Services to hold until need is met. (See Records Audit Form for complete listing of Year-End Audit Trail reports.)
<p>016.02 - Accounting Services Reports (Indented Structure Reports) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.</p>	H	7		
<p>016.03 - Accounting Services Reports (Lapsing) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.</p>	H	7		

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016.04 - Accounting Services Reports (Zero Balancing Report) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	7		
016.05 - Accounting Services Reports (Financial Master File (FMF) Roll Forward Report) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	7		
016.06 - Accounting Services Reports (Structural Master File (SMF) Department Data Table Report) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	7		
016.07 - Accounting Services Reports (Transactions by Dept. Processed Report) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	CFY+3		
016.08 - Accounting Services Reports (Encumbrance & RSA Reversal Report) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	CFY+1		
016.09 - Accounting Services Reports (Capital Project (CP3) Reports) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions.	H	CFY+1		Keep most recent CP3 report regardless of date. OMB not currently providing reports.
016.10 - Accounting Services Reports (transaction index listing (ASAB3000-01) and financial transaction register (ASAB3000-03)) Reports contain a variety of current and historical accounting data necessary to complete unit activities and functions. This series contains monthly reports of financial transactions for the section.	H	C+6 Mos.		

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017 - Miscellaneous Revenue Accounting system reports and journal entries that move miscellaneous revenue from statewide suspense to agency suspense codes.	H & E	CFY+3		
018 - Warrant Stock Issued Reports Includes authorizations to issue warrant stock for field warrants, post-secondary education, permanent fund dividend, payroll, retirement & benefits, and general. Includes warrant stock log, warrant release form, general warrant print status report, monthly warrant inventory spreadsheet, and field warrant accountability reports.	H & E	CFY+3		Two format types: signature hardcopy and electronic. At the end of each year the electronic file is printed and the signature hard copy kept.
019 - Warrant Stock Issued Records Signature logs of warrants issued for on line warrants, payroll agency releases, and AKSAS miscellaneous and agency returns.	H	CFY+3		
020 - Subsidiary Warrant Registers Subsidiaries of the statewide register. Includes the Future Deleted Register and the Mail-out Register.	H	3 Mos.		
021 - Statewide Warrant Register Listing of all AKSAS warrants printed each day.	H	1		
022 - Handwritten Warrant Records Disbursement requests and invoices which generate a handwritten warrant rather than a computer generated warrant.	H	CFY+3		
023 - Voided or Mutilated Warrants Consists of warrant stock that is voided or mutilated during the print process. Includes general (AKSAS), payroll, permanent fund dividend, post secondary education, and retirement & benefits.	H	3 Mos.		Requires "confidential burn" method of disposition.
024 - Payroll Warrant Status Change Requests Stop pay and reissue of payroll warrants.	H	CFY+3		All other warrant status change requests transferred to agencies effective 7/1/03.

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025 - Lost Deposit Claims, Research, Stop Pay and Reissue Deposits lost (normally from bush communities) in transit to bank. Warrants redeemed by a third party and restitution claimed. The warrant payee has funds and the redeemer needs to be made whole. Files consist of the claim, AKSAS research papers, and documentation of the reissue.	H	7		
026 - Liability Account Reconciliation Reconciliation of the various liability accounts (payroll and others) performed either monthly or quarterly.	H & E	CFY+3		
027 - Business Leave and Emergency Leave Bank Reconciliation Reports Union Leave Bank usage, charges, reconciliation, and reports to the Unions.	H	CFY+3		
028 - Fund Files Funds are authorized by the legislature to account for the income and outflow of the state's financial resources. Documentation includes statutory or legal authority creating the fund, fund analysis, memorandum of understanding, audit report, available fund balance calculation, and any other correspondence or documentation pertinent to the fund and its administration.	H	C	Y	C = Until administrative need is met. Funds may become inactive when their purpose is accomplished or statutory/legal authorization changes. Such documentation is placed in the file and the folder moved to the 'Inactive Fund' file drawer.
029 - Payroll System To Accounting System Interface Reconciliation Reports from the payroll system and accounting system, and reconciliation spreadsheet that reconciles by account.	H	CFY+3		
030 - AKSAS One-Sided Journal Entry Documentation on one-sided journal entries processed by Finance during the re-appropriation period including financial reports, AKSAS journal entries, and Financial Transactions Registers (FTPs).	H	CFY+3		Moved from Systems Administration in FY 2005 (formerly item #512).

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031.1 - Travel and Compensation Report Division of Finance is responsible for production of the Travel and Compensation Report of executive positions of the State of Alaska. Documentation includes salary information from AKPAY and the various corporations and the University, and travel spreadsheets from each department, corporation, and the University. Statute reference AS 37.05.210.	E	7		Report is posted to the web.
031.2 - Travel and Compensation Report (Work papers and correspondence that support the report) Division of Finance is responsible for production of the Travel and Compensation Report of executive positions of the State of Alaska. Documentation includes salary information from AKPAY and the various corporations and the University, and travel spreadsheets from each department, corporation, and the University. Statute reference AS 37.05.210.	H	CFY+3		
051 - Division Correspondence Written communication between Division of Finance and state agencies and external entities. Includes letters, memos, and emails with program impact.	H	CFY+3		
052 - Finance Subject Files Materials organized by subjects relevant to the Division of Finance.	H	CFY+3		
053 - Audit Files State of Alaska, Statewide Single Audit per OMB Circular A-133. Clearinghouse transmittal, cognizant agency correspondence, and follow-up with federal agencies.	H	CFY+5		
054 - Vendor Contract Files Records related to purchases of goods and services. Includes documentation of proposal evaluation committee, reasonable solicitation, RFPs, vendor quotes, DOs and payment log.	H	C+3		C = End of contract.
055 - Personnel Files Documentation of any employee personnel action, evaluation, disciplinary action, or recognition.	H	T+1		T = Termination Confidential under AS 39.25.080.

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056 - Payroll Reports Payroll reports listing pay/withholding for division employees. Also includes timesheets, leave slips, and other documents supporting payroll.	H	CFY+1		Confidential under AS 39.25.080
057 - Training Accounting Files Consists of individual student registration forms, attendance sheets, AJE's to agencies, invoices.	H	CFY+3		
058 - Vendor Payment Files FTPs with backup information, invoices, delivery orders, credit card charge slips, packing slips, for documentation of purchases of goods and services.	H	CFY+3		
059 - Budget Projections Excel spreadsheets and reports of accounting transactions and balances created monthly to track budget utilization.	H	CFY+3		Monthly projection is cumulative year-to-date. Retain only final for each fiscal year.
060 - Software Licenses Software license agreements and purchase information.	E	T+6	Y	T = Termination of license PDF copy saved with electronic license files.
061 - IT Chargeback Detailed billing information for data processing costs.	H	CFY+3		
062 - Journal Entries/Encumbrances/Add/Change Vendor FTP printout along with all supporting documentation for each transaction. Includes AJEs, encumbrances, and add/change vendor.	H	CFY+3		
063 - Management Plans	H	C		C = Until administrative need is met.
064 - State & Federal Single Audit Reports Financial audits provided by recipient entities which have been awarded grants by state/federal agencies. Required for all years where recipient entity expended more than federal or state audit thresholds for financial assistance. Audits must be done annually on the entities' fiscal year.	H	C+5		C = Until next fiscal year's report is received. OMB Circular A-133.315(g) Required to keep copies of audit package for three years from the date of receipt.

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065 - Supervisory Files Includes direct reports meeting notes, kudos/accolades, complaints, and work schedule agreements. May include documents relating to the reasonable accommodation and provisions for employees with disabilities including employee requests and related correspondence.	H	C+2		C = Annual Evaluation.
066 - Recruitment Files Includes all documents produced during the hiring process including recruitment bulletins, applications, scoring, references, writing samples.	H	C+2		C = Date of hire.
067.1 - Minutes & Meeting Files (Status Meetings) Includes agendas, notes and other backup.	E	CFY+2		Maintained on Sharepoint sites or network drives in electronic format.
067.2 - Minutes & Meeting Files (Project Meetings) Includes agendas, notes and other backup.	E	C+3		C = End of Project. Maintained on Sharepoint sites or network drives in electronic format.
068.1 - Records Retention Files (Retention Schedules)	H	C		C = Until superseded.
068.2 - Records Retention Files (Transfer Lists)	H	C		C = Until last box on list is disposed of.
068.3 - Records Retention Files (Notices, Forms, Correspondence) Includes disposition notices, and correspondence with records contractors.	H	3		
069 - Policies and Procedures Includes policies, procedures, decisions, rules, organization charts and manuals that address internal functions and operating procedures. Includes user guides and end user materials that provide guidance to Division of Finance and customers. Examples of policies and procedures and related manuals that are established and maintained by DOF include the Alaska Administrative Manual, payroll and accounting procedure manuals, and Handi-Guide.	H & E	C+5		C = Policy is obsolete/superseded.

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070 - Reports (Staff) Includes activity, routine maintenance, and travel reports.	H	CFY+2		
071 - Public Records Log and Requests Includes request for information and the information provided.	H	CFY+1		2 AAC 96
072 - Visitor Logs Logs of nonemployees who have visited the office premises.	H	CFY+1		
101 - Meeting Documentation Includes agendas, handouts, and minutes from meetings related to the operation of the E-Travel Office.	E	CFY+3		Examples of meetings: Travel Process Improvement, Rural Work Group, Agency Travel Coordinators, Process and Medicaid with travel contractor.
102 - Complaints Log and Documentation Includes original complaint, research documentation, and resolution.	H & E	CFY+3		Log originally maintained in Excel. In 2006, an online web-based complaint application replaced the Excel log, and in 2010, went back to emails and Excel log.
103 - Contractor Confidentiality Agreements Agreements signed by travel contractor employees who make state travel arrangements.	H	T+1		T = Termination.
104 - IBANK Reports Reports from travel contractor of travel information. Received monthly in electronic format and distributed to agencies.	E	CFY+3		Retained in electronic format on G: drive.
105 - Cost and Benefit Analyses Excel worksheets and backup that analyzes the cost effectiveness of E-Travel Office Operations.	H & E	CFY+3		Retained in electronic format on G: drive.
106 - Travel Management Contract Documents Including documentation of contractor performance against measures established in the contract.	H & E	T+3		T = Termination of contract.
107 - Training Material Materials used to train travelers and travel desks in E-Travel Office processes.	E	C		C = Until obsolete/superseded or administrative need is met.

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108 - Profile Maintenance Documentation Documentation on RESX profile maintenance including agency requests, LDAP extracts, and credit card update information.	H & E	6 Mos.		
151.1 - Human Resources Reports Includes reports and requests for tracking employee payroll files and contact code and job class code changes, additions and deletions.	H	C+3		C = Until administrative need is met.
151.2- Human Resources Reports Working copies of various human resource information reports produced by the statewide payroll system.	H	C		C = Until administrative need is met.
152 - Employee Permanent Files Files containing paper copies of various payroll related documents.	H	C+50	Y	C = Date of last W-2 issued.
153.1 - Processing Reports Production payroll reports of employees and payments for business banks, PERS, TRS, JRS, Labor Relations, health insurance, gross to net, cash leave donations and workers compensation.	H, E & M	C+3		C = Payroll run date.
153.2 - Processing Reports Processing reports from the statewide payroll system to track certain aspects of payrun integrity. Retained to research errors if necessary.	H & M	C+1		C = Payroll run date.
153.3 - Processing Reports Working copies of processing error reports that can be discarded after remedial action is taken.	H	C		C = Until payroll is run successfully.
154.1 - Previous Systems Records (Master Copy) Microfilm records of information generated by previous state payroll systems.	M	50	Y	Records are primarily payroll register and earnings to date reports. All are useful for retirement verification research.
154.2 - Previous Systems Records (Work Copy) Microfilm records of information generated by previous state payroll systems.	M	50	Y	Records are primarily payroll register and earnings to date reports. All are useful for retirement verification research.
155 - Table Entry Logs	H	C+7		

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156.1 - Labor Distribution (Production Run) Labor distribution/financial reporting and processing records.	H & M	C+3		C = Payroll run date.
156.2 - Labor Distribution (Simulation Working Copy) Labor distribution/financial reporting and processing records.	H	C		C = Payroll run date.
157 - Leave Reporting	H	C+3		Marine Highway Service Hours Adjustment file reports. Errors reported to Technical Services and reports kept in Production Packet.
158 - Leave Activity Reports	H & M	C+15		Consists of pay period cash leave balance detail reports and year-to-date leave activity records.
159 - Leave Processing Reports Working copies of leave processing reports.	H, E & M	C		C = Until administrative need is met.
160 - Tax Reporting JAT Software containing: employee Form W-2, copies B, C, and 2; employee Form W-2C.	E & M	C+7		Retain 5 years after last reporting, and assumes W-2Cs affect the first two years.
161 - Tax Reporting Backup for and paper copy of Form W-2C.	H	C+7		Retain 5 years after last reporting, and assumes W-2Cs affect the first two years.
162 - Tax Reporting Tax reconciliation docs - keep 4 quarters through year end - replace with final (99) for C+5.	H	C+5		Reports produced at each quarter end. Each calendar year's four quarters are retained through the final W-2 process at which time only the final W-2 process documents are retained. See IRS Reg. 31.6001-1(e)(2).
163 - Tax Reporting Tax reconciliation and reporting working copies.	H & E	C		C = Until administrative need is met.
164 - Unemployment Tax Reconciliation	H	C+3		

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
165 - Online Pay Stubs	E	18 Mos.		Available to employee on secure website for rolling 18-month period.
201 - Daily Source Data Sets This record series contains datasets created by various production systems and are provided on a daily basis to the data warehouse.	E	C+89 Days		The system of record is the various production systems that provide data and not the data warehouse.
202 - Database Record Archive Defines the records available in the data warehouse and controls reporting capability.	E	C		C = Until administrative need is met. Retention is identical for all environments (Development, Patch, QA, and Production).
203 - Production Source Code This record series contains programming statements and code written by a programmer to support production status of the data warehouse.	E	C+18 Mos.		C = Until obsolete. Source code is maintained in electronic format on each server that controls a particular environment and is independently backed up to ensure recoverability. This source code is associated with the Production Documentation defined in item #204.
204 - Production Documentation This record series contains the technical documentation for the operation of the production data warehouse; including the application, major maintenance and new release implementations, system enhancements, and functional enhancements. Documentation may include: program functional, design, and operational specifications; systems analysis, testing requirements and results, system flow diagrams, system scheduling documentation, and technical manuals.	E	C+18 Mos.	Y	C = Documentation becomes obsolete. This record series is differentiated from other project/documentation series in that these projects and programs are incorporated into the production payroll system application. Example: Application and database new releases, patches, and migration packets. This documentation is associated with the Production Source Code defined in item #203.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
205 - System Design Documentation This record series includes system analysis and design documents used to create the data warehouse solution.	E	C+5		C = Successful implementation. Exception to this category are those design components that have migrated to the production environment, which would then be controlled by Production Source Code item #203 and Production Documentation item #204.
206 - User Acceptance Test Results This record series contains the documentation and user acceptance testing results generated from validating the design prior to migrating into production status.	H & E	C+1		C = Successful implementation.
207 - User Documentation and Training Material This record series contains documentation created to train end-users in the use of the data warehouse.	E	C+1		C = System no longer operational. Obsolete material to be retained until administrative need is met.
208 - IT Technical Support This record series contains documentation pertaining to broader functions of the ALDER programmers and may include: user utilization reports, system usage and statistics, security information, disaster recovery and backup procedures, calendars, schedules, logs, and general policies and procedures.	E	C		C = Until administrative need is met.
451.1 - Production Payroll System Data Sets (Daily) This record series contains datasets created by production payroll system programs.	E	C+21 Days	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.
451.2 - Production Payroll System Data Sets (Weekly) This record series contains datasets created by production payroll system programs.	E	C+5 Wks	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
451.3 - Production Payroll System Data Sets (Monthly) This record series contains datasets created by production payroll system programs.	E	C+3 Mos.	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.
451.4 - Production Payroll System Data Sets (Quarterly) This record series contains datasets created by production payroll system programs.	E	C+1	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.
451.5 - Production Payroll System Data Sets (Yearly) This record series contains datasets created by production payroll system programs.	E	C+10	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.
451.6 - Production Payroll System Data Sets (Pay Period) This record series contains datasets created by production payroll system programs.	E	C+14 Wks	Y	The retention period reflects retaining datasets through completion of the next production payroll processing.
452 - Exception to Production Data Set Retention This record series contains datasets created by a periodic, scheduled production payroll process but which have specific uses that require a different retention than has been defined for the general classification of daily, weekly, monthly, quarterly, yearly, pay period.	E	C		C = Until administrative need is met.
453 - Unscheduled Production Data Sets This record series contains datasets created by regularly run quasi-production processes.	E	C+18 Mos.		C = Process is obsolete. These datasets are associated with the Unscheduled Production Programs defined in item #465. As regular processes are run, datasets from previous runs are discarded and superseded by the current run.
454 - Quality Assurance Data Sets This record series contains datasets created on an as needed basis and used for baseline and maintenance comparison.	E	C		C = Until administrative need is met.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
455 - Development Data Sets This record series contains datasets created on an as needed basis and used for unit and system testing.	E	C+1		C = Successful Implementation.
456 - Special Project Data Sets This record series contains datasets produced by ad hoc programs created to fulfill a request for specific information or data.	E	C+2		C = Project completion. These datasets are associated with the Special Project Programs defined in item #466.
457 - Programmer Support Datasets This record series contains programmer software tools such as macros, customized processes (e.g. CLISTs), templates, and panels.	E	C+18 Mos.		C = Tools no longer operational.
458 - Production Payroll System Source Code This record series contains programming statements and instructions that are written by a programmer and may be converted into machine language by compilers, assemblers or interpreters; and, other documentation utilized for application implementation. Source code may exist on various media including datasets, proprietary repositories, and hard copy. This category may also include data systems/file specifications, codebooks, file layouts, program and compile listings, and output specifications.	H	C+18 Mos.	Y	C = Until obsolete. Program listings are a primary reference source when resolving system problems. Listings must be kept for the active life span of a particular program. When the program is updated, a new listing is created and the older one can be discarded. This source code is associated with the Production Payroll Systems Documentation defined in item #464.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>459 - Production Payroll Systems Documentation This record series contains the technical documentation for the operation of the production payroll systems; including the payroll application, major maintenance and new release implementations, system enhancements, and repairs.</p> <p>Documentation may include: program functional, design, and operational specifications; systems analysis, testing requirements and results, system flow diagrams, system scheduling documentation, and technical manuals.</p>	H	C+18 Mos.	Y	<p>C = Until obsolete.</p> <p>This record series is differentiated from other project/documentation series in that these projects and programs are incorporated into the production payroll system application.</p> <p>Example: New releases, tax maintenance, March maintenance, migration packets</p> <p>This documentation is associated with the Production Payroll System Source Code defined in item #463.</p>
<p>460 - Unscheduled Production Programs This record series contains materials related to regularly run quasi-production programs. These materials may include: program source code, program and compile listings, analysis and design documentation, functional and operational specifications, testing requirements and results, output reports and datasets; policies, procedures, and methods.</p>	H	C+18 Mos.		<p>C = Program no longer operational.</p> <p>This record series is differentiated from the Special Project Programs series in that Unscheduled Productions Programs are developed for continued usage over an extended lifespan.</p> <p>Example: Compensation for Annual Travel and Compensation reporting.</p> <p>These programs are associated with the Unscheduled Production Datasets defined in item #458.</p>

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>461 - Special Project Programs This record series contains materials related to ad hoc programs created to fulfill a request for specific information or data. These materials may include: program source code, program and compile listings, analysis and design documentation, functional and operational specifications, testing requirements and results, output reports and datasets; policies, procedures, and methods.</p>	H & E	C+2		<p>C = Project completion.</p> <p>This record series is differentiated from the Unscheduled Production Programs series in that Special Projects are developed as an ad hoc for a single use or very limited lifespan.</p> <p>These programs are associated with the Special Project Datasets defined in item #461.</p>
<p>462 - IT General Documentation This record series contains documentation pertaining to broader functions of the AKPAY programmers and may include: usage reports, statistics, security information, disaster recovery and backup procedures, calendars, schedules, logs, and general policies and procedures.</p>	E	C		<p>C = Until administrative need is met.</p>
<p>501 - AKSAS SMF Table Logs Documentation and authorization for changes made to each AKSAS System Management File (SMF) table except SAC, SGD, SPM and SPC (these daily updates do not require logs).</p>	H	CFY+3		<p>All written communications are printed and filed.</p>
<p>502 - AKSAS, AKPAY, ALDER and One Card Audits Documentation for audits performed periodically including memo sent to agency notifying the finance officer or authorized security contact of discrepancies found in the audit, reports documenting the discrepancy, emails from agencies requesting changes, etc.</p>	H & E	A		<p>A = Current Audit.</p> <p>Memo retained electronically.</p>
<p>503 - AKSAS System Error Reports Documentation on AKSAS system errors that occur during nightly processing.</p>	H	C		<p>C = Until administrative need is met.</p> <p>AKSAS hard copy reports.</p>
<p>504 - AKSAS Control Reports AKSAS daily and monthly control reports used to verify the integrity of all AKSAS processes.</p>	H	6 Mos.		<p>AKSAS hard copy reports.</p>

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
505 - AKSAS/ALDER Run Verification (ARV) Reports used to verify the integrity of the AKSAS/ALDER process run the previous night. Documentation includes explanations of irregularities.	H & E	1		Emails printed and retained with hardcopy reports.
506 - AKSAS Report Summary A listing of all AKSAS reports printed during each AKSAS run.	H	2 Mos.		
507 - AKSAS Balance Interface Transaction File (BIF) Processing Control Reports Control reports for all BIFs run during AKSAS processing including activity reports, control reports, and exception reports.	H	C+1 Mo.		
508 - AKSAS RD 930 and LL FTPs and STPs Source documentation and related AKSAS Financial/Structural Transaction Registers required to process financial and structural transactions originated in DOF/Systems Administration for AKSAS RD 930 and lower levels. Excludes vendor adds and changes (no financial impact).	H	CFY+3		Excludes item #519
509 - AKSAS Final Year End Closing Processes Documentation on the processes performed annually at fiscal year end. Processes include CC Consolidation, Nominal Closing, PY to CY, AR Zero Balance, FMF Roll Forward, and OIF/WSF Roll Forward. Documentation includes AKSAS reports, summary closing document, memo to finance officers, exclusion requests received from the agencies, etc.	H & E	CFY+3		SysAdmin holds for CFY+3, then passes the following reports to Accounting Services to hold until administrative need is met. <ul style="list-style-type: none"> • Zero Balance Report • Year-End Audit Trail Report • Terminated Appropriation Activity Report All other documents are destroyed after CFY+3. Memo retained electronically.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
510 - AKSAS Reappropriation Year End Processes Documentation on the Lapsing and Net Continuing Budget Adjustment processes performed annually at re-appropriation fiscal year end including AKSAS reports, memos to agencies, etc.	H & E	CFY+3		SysAdmin holds for CFY+3, then passes the Lapsing Report to Accounting Services to hold until need is met. All other documents are destroyed after CFY+3. Memos retained electronically.
511 - AKSAS Open Item Purge Process Documentation on the open item purge process run annually to purge open items from prior-prior years in AKSAS that are no longer needed. Documentation includes memo to finance officers, AKSAS reports listing open items selected for the purge, agency requests for exclusions, AKSAS reports, etc.	H & E	CFY+3		Memo retained electronically.
512 - AKSAS System Documentation Documentation on implementing and maintaining AKSAS programs outside the AKSAS Change Request process. Files may include emails, memos, system test work papers, reports, problem resolutions, etc.	H & E	C+7*		* = Or until one year after AKSAS is replaced.
513 - AKSAS Interfaces Documentation on implementing and maintaining interfaces. Files may include emails, memos, tests, reports, problem resolutions, etc.	H & E	C		C = Until interface no longer exists.
514 - AKSAS Change Request Logs Documentation, testing, and authorization for implementing enhancements and correcting existing problems programmatically in AKSAS.	H & E	C+7*		* = Or until one year after AKSAS is replaced.
515 - AKSAS Program Modification Transmittal Documentation on changes made to AKSAS programs including program modification transmittal, unit test, edit specifications, error codes, maps, subroutines/subprograms, etc.	H	C+7*		* = Or until one year after AKSAS is replaced.
516 - AKSAS CICS Email authorization from the Department of Administration, Enterprise Technology Group to add/change/remove State employees in Natural security. Natural security gives the employee access to AKSAS.	H & E	C+2 Mos.		

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517 - FEDI Vendors Documentation on a FEDI vendor record. Includes Electronic Payment Agreement, AKSAS vendor detail screen prints, FTPs, correspondence, returns and reversal documents, etc.	H	T+3		T = Termination of agreement.
518 - Garnishments, Attachments, Security Agreements, Tax Levies Legal documents with or without the consent that directs the State of Alaska to send a portion or all of a vendor's payments to a third party, e.g. bank, IRS, Child Support Agency, etc.	H	CY+4		
519 - 1099 Records Documentation of 1099 forms prepared for vendors receiving reportable payments. Includes the 1099MISC Register, returned originals, and corrections issued. Additionally the IRS error reports and the documents that support the corrections.	H & E	CY+6		
520 - IRS 1st & 2nd B Notice Documentation includes IRS error notification, substitute W-9s, and the form letter shell.	H & E	CY+6		
521 - Redeemed Field Warrants Not On AKSAS List of redeemed field warrants not on file, notices to agencies, and action taken.	H & E	C+3 Mos.		C = Report print date.
522 - Forgery Files Affidavit of Forgery, special pull sheet, acceptance by bank, re-issue records.	H	CY+4		
523 - Warrant Redemption Files/Positive Pay and Redemption Reporting Files of the warrants presented for redemption. Warrants in error status, including daily Bank Data Transaction Index Lists for all erred and processed transactions for all warrant types. Positive Pay reports and copies of warrants and reports from redemption bank.	H & E	CY+2		
524 - AKPAY Miscellaneous Table Changes Logs, source documents, and authorizations for AKPAY table changes with the exception of the 1000 table.	H	CFY+5*		* = Or until one year after AKSAS is replaced.

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525 - AKPAY Security Information used to set up users in AKPAY including AKPAY, logs, and spreadsheets containing the information listed on the 1000 table.	E	*		* = Two Terms of Office. Excel logs and spreadsheets are maintained in electronic format only.
526 - Credit Card Payment Delinquency Includes documentation on credit card accounts that have outstanding balances. Documentation includes notification from the bank on delinquent accounts, notification to the agencies, and other correspondence pertaining to the delinquencies.	E	C+5 Mos.		
527 - Credit Card Bank Transaction/Card Status Download Documentation on credit card transactions including control reports, error reports, extract reports, export files, interface requests, Financial Electronic Data Interface (FEDI) Payment reports, FTPs, etc.	H & E	CFY+3		
528 - One Card Alaska Conversion Documentation on the conversion of the credit card program from a prior bank to a current bank.	H & E	C		C = Until contract ends.
529 - One Card Alaska Account Maintenance Documentation on adding, changing, and canceling agency credit card accounts with credit card issuer.	E	C		C = Until contract ends.
530 - Autopay Zero-Net Warrant Redemptions Documentation on the process that redeems AutoPay zero net warrants including reports on all warrants redeemed, all warrants not redeemed, and warrants redeemed that cross funds.	H & E	CFY+1		
531 - Authorization and Security Forms Includes Add/Change/Delete affidavits/ forms (Certifying Officer Affidavits, ALDER User Affidavits, One Card Alaska Program Administrator Form, ACCESSIONLINE Entitlement Form, Appointing Authority Signature Forms, Agency Authorized Security Contact Forms) and backup documentation.	H & E	*		* = Two terms of office.

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532 - DOF Security Functions Documentation on Division of Finance (DOF) system access and authorized functions including annual approved security form, screen print of CICS Menu options, Logon ID request Form, and other applicable documents.	H & E	T+2		T = Employee Separation
533.1 - AKSAS Microfiche For Vendors and Warrants (Annual Vendor Analysis) (Master Copy)	M	20		
533.2 - AKSAS Microfiche For Vendors and Warrants (Annual Vendor Analysis) (Work Copy)	M	20		
533.3 - AKSAS Microfiche For Vendors and Warrants (Statewide 1099 Warrant Register) (Master Copy)	M	7		Treasury keeps warrant images on CD for 7 years. Refer to Agency I.D #115.
533.4 - AKSAS Microfiche For Vendors and Warrants (Statewide 1099 Warrant Register) (Work Copy)	M	7		Treasury keeps warrant images on CD for 7 years. Refer to Agency I.D #115.
533.5 - AKSAS Microfiche For Vendors and Warrants (Warrant History Detail) (Master Copy)	M	7		Treasury keeps warrant images on CD for 7 years. Refer to Agency I.D #115.
533.6 - AKSAS Microfiche For Vendors and Warrants (Warrant History Detail) (Work Copy)	M	7		Treasury keeps warrant images on CD for 7 years. Refer to Agency I.D #115.
534.1 - AKSAS Microfiche For Structure History (CLF Details) (Master Copy)	M	7		
534.2 - AKSAS Microfiche For Structure History (CLF Details) (Work Copy)	M	7		
534.3 - AKSAS Microfiche For Structure History (Chart of Accounts) (Master Copy)	M	7		
534.4 - AKSAS Microfiche For Structure History (Chart of Accounts) (Work Copy)	M	7		
534.5 - AKSAS Microfiche For Structure History (Indented Structures) (Master Copy)	M	7		
534.6 - AKSAS Microfiche For Structure History (Indented Structures) (Work Copy)	M	7		

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535 - AKSAS Microfiche For Structure Transactions Microfiche documenting statewide - Transaction Index Listings (TILs) - Structural Transaction Register (STPs) for 605-20 (Change Collocation Code), 615-20 (Change Appropriation), and 615-21 (Change Appropriation Indicative Data).	M	CFY+3		
536 - ALDER Class Verification Documentation includes ALDER 100 online course verification, ALDER 101 and 201 prerequisite verification, and ALDER class sign in sheets.	H & E	CFY+1		
537 - Autopay Unvoucher Requests Includes requests from agencies to unvoucher AutoPay transactions, and AutoPay screen prints documenting the unvoucher actions.	H	CFY		
538 - Online Pay Stubs (OPS) Managers Includes requests and supporting documentation from authorized security contacts maintained in binders and online logs.	H & E	CFY+1		
539 - Alaska Statewide System For Employee Time (ASSET) Security Includes documentation for maintaining user security.	H	CFY+3		
540 - Office of Foreign Asset Control (OFAC) Includes OFAC daily and monthly reports used to determine if vendors on the Vendor Master File (VMF) are on OFAC terrorist lists.	H & E	CFY+1		
541 - One Card Fraud Reports and Notifications Includes monthly contractor supplied fraud reports, standard reports, and email notification from agencies on fraudulent or suspected fraudulent activity.	H & E	CFY+3		

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<p>701 - Compiled Program Listings Hardcopy printed versions of compiled programs.</p>	H & E	C		<p>C = Until administrative need is met.</p> <p>Program listings are a primary reference source when resolving system problems. Original listings must be kept for the active live span of a particular program. When the program is updated, a new listing is created and the older one can be discarded. A schedule of when to discard listings after the system is completely replaced will be developed as part of the System Conversion Plan. Since outside knowledge of the contents of our program code could be used to compromise the security of our systems, these listings must be considered confidential.</p>
<p>702 - Program Source Code The actual computer language code used to compile the executable modules run by the accounting system.</p>	E	7G	Y	<p>G = Generations.</p> <p>All of the Accounting System's source COBOL or ASSEMBLER code is stored in a special source code datafile. This file itself is kept permanently. The software behind the datafile (CA-Librarian) will automatically retain the current version of a program and its six preceding versions. Since outside knowledge of the contents of our program code could be used to compromise the security of our systems, these listings must be considered confidential.</p>

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<p>703 - Production Data Warehouse Backup Files These are backup files created during the data warehouse reporting processes.</p>	E	10C		<p>C = Cycles. We keep 10 cycles so as to ensure we always have a week's worth of files in case we need to research a problem. Several of these files may contain sensitive information, and thus must be considered confidential.</p>
<p>704 - Production AKSAS Backup Files These are backup files created on a weekly basis.</p>	E	5C		<p>C = Cycles. They are built and kept to allow us to recover older versions of changed objects and library members without resorting to a full system restore. Several of these files include secured AKSAS program information and thus must be considered confidential.</p>
<p>705 - Production AKSAS Database Backups & Logs These are backups of AKSAS data stored in the database.</p>	D	21 Days		<p>They are kept for 21 days so as to permit the recovery of the database if needed. The backup files are created twice a week. The log files are continually built and would be combined with the backup tapes to permit recovery to a particular point of failure. Both the backup and log files must be considered confidential.</p>

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>706 - Confidential Fiscal Year Accounting Data Sets Datasets which contain confidential fiscal year-to-date accounting information.</p>	E	CFY+6	Y	Since the information in these datasets is a significant part of the CAFR and SWCAP procedures, these files should be retained for a period as long as the work papers they helped generate. Files in this group include the data warehouse reporting files, which include the detail transaction data and thus must be confidential.
<p>707 - Non-Confidential Fiscal Year Accounting Data Sets Datasets which contain non-confidential fiscal year-to-date accounting information.</p>	E	CFY+6	Y	Since the information in these datasets is a significant part of the CAFR and SWCAP procedures, these files should be retained for a period as long as the work papers they helped generate. Files in this group include the Management Report Files, the GENEVA summary event files, and the AKSAS Structural K-Tables, which contains only summarized financial information, with no vendor detail information and thus need not be considered confidential.

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<p>708 - Monthly Long-Term Accounting and Reporting Data Sets Datasets which contain accounting information for a given processing month and for which no corresponding detail will be found on a year-to-date tape. This is usually due to the high volume of records written to these files.</p>	E	CFY+6		A new generation of these files is created each month, and usually reflects AKSAS activity during that month. Information on these files is not directly copied to an annual file, so, as the only complete version of this information and since the activity recorded on these files constitute the detail information used to build the CAFR and SWCAP reports, these files should be kept as long as the work papers they helped generate. While much of the data on these files is public information, some of the activity processed by the system will include information (such as SSNs or individual bank accounts) which must remain confidential, therefore the entire file must be considered confidential.
<p>709 - Daily Recovery Data Sets Datasets which contain accounting information from a single processing run. The data in these files is also written to a monthly file.</p>	E	45 Days		Each generation of these files contains activity information for a given processing cycle. The same information is also written to a monthly file. The daily tapes are kept as a backup in case the monthly tape is lost during the month. Once a month is over, the daily tapes are no longer needed. Keeping them for 45 days ensures that the data is kept in the event of an odd delay in our month-end processing. Confidential information will be found in these files, thus they must be considered confidential.

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<p>710 - Monthly Recovery Data Sets Datasets which contain information from a single month, but for which the data is also copied to a year-to-date tape.</p>	E	18 Mos.		A new generation of these files is created each calendar month. The same information is also written to a fiscal year annual file. The monthly tapes are kept until the year is closed so that the year-to-date tape can be rebuilt if needed. Once the year is finished, that file is backed up and the monthly tapes are no longer necessary. A fiscal year actually takes up to 18 months (July nnnn-December nnnn+1) requiring 18 months worth of data. None of the datasets falling into this group contain detail data and thus need not be considered confidential.
<p>711 - Special Request Archival Datasets A special limited set of AKSAS reference files which the Department of Transportation has requested be kept permanently.</p>	E	PO		These files are needed for certain DOT project reporting. Since some federal construction projects may span a very long period of time, we were requested to keep the data permanently. The files do not contain confidential data.
<p>712 - Processing Work Files Datasets in this group contain information that is created by one computer program to facilitate the work in a later computer program. No direct user access of these files is intended.</p>	E	C		C = Until administrative need is met. We will keep sufficient generations of these files to permit possible emergency reruns without losing the files from recent runs which might be used for problem diagnosis. Some of the files involved may include detail transaction data, which must be deemed as confidential.

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713 - Permanent Work Datasets These are files which are created for use within the accounting system. They represent a snapshot of some portion of the production system. Only one version of these files is kept.	E	C		C = Current version. The processing from the next cycle simply overwrites the existing files. Most of these files do not contain confidential data, but some might.
714 - Development Datasets This record series contains datasets created on an as needed basis and used for unit and system testing.	E	C		C = Until administrative need is met.
715 - Special Project Datasets This record series contains datasets produced by ad hoc programs created to fulfill a request for specific information or data.	E	C		C = Until administrative need is met. This includes datasets created for the Federal Statewide Cost Allocation Plan and to determine our warrant redemption interval for the Federal Cash Management Improvement Act. These are kept until released by the auditors.
716 - IT General Documentation This record series contains documentation pertaining to broader functions of the AKSAS programmers and may include: usage reports, statistics, security information, disaster recovery and backup procedures, calendars, schedules, logs, and general policies and procedures.	H & E	C		C = Until administrative need is met.

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