

# STATE OF ALASKA

## RECORDS RETENTION SCHEDULE

**Department of Commerce, Community and Economic Development**  
**Division of Corporations, Business and Professional Licensing (CBPL)**

**Authority:** Under AS 40.21.060(4) and AS 40.21.110, the agency shall retain and otherwise manage records in accordance with this schedule.

If this schedule does not cover a record, the agency shall retain and otherwise manage records in accordance with the most current *State of Alaska General Administrative Records Retention Schedules*. If this schedule and the *General Administrative Records Retention Schedules* do not cover a record, the agency must obtain approval to dispose of the record from the Records and Information Management Service.

**Disposition:** The agency may not destroy permanent records. Notwithstanding any retention period in this schedule or the *Alaska General Records Retention Schedules*, the agency must retain records relevant to ongoing or foreseeable investigations, audits or lawsuits, or responsive to a pending public records request.

**Archival Value:** Under AS 40.21.030(a)(3), the State Archivist may review for permanent retention all records with potential permanent legal or historical value. All records created prior to 1960 must be retained for review by the Alaska State Archives. This retention schedule does not authorize the transfer of records to any repository other than the Alaska State Archives (AS 40.21.030).

**Format and Media:** Under AS 40.21.150(6), the retention periods listed on this schedule apply to all electronic and non-electronic records. The agency may store a record in any format as long as the record remains readable and accessible for its retention period. See 4 AAC 59.005.

Accordingly, the agency must, as necessary, periodically update storage media, adopt migration strategies, and implement security plans. Backups produced for data recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

**Essential Designation:** Under AS 40.21.060, the agency shall identify, segregate and protect essential records vital to the continuing operation of the agency in the event of natural or man-made disasters. See 4 AAC 59.005(a)(8) and 4 AAC 59.010(5)(E).

**Copies:** Do not retain copies preserved for convenience or for business essential or data recovery purposes for longer than the retention period of the record copy. See AS 40.21.150(6).

**Supersedence:** This schedule supersedes: 80503, Corporations Section; 83703, Investigations Section; 80905, Occupational Licensing Boards

Pursuant to the provisions of AS 40.21.030 (b)(10) and 4 AAC 59.005, the records listed on this schedule are approved for retention and disposition as indicated.	Agency CEO/ Division Director	Date:
	<i>Original signature held on file.</i>	6/3/2019
Sara Chambers, Division Director, CBPL, Dept. of Commerce, Community & Economic Development		
Attorney General/Designee	Commissioner of Administration/Designee	Date:
<i>Original signature held on file.</i>	<i>Original signature held on file.</i>	6/13/2019
Alan Birnbaum, Chief Assistant Attorney General, Department of Law		
State Archivist	Records Analyst	Date:
<i>Original signature held on file.</i>	<i>Original signature held on file.</i>	7/25/2019
Karen Gray, State Archivist		
Jennifer Treadway, State Records Manager		

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
1	<p><b>Certification, Registration and Licensee Records: Approved</b></p> <p>Except for those boards listed in item #5, this series consists of certifications, registrations and licensing records for all professional licensing boards that are approved. Licensee records include courtesy licenses granted to nonresidents who enter the state on a temporary basis to practice an occupation regulated by the board or the department.</p> <p>Records may include, but are not limited to, initial applications, renewals, transcripts, certifications, diplomas, correspondence, apprentice and trainee records. Other record types include nurse aide documentation, dental radiological equipment, closed pharmacy office records, temporary licenses or permits, lapsed registrations or incomplete applications, guide use area listings, hunt records, transporter activity records, and other related records.</p>	10	Yes	<p>Destroy records ten years after last activity.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
2	<p><b>Certification, Registration and Licensee Records: Abandoned or Withdrawn</b></p> <p>Except for those Boards listed in item #5, this series consists of certifications, registrations and licensing records for all professional licensing boards that are abandoned or withdrawn.</p> <p>Records may include, but are not limited to, incomplete applications, initial licenses, renewals, transcripts, certifications, diplomas, correspondence, apprentice and trainee records, lapsed registrations, and other related records.</p> <p>Records for individuals who are in arrears on student loans or delinquent in child support payments have their licenses withdrawn. These Records relate to Postsecondary Education Commission and Child Support Enforcement Division, and may include temporary licenses, reports on individuals in default for student loans, and reports on delinquent child support obligors.</p>	3		<p>Destroy records three years after abandoned or withdrawn.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
3	<p><b>Certification, Registration and Licensee Records: Revoked, Suspended or Denied</b></p> <p>This series consists of certifications, registrations and licensing records for all professional licensing boards that are revoked, suspended or denied.</p> <p>Records may include, but are not limited to, incomplete applications, initial licenses, renewals, transcripts, certifications, diplomas, correspondence, apprentice and trainee records, lapsed registrations, and other related records.</p>	75		<p>Destroy records seventy-five years after revoked, suspended or denied.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>
4	<p><b>Exams and Licensee Records, Board of Nursing</b></p> <p>This series documents the license files for nurses (for nurse aide records, see item 1). Records include verification of licensure and nursing examination records.</p>	40		<p>Destroy records forty years after license inactive, lapsed, suspended or revoked.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>
5	<p><b>State Medical Board, Board of Public Accountancy, and Board of Architects, Engineers and Land Surveyors Licensee Records</b></p> <p>This series consists of certifications, registrations, licensing, and application records and may include, but is not limited to, initial applications, renewals, transcripts, certifications, or verifications, diplomas, correspondence, apprentice and trainee records, collaborative plans, clearance reports, temporary licenses or permits, lapsed registrations, incomplete applications, and other related records.</p>	20		<p>Destroy records twenty years after lapsed, abandoned, or withdrawn.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>

**Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.**

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
6	<p><b>State Medical Board Applicant Records</b></p> <p>This series consists of records containing the name, age, residence and duration of residence of each applicant for a license, the time spend by the applicant in medical study, the place of medical study, the year and school from which degrees were granted, and whether the applicant was granted a license or rejected.</p>	Permanent		<p>Retain records permanently with division per AS 08.64.130.</p> <p>These documents may contain information that is confidential under AS 40.25.120.</p>
7	<p><b>Nursing School Accreditation Records</b></p> <p>This records series documents the accreditation process of institutions conducting nursing education programs approved by the Board of Registered Nurses. Records may include applications, curriculum documentation, and other related records.</p>	20		<p>Destroy records twenty years after loss of accreditation.</p>
8	<p><b>Educational Program Records</b></p> <p>This record series documents continuing education courses that are approved by the Board or Department. Records may include applications, course materials, board approval letters, and other related records.</p>	8		<p>Retain records until eight years after course approval expires or until program is no longer recognized as a valid sponsor, whichever applies first.</p>
9	<p><b>Business License Records</b></p> <p>Business licenses are issued for all business types, and may also include tobacco endorsements. Records may include, but are not limited to, applications, renewal forms and renewal cards.</p>	2		<p>Destroy two years after license expired.</p> <p>12 AAC 12.040(c)</p>

Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
10	<p><b>Exam Application Records</b></p> <p>These records are applications to Occupational Licensing Boards to take tests that are not administered by the Boards. Records may include applications, rosters of candidates, exam results, score sheets, administration records, and other related records.</p>	5		Destroy application records five years after received, or after exam passed, whichever is shorter.
11	<p><b>Examination Records</b></p> <p>This series consists of examinations administered by the Division of Corporations, Business and Professional Licensing for occupational licenses. Records may include, but are not limited to, nondisclosure agreements, examinations, answer sheets, exam results, answer keys, rosters of candidates, and signature rosters.</p>	1		Destroy exam records one year after final appeal period has expired.
12	<p><b>Rosters of Mail-outs</b></p> <p>This record series consists of rosters, or lists, of recipients for various audits or information broadcasts from the Department. Rosters of mail-outs may include lists for, but not limited to, continuing education audits, renewals, final outcome records, statute and regulation changes, and testing program changes.</p>	7		Destroy rosters seven years after mail-outs sent.

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
13	<p><b>Board Hearing and Litigation Records</b></p> <p>This series consists of Division or Board hearing and litigation records not related to individual license litigation actions (see item 15 for individual licensee litigation records).</p> <p>Records may include subject files, case files, and correspondence. Examples of records include laetrile files, Pilotage Rate Tariffs, and Surety Fund Claim litigation records.</p>	15		Destroy records fifteen years after final decision adopted.
14	<p><b>Investigation Records</b></p> <p>This series consists of documentation and subsequent investigations of intakes and complaints for individual licensees. Records may include correspondence, investigator’s notes, return receipts, certifications, copies of licenses, and “no violation and no jurisdiction” case materials.</p>	10		<p>Destroy investigation records ten years after case closed.</p> <p>Confidential per Alaska Constitution, Article 1, Section 22.</p>
15	<p><b>Litigation Records</b></p> <p>This series consists of litigation and hearing records when a license action is taken for individual licensees or a public license action is taken against business entities. The records may include accusations or statements issued by the Division; requests for hearings by Respondents; memos and correspondence from the Division referring matters to the Hearing Unit; hearing decisions or stipulated settlements; Notices of the Respondent of hearing results; and copies of decisions.</p>	75		Destroy records seventy-five years after case closed.

**Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.**

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
16	<p><b>Corporation Records</b></p> <p>Corporation records document the receipt, filing and permanent maintenance and retention of documents that create or affect business organizations and non-profit entities operating in Alaska. Entity types include business, professional, non-profit, religious, and cooperative corporations, limited liability companies, limited partnerships, and limited liability partnerships.</p> <p>Records may include articles of incorporation, annual reports, certificates of authorities, amendments, withdrawals, dissolutions, mergers, consolidations, change of officers and directors, changes of registered agents and/or offices, reinstatements, 60-day letters, limited partnership filings, limited liability company filings, and other required filings.</p>	Permanent		Transfer records to Alaska State Archives seven years after filed.
17	<p><b>Name Reservation and Registration Records</b></p> <p>This series consists of domestic and foreign business name reservation records, protecting the business name for 120 days while a business is getting organized. The records may also include domestic and foreign name registration forms and renewals.</p>	6 months		Dispose of records six months after expired.

**Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.**



Department of Commerce, Community and Economic Development; Division of Corporations, Business and Professional Licensing

Item #	Record Series Title and Description	Retention	Essential	Retention Notes
18	<b>Trademark Registration Records</b> This series consists of trademark certificates and applications with samples of the trademarked items to protect words, phrases, symbols or designs. Records may include registrations, renewals, changes of registrant information, and mark assignments.	Permanent		Transfer to State Archives after expired.

**Inactive Records may be transferred to an approved records center at any time. Complete a Records Transfer List (RTL) and submit to your Records Officer for approval.**