



Board of Barbering

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Board of Barbering

The Kentucky Board of Barbering is an agency of the Commonwealth of Kentucky. The Board consists of five Board members appointed by the Governor of the Commonwealth. Four of these members are barbers, while one is a public member.

The mission of the Board is to protect the health and safety of the Commonwealth of Kentucky as well as to protect the public against misrepresentation, deceit or fraud in the practice of teaching and/or barbering, by having complete supervision over the administration relating to barbers, barber shops, barber schools, the teaching of barbering, and barber apprenticeship.

The Board governs the location and housing of barber shops or schools; the quality of equipment, supplies, materials, records, and furnishings required in barber shops or schools; the training and supervision of barber apprentices; the qualifications of teachers of barbering; the hours and courses of instruction at barber schools; and the examinations of applicants for barber, apprentice barber, or teacher of barbering.

RECORDS RETENTION SCHEDULE

Signature Page

Board of Barbering
Agency

March 13, 2014
Schedule Date

Unit

Change Date

March 13, 2014
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

[Signature]
Agency Head

Feb. 5, 2014
Date of Approval

[Signature]
Agency Records Officer

February 5, 2014
Date of Approval

[Signature]
State Archivist and Records Administrator
Director, Public Records Division

3/12/14
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

3/13/14
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

[Signature]
Records Analyst/Regional Administrator

January 31, 2014
Date of Approval

[Signature]
Appraisal Archivist

3/12/14
Date of Approval

[Signature]
State/Local Records Branch Manager

3/12/14
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

3-12-14
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Barbering, Board of

Record Group
Number
0380

Series	Records Title and Description	Function and Use
01973	Master Folder (V)	This series documents information retained by the Board of Barbering ("Board") on licensed barbers in Kentucky per the requirements of KRS 317.410 - KRS 317.991. This series begins once the barber has completed the education requirements, passed the examination, and paid the license fee. Licenses are renewed annually. If the license is not renewed for five (5) years, the person must submit a new application and retake the examination.
	Access Restrictions	KRS 61.878 (1),(a) per personal information
	Contents	Series may contain: Application; exam scores; probation/apprentice application; license number; education history; medical exam; license cards; answer sheet; verification information; photo; renewal applications and fees paid; complaints and/or grievances and investigation and findings, if applicable; and disciplinary action, if applicable; correspondence
	Retention and Disposition	Retain in Agency until twenty- five (25) years after date of last renewal, then destroy.
01974	Licensed Barbers and Barbershops Listing (V)	This series documents a list of licensed barbers and barber shops by the Board of Barbering ("Board") for quick access. Information regarding licensed barbers is incorporated in series 01973, Master Folders and licensed shops is incorporated in series 01980, Licensed Barber Shop File.
	Access Restrictions	
	Contents	Series may contain: Name; address; phone number, license issue date; and license number.
	Retention and Disposition	Retain current list in Agency and update as needed.
01976	Drop-Out File	This series documents information regarding students who dropped out of barbering school. At the time of a student enrollment into a barbering accredited school, the Board of Barbering ("Board") receives a copy of the student's high school diploma or GED certificate and medical examination. This information is retained by the Board until the student completes school and passes the test. The school notifies the Board if a student has dropped out and sends the certification of hours completed. The student's records are then classified as a "drop out" and retained per this series. If the student re-enrolls, graduates and passes the examination, this information is placed in series 01973, Master Folders.
	Access Restrictions	KRS 61.878 (1)(a) per personal information
	Contents	Series may contain: Enrollment information; Medical exam; High school diploma or GED certificate; Certification of hours completed; Permit card
	Retention and Disposition	Retain in Agency five (5) years, then destroy.
01977	Individual Attendance Record	This series documents the attendance of all students each month at each barber school. Each barber school sends to the Board of Barbering a daily attendance record for each student enrolled to verify the number of hours completed by each student as required by KRS 317.450.
	Access Restrictions	None
	Contents	Series may contain: Name and address of school; dates of attendance; permit number; name of student; accumulative hours; and total hours of credit
	Retention and Disposition	Retain in Agency two (2) years, then destroy.

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STATE AGENCY RECORDS
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General Government
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Record Group
 Number
 0380

Series	Records Title and Description	Function and Use
01978	Barber Shops File - Inactive and/or Closed	This series documents the inactive and/or closed barber shops. An inactive barber shop is defined as a shop that has not submitted the annual renewal application and fee in a timely manner and if the shop has not meet the timely requirements of KRS Chapter 317, it then becomes a "closed" shop. A closed barber shop is defined as a shop that has officially notified the Board that it is no longer conducting business or a shop that has moved from "inactive" status to "closed".
	Access Restrictions	
	Contents	Series may contain: License number; name and address of shop; name of owner; phone number; name of manager; date of inspection; rating/grade received.
	Retention and Disposition	Retain in Agency until one (1) year after date shop is determined to be closed, then destroy.
01980	Licensed Barber Shop File	This series documents the Board of Barbering ("Board") license process and information regarding barber shops per the requirements of KRS 317.420, KRS 317.450 and 201 KAR 14:070. The license is renewed annually.
	Access Restrictions	
	Contents	Series may contain: License number; name, address, phone number of establishment; county; owner's name; signature of manager (must be licensed barber); fees submitted; renewal applications; inspection reports; and correspondence.
	Retention and Disposition	Retain in Agency until two (2) years after notification of closure or failure to renew license, then destroy.
03916	License Application File (Failed Exam)	This series documents the application file of persons that have failed the barber license examination prescribed by the Board of Barbering ("Board") after completing the required course hours as set forth in KRS 317.450. The applicants that fail may retake the test and pay an additional test fee within five (5) years.
	Access Restrictions	KRS 61.878 (1)(a) re personal information
	Contents	Series may contain: Application; exam scores; medical record; education history; answer sheet; photograph; and correspondence
	Retention and Disposition	Retain in Agency until five (5) years after date of last examination, then destroy.
06502	Barber Schools File	This series documents the application process and license issued to schools as approved by the Board of Barbering ("Board") for instruction or training in the practice of barbering per the requirements of KRS 317.450 and 201 KAR 14:090. Licenses are renewed annually.
	Access Restrictions	KRS 61.878 (1)(a) re personal information
	Contents	Series may contain: Application; name, address, phone number of applicant; names, addresses, phone numbers of instructors; license numbers issued by the Board; fees; renewal application; inspection reports; number of students, including names; student hours and grades; courses of instruction; classroom layout; and correspondence
	Retention and Disposition	Retain in Agency until five (5) years after closure, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
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STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Barbering, Board of

Record Group
Number
0380

Series	Records Title and Description	Function and Use
06503	Deceased Licensee Files	This series documents the records of licensees who are deceased and Board of Barbering has been notified of the death.
	Access Restrictions	KRS 61.878 (1)(a) re personal information
	Contents	Series may contain: Application; exam scores; probation/apprentice application; license number; education history; medical exam; license cards; answer sheet; verification information; photo; renewal applications and fees paid; complaints and/or grievances and investigation and findings, if applicable; and disciplinary action, if applicable; correspondence; notification of death
	Retention and Disposition	Retain in Agency until five (5) years after notification of death of licensee, then destroy.

Electronic System With Included Records Series

General Government Cabinet

Board of Barbering

System Description: The Kentucky Board of Barbering is responsible for the development and enforcement of state laws governing the safe practice of barbering, barbering education and licensing.

This database has personal, license, exam and discipline (if any) information concerning Kentucky Barbers, Probationary Barbers, Barber Instructors, Independent Contract Owners, Barbershops, and Barber Colleges.

This database is considered the only source for license verification and validation. Each license certificate has a visible expiration date.

System Contents: Barbers and Barber Instructors: demographic information, photograph, license application, education history, complaints, investigation finings, and correspondence.

Barbershops & Independent Contract Owners: owner name, license number, address and phone number of establishment, fees submitted, inspection reports, and correspondence.

Barber Colleges: address, phone number, instructor contact information, inspection reports, number of students, student hours and grades, courses of instruction, classroom layout, and correspondence.

General Schedule Items:

System Title:	Kentucky Board of Barbering Database	Alternate Title:	
Series #:	Series Title:	Disposition Instructions:	
01973	Master Folder	Retain in Agency until twenty- five (25) years after date of last renewal, then destroy.	
01974	Licensed Barbers and Barbershops Listing	Retain current list in Agency and update as needed.	
01977	Individual Attendance Record	Retain in Agency two (2) years, then destroy.	

System Title: Kentucky Board of Barbering Database

Alternate Title:

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
01978	Barber Shops File - Inactive and/or Closed	Retain in Agency until one (1) year after date shop is determined to be closed, then destroy.
01980	Licensed Barber Shop File	Retain in Agency until two (2) years after notification of closure or failure to renew license, then destroy.
03916	License Application File (Failed Exam)	Retain in Agency until five (5) years after date of last examination, then destroy.
06502	Barber Schools File	Retain in Agency until five (5) years after closure, then destroy.
06503	Deceased Licensee Files	Retain in Agency until five (5) years after notification of death of licensee, then destroy.