



Department of Education and Early Development  
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# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 453      Schedule No: 07-453.1**

DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT  
 EMPLOYMENT SECURITY DIVISION  
 453 - CAREER SUPPORT & TRAINING SERVICES

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.

Participant files are confidential under 20 CFR 627.463(b)(1); all other records are nonconfidential unless otherwise noted. This schedule supersedes #73602.

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 7/28/2008
Attorney General/Designee <i>Original signature held on file.</i>	Date 10/13/2008	Commissioner of Administration/Designee <i>Original signature held on file.</i> Date 10/24/2008
State Archivist <i>Original signature held on file.</i>	Date 11/4/2008	Records Analyst <i>Original signature held on file.</i> Date 7/25/2008

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Subgrant Files</b>                      This series includes copies of subgrants and all modifications/amendments, invoices, records of payments, monitoring reports and correspondence.</p> <p>Arranged alphabetically by type and year.</p>		C+5/A		<p>C = Until subgrant is closed out. Retain five years after subgrant is closed out; or, until independent or state single audit is concluded, whichever is later.</p> <p>These files are maintained in regional offices.</p>
<p><b>002.1 - Participant Files (Originals)</b>                      Series includes applications, eligibility determinations, movement forms, verifications, termination forms, follow-up data and other supporting documentation.</p> <p>Arranged alphabetically by type and year.</p>	H	C+5/S	Y	<p>C = After participant file is closed out.</p> <p>S = After documents are scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed. Not all offices have scanning capabilities; in this case, originals should be retained for the full retention period.</p> <p>Confidential under 20 CFR 627.463 (b)(1).</p> <p>Some information from the Participant Files is entered into the Management Information System (MIS).</p>
<p><b>002.2 - Participant Files (Electronic)</b>                      Series includes applications, eligibility determinations, movement forms, verifications, termination forms, follow-up data and other supporting documentation.</p> <p>Arranged alphabetically by type and year.</p>	E	5	Y	<p>Confidential under 20 CFR 627.463 (b)(1).</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>
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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>003.1 - Applications, Completed, Denied or Withdrawn (Originals)</b>                      Individual applications for participation in program.                       Arranged alphabetically by type.</p>		3/S		<p>S = After documents are scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed. Not all offices have scanning capabilities; in this case, originals should be retained for the full retention period.</p> <p>Confidential under 20 CFR 627.463(b)(1).</p>
<p><b>003.2 - Applications, Completed, Denied or Withdrawn (Electronic)</b>                      Individual applications for participation in program.                       Arranged alphabetically by type.</p>	E	3		<p>Confidential under 20 CFR 627.463(b)(1).</p>
<p><b>004.1 - Applications, Incomplete (Originals)</b>                      Individual applications for participation in program.                       Arranged alphabetically by type.</p>	H	1/S		<p>S = After documents are scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed. Not all offices have scanning capabilities; in this case, originals should be retained for the full retention period.</p> <p>Confidential under 20 CFR 627.463(b)(1).</p>
<p><b>004.2 - Applications, Incomplete (Electronic)</b>                      Individual applications for participation in program.                       Arranged alphabetically by type.</p>	E	1		<p>Confidential under 20 CFR 627.463(b)(1).</p>

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>005.1 - Self-Service Registration Forms (Originals)</b>                      This form ensures that WIA receives a count for self-service or informational activities of inquirers who have not applied for services under the WIA program. Forms are signed and entered into the MIS.</p>	H	S		<p>S = After documents are entered into the MIS, scanned and images verified under ESD's standard operating policies and procedures, originals may be disposed.</p> <p>The MIS is the statewide database used to track, monitor, and report participant information and services under WIA and STEP.</p> <p>WIA: Workforce Investment Act.</p> <p>STEP: State Training &amp; Employment Program.</p>
<p><b>005.2 - Self-Service Registration Forms (Electronic)</b>                      This form ensures that WIA receives a count for self-service or informational activities of inquirers who have not applied for services under the WIA program. Forms are signed and entered into the MIS.</p>	E	5		<p>The MIS is the statewide database used to track, monitor, and report participant information and services under WIA and STEP.</p> <p>WIA: Workforce Investment Act.</p> <p>STEP: State Training &amp; Employment Program.</p>

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