



Department of Education and Early Development  
 Division of Libraries, Archives & Museums  
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)  
 P.O. Box 110525, 141 Willoughby Avenue  
 Juneau, AK 99811-0525  
 T: (907) 465-2317/2275  
 F: (907) 465-2465

# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 233      Schedule No: 07-233.1**

DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT  
 EMPLOYMENT SECURITY DIVISION  
 233 - EMPLOYMENT AND TRAINING TECHNICAL UNIT

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

Unless otherwise indicated all records series are confidential under AS 23.20.110. This schedule supersedes #71702.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

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

Division Director	Signature of Division Director <i>Original signature held on file.</i>	Date 8/11/2008
Attorney General/Designee <i>Original signature held on file.</i>	Date 8/20/2008	Commissioner of Administration/Designee <i>Original signature held on file.</i> Date 8/28/2008
State Archivist <i>Original signature held on file.</i>	Date 9/2/2008	Records Analyst <i>Original signature held on file.</i> Date 8/1/2008

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001.1 - Trade Adjustment Assistance Program Files (Originals)</b>                      This series documents the section's administration of the Trade Adjustment Assistance Act which assists workers that have been displaced due to foreign competition with retraining, relocation and job searches. Three-part client files consist of application, correspondence, authorizations, billing, training, relocation and job search information.</p> <p>Arranged alphabetically by last name.</p>	H	S	Y	<p>S = After the files are scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed.</p> <p>Authority: Trade Act of 1974, 19 USC Chapter 12, Subchapter II.</p>
<p><b>001.2 - Trade Adjustment Assistance Program Files (Electronic)</b>                      This series documents the section's administration of the Trade Adjustment Assistance Act which assists workers that have been displaced due to foreign competition with retraining, relocation and job searches. Three-part client files consist of application, correspondence, authorizations, billing, training, relocation and job search information.</p> <p>Arranged alphabetically by last name.</p>	E	5	Y	<p>Authority: Trade Act of 1974, 19 USC Chapter 12, Subchapter II.</p>
<p><b>002.1 - Trade Readjustment Allowance (TRA) Files (Originals)</b>                      The TRA federal program provides additional assistance to workers who have lost their jobs due to increased imports. This series consists of weekly benefit accounting information for those adversely affected workers that qualify for the program and includes TRA claim forms, TRA benefit begin letters, instructional documents, and recommendations.</p> <p>Arranged alphabetically by last name.</p>	H	S	Y	<p>S = After the files are scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed.</p> <p>Authority: Trade Act of 1974, 19 USC Chapter 12, Subchapter II.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>002.2 - Trade Readjustment Allowance (TRA) Files (Electronic)</b>                      The TRA federal program provides additional assistance to workers who have lost their jobs due to increased imports. This series consists of weekly benefit accounting information for those adversely affected workers that qualify for the program and includes TRA claim forms, TRA benefit begin letters, instructional documents, and recommendations.</p> <p>Arranged alphabetically by last name.</p>	E	5	Y	Authority: Trade Act of 1974, 19 USC Chapter 12, Subchapter II.
<p><b>004.1 - WOTC Records (Originals)</b>                      This series consists of Internal Revenue Service Form 8850 (accompanied by Form 9061 or 9062; employer is required to submit one or the other), income verification, verification of veteran status (DD214, Armed Forces Report of Separation Form), copies of letters of denial or certification, and computer printouts verifying that individual filed for other assistance programs.</p> <p>Arranged alphabetically by client on a quarterly basis.</p>	H	S	Y	S = After the files are scanned and images verified under ESD's standard operating policies and procedures, originals may then be disposed.  WOTC = Worker Opportunity Tax Credit.
<p><b>004.2 - WOTC Records (Electronic)</b>                      This series consists of Internal Revenue Service Form 8850 (accompanied by Form 9061 or 9062; employer is required to submit one or the other), income verification, verification of veteran status (DD214, Armed Forces Report of Separation Form), copies of letters of denial or certification, and computer printouts verifying that individual filed for other assistance programs.</p> <p>Arranged alphabetically by client on a quarterly basis.</p>		5		Authority: (Trade Act of 1974) 19 USC Chapter 12, Subchapter II.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>005.1 - Foreign Labor Certification Files (Originals)</b>                      This series consists of Application for Alien Employment Certification, correspondence and other certification documents that employers submit for foreign nationals. Documents are submitted in triplicate and two copies are sent to the USDOL. The USDOL makes a final determination and sends certification/denial to the employer and the State. The employer forwards certification to the INS for issuance of a work visa.</p> <p>Arranged by case number.</p>	H	S	Y	<p>S = After the files are scanned and images verified under ESD's standard operating policies and procedures, originals may then be disposed.</p> <p>There are approximately 400 new cases opened each year. The USDOL also maintains a case file.</p> <p>USDOL = US Department of Labor.</p> <p>INS = Immigration and Naturalization Service.</p>
<p><b>005.2 - Foreign Labor Certification Files (Electronic)</b>                      This series consists of Application for Alien Employment Certification, correspondence and other certification documents that employers submit for foreign nationals. Documents are submitted in triplicate and two copies are sent to the USDOL. The USDOL makes a final determination and sends certification/denial to the employer and the State. The employer forwards certification to the INS for issuance of a work visa.</p> <p>Arranged by case number.</p>	E	3	Y	<p>There are approximately 400 new cases opened each year. The USDOL also maintains a case file.</p> <p>USDOL = US Department of Labor</p> <p>INS = Immigration and Naturalization Service.</p>
<p><b>006.1 - Needs Related Payments (NRP) (Originals)</b>                      This is a monetary benefit provided to trainees under the WIA or NEG programs. Bi-weekly claim forms are signed by the student and a training facility representative, and then sent to this office for approval and payment. This series includes claim forms, Authorization for Support Services, financial plan, NRP Determination Requests, NRP Information Form. Requirements are similar to UI and TRA benefits.</p> <p>Arranged alphabetically by last name.</p>	H	S	Y	<p>S = After the files are scanned and images verified under ESD's standard operating policies and procedures, originals may then be disposed.</p> <p>WIA = Workforce Investment Act.</p> <p>NEG = National Emergency Grant.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>006.2 - Needs Related Payments (NRP) (Electronic)</b>                      This is a monetary benefit provided to trainees under the WIA or NEG programs. Bi-weekly claim forms are signed by the student and a training facility representative, and then sent to this office for approval and payment. This series includes claim forms, Authorization for Support Services, financial plan, NRP Determination Requests, NRP Information Form. Requirements are similar to UI and TRA benefits.</p> <p>Arranged alphabetically by last name.</p>	E	5	Y	WIA = Workforce Investment Act.  NEG = National Emergency Grant.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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