



Kentucky Department for Libraries and Archives

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.

Department for Libraries and Archives

The Department for Libraries and Archives addresses the state's information and knowledge needs by initiating and directing statewide activities for library and archive development and for public records management. Two divisions administer the Department's programs: Library Services, and Archives and Records Management.

RECORDS RETENTION SCHEDULE

Signature Page

KY Dept for Libraries and Archives

December 12, 2024

Agency

Schedule Date

Unit

Change Date

December 12, 2024

Date Approved By Commission

APPROVALS

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

DocuSigned by:



C4B05A33799E433...

Agency Head

12/13/2024

Date of Approval

DocuSigned by:



F25FB2B0E6434BA...

Agency Records Officer

12/13/2024

Date of Approval

DocuSigned by:



C4B05A33799E433...

Chair, State Libraries, Archives, and
Records Commission

12/13/2024

Date of Approval

Signed by:



501C0FATB01141F...

State Archivist

12/13/2024

Date of Approval

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

DocuSigned by:



F25FB2B0E6434BA...

Records Analyst/Regional Administrator

11/22/2024

Date of Approval

DocuSigned by:




767A3F5C540E417...

Appraisal Archivist

11/22/2024

Date of Approval

DocuSigned by:



F25FB2B0E6434BA...

State/Local Records Branch Manager

11/22/2024

Date of Approval

The determination as set forth meets with my approval.

Signed by:



20EA37AF102C4FC...

Auditor of Public Accounts or Designee

12/13/2024

Date of Approval

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education and Labor Cabinet
Kentucky Department for Libraries and Archives

**Record Group
Number
1670**

Series	Records Title and Description	Function and Use
06872	Volunteer File	This series documents applications to volunteer at the Department for Libraries and Archives. Volunteers must be over sixteen years of age and will be given meaningful tasks to assist with the work of the Department.
	Access Restrictions	Agency should consult legal counsel regarding open records matters.
	Contents	Series may contain: Volunteer Application (Date; applicants name, home address and phone, cell phone, work phone, home email, work email, preferred method of contact, age, availability to work, languages, special skills, hobbies or interests, educational background, previous library, archival or talking book experience, limitations on lifting, emergency contact information); agreements, waivers or releases; correspondence.
	Retention and Disposition	Retain until five (5) years after application or last volunteer assignment, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet Kentucky Department for Libraries and Archives Library Services Division Library Development Branch

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
05838	Public Library Tax Rate Development File (V)	This series documents the computation and approval of tax rates for public library districts in Kentucky, per the requirements of KRS Chapter 132. KDLA's Library Services Division staff assists library boards in computing potential tax rates for the upcoming fiscal year. Library Services staff compute and submit two options for each public library board: a compensating rate or an increase of four percent over the current years rate. The library board then enacts the approved rate. If the library board chooses to enact an increase above the compensating rate, it must hold a public hearing. Once the tax rate is approved, the library board completes a certification form. Copies of the certification go to the Fiscal Court Clerk and to KDLA. Library Services Division staff also provide library boards with information to allow completion of the Uniform Financial Information form for the Department of Local Government.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Correspondence from Division Director regarding tax rates, Worksheet for Certification Assessment for Local Government, Tax Calculations for Upcoming Year, Public Hearing Information, Uniform Financial Information Report (Department of Local Government), computation sheets, and hypothetical projections of tax revenues.
	Retention and Disposition	Retain seven (7) years, then destroy.
05980	Schools and Libraries Telecommunications Program File (E-Rate) -- Universal Service Fund (FCC)	This series documents the process by which public libraries apply for telecommunication services, internet access, and internal connections. The Schools and Libraries Program of the Universal Service Fund is intended to ensure that schools and libraries have access to affordable telecommunications and information services. This Program, also known as the E-Rate program, makes telecommunications and information services more affordable. In 1996, Congress mandated that the Federal Communications Commission use the federal Universal Service Fund to provide discounts to eligible schools and libraries. Applicants must provide notice that they are seeking services, request bids from approved vendors, and file an application to the Universal Service Fund for the discounted amount. Funds in this Program come from the service providers, including wireline phone companies, wireless phone companies, paging service companies, and certain voice over internet protocol providers.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: documentation of KDLA's E-rate form filing and compliance with E-rate program rules as required in paragraphs 45-50 in the FCC's 5th Report and Order (FCC 04-190) and Kentucky public libraries' technology plans and approval letters as required for Funding Year 2014 and earlier.
	Retention and Disposition	Retain ten (10) years after last date of service, then destroy.
05986	Construction Grant Project Files -- Local Public Libraries (V)	This series documents public library construction funded by grants from the Public Library Facilities Construction Fund, per KRS 171.027 and 725 KAR 2:015. When projects are in the planning stages, KDLA staff is required to approve sites and plans for public library construction and to consult and share opinions on the project as a whole. Once construction has begun, KDLA staff inspects occasionally and answers questions. This series contains materials that document the administrative and financial aspects of the construction project, not construction documents such as plans or blueprints, which are Series 05988, Construction Documents.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: contract specifications, reports, completed construction records, inspection reports construction material test, changeovers, insurance policies, fiscal documents, approved applications of construction funds, grant agreements, construction estimates, building programs, amortization materials, and library use agreements.
	Retention and Disposition	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
Library Development Branch

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
05987	Non-Grant-Related Construction Project Files	This series documents public library construction not funded by grants from the Public Library Facilities Construction Fund. For non-grant-funded projects, KDLA staff is consulted in a general manner, sharing opinions and answering questions. This series contains materials that document the administrative and financial aspects of the construction project, not construction documents such as plans or blueprints, which are Series 05988, Construction Documents.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: contract specifications, reports, completed construction records, inspection reports construction material test, changeovers, insurance policies, fiscal documents, approved applications of construction funds, construction estimates, building programs, amortization materials, and library use agreements.
	Retention and Disposition	Retain eight (8) years, then destroy.
05988	Construction Documents -- Public Libraries	This series represents original, to scale, construction documents such as drawings, plans, and blueprints, that are sent to KDLA. These are the actual construction documents and do not document administrative or financial aspects of the construction process. KDLA will have these materials for all projects funded by the Public Library Facilities Construction Fund, and for other projects as needed.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: tracings, reproducible drawings, specifications, plans and blueprints.
	Retention and Disposition	Retain permanently.
06014	Program Files (V)	This series represents program materials developed and used at projects promoting libraries, or projects conducted by public libraries, in Kentucky. Specific subjects covered include literacy, multiculturalism, and children's reading skills. These materials may be developed by Kentucky participants only or by Kentucky participants in collaboration with participants from other states.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: educational materials, programming materials, correspondence, publicity materials, posters, and other paraphernalia.
	Retention and Disposition	Retain permanently in agency or transfer to Archives.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet Kentucky Department for Libraries and Archives Library Services Division Library Development Branch - Continuing Education

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
00803	Public Librarians Certification File (V)	This series documents certifications of Kentucky's public librarians by the Kentucky State Board for the Certification of Librarians. Per KRS 171.230-300, the board grants certificates of librarianship to qualified applicants. Any librarian, or anyone in any other full- or part-time library service position, at libraries falling under the provisions of KRS 171.230 to 171.300, must be certified by the board. The goals of this certification program are to improve library service throughout the state; to motivate public librarians to acquire, maintain, and develop their skills through basic and continuing education; to recognize public librarians who, on a continuing basis, update their knowledge and skills in order to provide better library service to their patrons; to improve the public image of librarians and libraries; to provide guidelines for public library boards and supervisors to use in selecting and retaining personnel; and to aid in structuring library educational programs to better meet the educational needs of librarians.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, transcript, Annual Summation of Learning Activities, correspondence.
	Retention and Disposition	Retain until two (2) years after application becomes inactive, then destroy. Return incomplete or rejected applications to applicant.
06940	Non-Public Librarian Certification File	This series documents certifications of Kentuckys non-public librarians by the Kentucky State Board for the Certification of Librarians.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: original application, transcript, annual summation of learning activities, correspondence.
	Retention and Disposition	Retain until two (2) years after application becomes inactive, then destroy. Return incomplete or rejected applications to applicant.
06941	Learning Activity Reports	This series represents the Continuing Education Learning Activity Report for public and non-public library staff. Library Services staff use this report and supplemental materials to verify that continuing education requirements have been met.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may include: continuing education learning activity report, supplemental materials.
	Retention and Disposition	Retain three (3) months, then destroy.
06942	Trustee Certification File	This series documents the certification of trustees of public library boards. The Kentucky Public Library Trustee Certification Program provides Kentucky public library trustees with the information they need to fulfill their responsibilities to their library and their community.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application, learning activity reports, orientation checklist, correspondence.
	Retention and Disposition	Retain until four (4) years after end of term, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
Library Development Branch - Continuing Education

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
06943	Library Science Tuition Scholarship	This series documents applications for the Library Science Tuition Scholarship. The scholarship may be used for undergraduate and graduate library science courses. Under KRS 171.303 - 171.306, the Certification Board is authorized to encourage library science education for public library staff by offering library science scholarships for the successful completion of classes from accredited or approved programs. Money is collected from the certification fees to fund the scholarship.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: scoring rubric, applications, letters of recommendation, approval, transcript, correspondence.
	Retention and Disposition	Retain until three (3) years after completion of course, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
Talking Books Branch

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
05981	Kentucky Books Master Recordings (V)	<p>This series represents a collection of audio books recorded by the Kentucky Talking Book Library (KTBL). KTBL records books of special interest to Kentucky readers to supplement the National Library Service for the Blind and Print Disabled (NLS) talking book collection. From 1977 to approximately 2007 these were recorded on reel-to-reel tapes. The original reel master was stored to make additional cassette copies if needed. KTBL is methodically converting these analog recordings from reel tape to digital format. Since 2007 all books have been recorded digitally. Both new and converted recordings are edited for sound quality and formatted to guidelines established by the NLS. Completed files are stored on the KDLA network on an external hard drive, and reel masters are destroyed. From 2007 to 2017, a physical master was burned to DVD and saved with the Kentucky master collection while copies were transferred to digital cartridge for circulation to patrons. In 2015, KTBL began uploading its new and converted talking books to the NLS BARD download website. In 2017, KTBL began circulating books via a duplication on demand system, and it no longer houses physical copies for circulation. Occasionally, a title will be re-recorded or is weeded from the collection altogether and the masters destroyed. Per 17 USC 1:121(b)(1)(a), these recordings are restricted for use by blind or other persons with disabilities.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Reel master tapes, one for each "side" of a 2 or 4-track cassette tape; DVDs of digital recordings, 1 for each "side" of a 4-track cassette tape. Digital recordings contain audio and several associated files.</p> <p>Retention and Disposition Screen and destroy obsolete tapes at the discretion of Kentucky Regional Librarian for National Library Service.</p>
05982	Kentucky Talking Book Library Catalog (V)	<p>This series documents a listing of braille, talking books, and magazines available to patrons of the KTBL. Most records are created by NLS and imported electronically when a new title is acquired and deleted if it is removed from circulation. The record is used as an inventory of all material available at KTBL and as an index/finding aid. The catalog is maintained in the WebReads Reader Enrollment and Delivery System.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Books -- title, author, identification number, annotation, narrator, exclusion criteria, availability and circulation statistics, assigned subjects, volume/copy status; Magazines -- title, annotation, producer, number of subscriptions, issue information, requests, availability, copy status.</p> <p>Retention and Disposition Retain current entries. Destroy as items are weeded from collection.</p>
05983	Kentucky Talking Book Library Reader File (V)	<p>This series documents applicants who wish to receive materials from the Kentucky Talking Book Library and any major changes in their service. The application must be signed by competent authority certifying the patron is physically unable to read standard print, and it must identify the type of disability (blindness, visual, physical, or reading disability). This is for copyright purposes and to qualify for the USPS free matter mailing. The library must keep the application for as long as the patron remains an active user, then for five (5) years afterward (NLS Network Library Manual, section 9.8.5). Examples of major changes to service include name change, transfer from service area, cancellation, or reactivation.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Original patron application, transfer records for established patrons moving to KY from another state, change in service forms, cancellation forms, transfer out records for those patrons moving out of Kentucky, unusual correspondence that warrants saving (ex: letters related to suspension of service due to violations of policy, proof of veteran status, etc), parental acknowledgment.</p> <p>Retention and Disposition Retain original certified application for five (5) years following the determination that the reader or deposit collection agency has become inactive, then destroy. Retain the supplemental parental acknowledgement for five (5) years after applicant turns 18, then destroy.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
Talking Books Branch

Record Group
Number
1670C

Series	Records Title and Description	Function and Use
05984	Kentucky Talking Book Library Reader Materials File (V)	This series documents KTBL patron information and circulation of reading materials and playback equipment. Each patron's book requests, books and equipment on loan, and circulation history are found in this series. This also include information on subscriptions to periodicals distributed by NLS. This series is maintained in the WebReads Reader Enrollment and Delivery System.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Patron's name, contact information, disability, birthdate, reading interests, circulation profile, notes, book requests, books on loan, book has-hads, magazine subscriptions, playback equipment loan history.
	Retention and Disposition	Delete patron record at the end of the federal fiscal year in which service is cancelled.
05985	Audio Equipment File	This series documents playback equipment owned by NLS but maintained and distributed by KTBL. The Talking Book Library loans proprietary digital audio and braille devices that are only available to registered uses of the Library of Congress Talking Book Program. They are not available to the general public in order to protect authors' copyright. Repairs or replacements are made at no cost to the patron; equipment must be returned when no longer used by the patron. Staff manage inventory and perform repairs when needed. This series is maintained in the WebReads Reader Enrollment and Delivery System.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Machine model, ID number, status, assignment, repair history, and notes.
	Retention and Disposition	Destroy when equipment is destroyed or no longer owned by the Kentucky Talking Book Library.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
State Library Services

Record Group
Number
1670L

Series	Records Title and Description	Function and Use
00676	Library Catalog (V)	This series documents the holdings of the Kentucky State Library and is maintained through the Online Computer Library Center (OCLC). State Library staff members attach information for individual holdings to OCLC catalog records. The system used to access the catalog is OCLC WorldShare Management Services.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Item title, author, physical description, location, call number, number of items, status, series, notes, subject headings, ISBN, Voyager or OCLC accession number, cataloging information.
	Retention and Disposition	Retain entry until the item is no longer held by the library, then remove holding.
00681	Periodicals Received (Kardex Card File)	This series documents daily acquisition by the State Library of the Kentucky State Journal newspaper. Individual cards contain check boxes for the various dates in a given year and each box is marked as the paper is received. Each year's acquisition is added to the library catalog at year's end.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Title, year, notes, dates, note whether paper is received.
	Retention and Disposition	Retain until information has been entered into the library catalog, then destroy.
00687	User Account File (V)	This series documents the application for library accounts maintained by the State Library, as well as the activity on those accounts. Applicants submit information either online or in paper; the information is then transferred to the patron database. State employee accounts are valid for three (3) years and can be renewed. Non-state employee accounts are valid as long as the patron remains a Kentucky resident.
	Access Restrictions	KRS 61.878(1)(a) - Library Account Number, materials checked out. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and contact information of patron, library account number, materials currently checked out, and fine history.
	Retention and Disposition	Retain Kentucky state government employee account information until three (3) years after last transaction, then destroy. Retain non-Kentucky state government employee accounts until staff is notified that patron no longer qualifies for an account, then destroy.
00694	Kentucky Union List of Serials	This series documents serials holdings of the Kentucky State Library and various other libraries in the Commonwealth. Records are maintained through OCLC and allow other libraries to see the serials holdings at multiple libraries. State Library staff members create records for other libraries when those libraries do not have the resources to do so.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Item summary (volume and years), format, title, OCLC library code, retention statements, language, accession number for bibliographic record.
	Retention and Disposition	Retain individual record until item is no longer held by the library.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
State Library Services

Record Group
Number
1670L

Series	Records Title and Description	Function and Use
06487	Media Scheduling Reservation List (V)	This series documents kit materials requests by public libraries through the Kit Keeper reservation system. The kits are sets of multimedia materials such as books, videogames, and other audio/visual materials that help with public library programming.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of library, title and barcode of item.
	Retention and Disposition	Retain for one (1) year, then destroy.
06488	Kentucky Virtual Library (KYVL) Courier Pickup Form (V)	This series documents materials that are sent to various public, academic, and special libraries in Kentucky via the KYVL Courier. The KYVL Courier is a contracted delivery service that picks up materials once per day, five days per week. These forms serve to resolve any disputes that may arise over library materials.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of library, barcode number of the package, and the number of items in the package.
	Retention and Disposition	Retain for one (1) year, then destroy.
06489	Circulation Checkout Record (V)	This series documents materials checked out to patrons by staff. These materials include books, large print and audiobooks, DVDs, and programming kits.
	Access Restrictions	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Patron barcode, title(s) and barcode(s) of the circulating items, checkout date, due date.
	Retention and Disposition	Retain record until item is returned, then delete.
06491	Fees Notice (V)	Deleted and absorbed into Series F0141, Accounts Receivable Records. This series documents fees that are assessed to patrons for items that are lost, damaged, or never returned. A notice is generated in the OCLC WMS system. An invoice is then created and forwarded to KDLA's Fiscal Office. A record of fees is maintained in the patron's account. If the fee is paid, the patron's account is credited. If the item is returned, the account is cleared.
	Access Restrictions	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of patron, title and barcode of overdue item, and cost if item is not returned.
	Retention and Disposition	Transfer to Fiscal Services Office upon generation of notice. The record is maintained until eight (8) years after the transaction per Series F0141, Accounts Receivable Records, from the General Schedule for State Agencies.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Library Services Division
State Library Services

Record Group
Number
1670L

Series	Records Title and Description	Function and Use
06493	Interlibrary Loan Transaction File	This series documents interlibrary loan (ILL) requests handled by State Library staff. Requests come in through the Ask-a-Librarian service. Staff make a request through OCLC. Requests may be handled through circulation transactions or via e-mail.
	Access Restrictions	KRS 61.878(1)(a) - Circulating items. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Item request, patron name and contact information, library string, lender information, status, and OCLC transaction number.
	Retention and Disposition	Retain until three (3) years after transaction is completed, then destroy.
06496	Acquisition Selection File	This series documents the selection process for items to be acquired by the State Library. The Materials Selection team searches various catalogs, journals, vendors' mailings, and websites to find items that are in line with the State Library's collection policy and could be ordered. Items are added to selection surveys, which are reviewed by the Materials Selection team. Team members vote via selection surveys; votes on individual items are totaled. The items are prioritized by votes.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Selection survey and votes.
	Retention and Disposition	Retain for one (1) year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
06064	Finding Aids	This series represents item- or collection-level descriptions created by Archives and Records Management Division staff. These descriptions facilitate physical and intellectual control over particular materials in the Division's possession. They also help researchers to access information in a collection and understand the records they are using. Collections at the Archives for which finding aids have been created include those for selected Circuit Court records, Confederate Veterans Home records, and Naturalization records. Most finding aids are created and maintained in database format.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency name, record type/series, individual name, date of record, location of record in Archives Center, general or related information.
	Retention and Disposition	Destroy when collection is no longer in the possession of the Archives and Records Management Division.
06464	Attorney General Records Management Referral File	This series documents referrals of state or local public agencies by the Attorney General's Office to the Archives and Records Management Division. Per KRS 61.8715, the legislature has found a direct relationship between the intent of the Open Records Act (KRS 61.870-884) and the Public Records Act (KRS 171.410-740). These referrals occur when agencies in the process of responding to Open Records appeals are found by the Attorney General's Office to have managed their records inappropriately according to KRS 171.410-740. ARMD staff meet with the agency personnel to review the records management issues raised in the matter and provide guidance. These visits are purely advisory, in no way punitive, and do not involve enforcement. A form is completed by ARMD staff documenting issues raised and actions taken. A copy of this form is sent to the Attorney General's Office for inclusion in the Open Records Decision File (04270), which has a permanent retention.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Letter of referral from the Attorney General's Office, a copy of the Open Records Decision, Request for Records Management Review Form, Open Records Decision number, Date request received from AG, Name of party involved, Records management issues raised, and ARMD actions.
	Retention and Disposition	Send a copy of the Request for Records Management Review Form to the Office of Attorney General. Retain ARMD file for three (3) years, then destroy.
07055	Off-Site Storage Evaluation	This series documents the review and approvals of off-site storage facilities to determine whether they meet the department's standards for storing government records. If a public agency does not store records at the State Records Center, the alternate off-site facility must be approved by the State Archivist or designee.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency request, State Archivist response, ARM Division review and checklist, agency's agreement or contract with off-site facility, and related correspondence.
	Retention and Disposition	Retain evaluations until five (5) years after expiration of review, then destroy. Retain approvals for as long as records are stored in location, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
07056	Accession Register	This series documents the transfer of custody of records from the originating agency to the State Archives, the originating agency to the State Records Center, or the security microfilm accessioned into the State Archives vault. It lists records that are received in sequence by date and accession number and serves as a finding aid until all processing procedures are completed.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Accession number, date of accession, series number, record group number, agency name, microfilm roll number, and location.
	Retention and Disposition	Retain permanently.
07058	Eye-Readable Exemption File	This series documents an agency's petition to the State Archivist or designee to maintain scanned, permanently valuable public records without manual, eye-readable backup. For an exception to be considered, an agency shall document in writing the following elements in its imaging procedures, as outlined in the Policy Memorandum on the Storage of Public Records as Scanned Images: accuracy and completeness of records, maintenance and retention of documentation, audit trails and security, access to records, backup, equipment maintenance, training programs, compression algorithms, and migration of data.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency's petition, State Archivist's response.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
06063	Correspondence Log	This series documents incoming and outgoing correspondence for the Research Room and Archives Center at the State Archives, along with any charges for copies and services. Branch staff receive correspondence requesting copies of records or regarding other research matters. The correspondence is logged and the request is handled appropriately.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date received, reference number, archivist, record group number, agency name, contact name, patron name, business name, patron address, patron phone and fax, mail/phone/walk-in request, research fee, pre-payment, amount returned, payment, edit date, lookup, record type (judicial, state, local, federal, publication), series flag, series number, series title, record title, folder title, case number, location, inter-account or invoice, number of copies, charges, number of records used, date answered, initials, date paid, comments, date first letter sent, date second letter sent.
	Retention and Disposition	Retain entries five (5) years, then destroy.
06065	Record Group Code File	This series represents the record group codes assigned to entities holding or managing Kentucky's public records or private records of public interest. The codes are assigned by Archives and Records Management Division staff for purposes of identification while conducting retention scheduling or other records management or archival activities. A record group is a set of records that are classified or arranged together. The record group code is a unique identifier attached to that set of records or to the entity holding or managing them. Record group codes may be assigned to state or local government agencies at all levels, individual office-holders, private entities, specific retention schedules, or particular types of records.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: name of entity, record group code, notes.
	Retention and Disposition	Retain current file. Destroy obsolete versions as they are superseded.
06533	Public Exhibit File	This series documents exhibits displayed by the Archives and Records Management Division. Exhibits are created and displayed mainly to highlight or commemorate events, such as the anniversary of the Department's building or the 100th birthday of Dr. Thomas D. Clark. Once the displays are removed, any original records or publications that have been used are returned to the collection.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: photographs, originals or duplications of records or publications, labels or captions with descriptive information.
	Retention and Disposition	Retain until exhibit is removed, then transfer to Archives for permanent retention. Return any original document(s) or publication(s) to their respective location(s) in the appropriate collection(s).

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
06840	Expungement Order File	This series documents KDLA's activities in the expungement of certain Class D Felonies from individuals criminal records. Enacted by the 2016 General Assembly, KRS 431.073 allows the expungement of those Class D Felonies after application by the individual and upon order of the court. This includes expungement of "all records in the custody of the court and any records in the custody of any other agency or official." Upon receipt of an expungement order from a Circuit Court, KDLA staff members ensure that either the records are not in the department's custody or that appropriate steps are taken to expunge the records that KDLA does hold. An expungement order may apply to an acquittal, a dismissal with prejudice, a failure to indict, or a conviction.
	Access Restrictions	KRS 431.073(6) - Once records have been expunged, "agencies shall reply to any inquiry that no record exists on the matter." Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: AOC-496.4 - Order on Application to Vacate and Expunge Felony Conviction, and AOC-497 - Expungement Order (for Acquittal, Dismissal with Prejudice, or Failure to Indict). These contain county; court; case number; applicant's name, address, phone number, Jail ID Number, birthdate, social security number, arrest date; Findings of Fact (charges, whether the applicant has met all statutory requirements for expungement); order denying or granting the petition; judges signature and date; certification that the agency has no records or that expungement has been completed, agency records custodian and date; Uniform Citation, Kentucky State Police Certification Form, background check; Order Sealing Records for Successful Defense and Prosecution; Commonwealth Attorney's response.
	Retention and Disposition	Retain permanently.
06843	Expungement Order Log	This series represents a log of the expungement orders received from a Circuit Court. The log documents the actions taken to ensure that any records related to an expungement order sent to KDLA are either properly expunged or not in the department's possession. If a record is in an order book or on microfilm, particularly steps that are taken to see that it is sealed and references to it are removed.
	Access Restrictions	KRS 431.073(6) - Once records have been expunged, "agencies shall reply to any inquiry that no record exists on the matter." Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date order is received, name of applicant, county, case/bundle/drawer number, date order filed, order book number, roll number, no records/expunged, date certified order is sent, staff initials, comments.
	Retention and Disposition	Retain permanently.
07057	Reappraisal and Deaccession Assessment	This series documents reappraisal assessments for permanent series held by the State Archives. Assessments help weed non-permanent records from the collection, improve use of space in the State Archives Center, and improve intellectual control of the records in the division's custody. If series are found to be non-permanent as a result of schedule revisions or reappraised as not meeting the scope of the Archives Center, the associated records will be deaccessioned. They will be returned to the owning agency's intellectual custody.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency name, record group number, series number, series title, series description, volume, location, assessment, and related correspondence.
	Retention and Disposition	Retain until one (1) year after assessment completed, then destroy. Attach deaccession form to transmittal and retain per series 00629, Records Transmittal.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch - Archives Center

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00666	Document Preservation Job Description (V)	CLOSED SERIES. This series documents records brought into the preservation laboratory for conservation work. It lists the work to be done and the reason(s) for restoration/conservation. It also acts as an identification of ownership while the record is in the laboratory. While the preservation work is being done the job description remains with the appropriate records.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Agency name, address, person received record from, job number, date received, contact name, telephone number, received by, title of document, number of pages, number of leaves, condition of records, reason for restoration, instruction, date started, procedures list, cut down, collated, cleaned, removed tape, screened deacidified, number of leaves preserved, amount of work time date completed, date returned, cost-materials/labor. (dates and hours worked written on back by preservation laboratory staff)
	Retention and Disposition	Retain permanently at agency.
06135	Private Records of Public Interest	This series represents materials from private sources or the private papers of public officials that are maintained by the State Archives as evidence of the organization, functions, policies, and transactions of state government. KRS 171.620 authorizes the Department for Libraries and Archives to collect these types of materials.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains private papers and other materials of individuals or organizations and may include correspondence, publications, awards and other materials.
	Retention and Disposition	ARMD staff will review the records, subject to approval of the Division Director, and deaccession materials not directly related to documenting the organization, functions, policies, and transactions of state government. Retain the balance of materials permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch - Publications

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00667	History of the Checklist	CLOSED SERIES: The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series is a narrative history of the Kentucky Checklist for State Publications. It covers the origin (1962) of the Checklist, and documents which state programs were used as a model. It also notes problems and a criticism of the first Checklist. The Publications Program is currently writing an updated History of the Checklist to include the last 28 years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: A narrative report on the history of The Kentucky Checklist for State Publications
	Retention and Disposition	Retain one (1) copy in the branch. Transfer one (1) copy to the State Archives Center. Destroy excess copies when no longer needed.
03747	Kentucky Guide Program Repository Files	CLOSED SERIES. This series documents information collected by staff of the Kentucky Guide Program. The Guide Programs mission is to survey archival and manuscript repository collections in Kentucky and to compile, edit, and publish a guide to those collections. These repositories include college, state and local libraries; historical societies; museums; local governments; corporations; organizations; and holdings maintained by the Archives and Records Management Division. The National Historical Publications and Records Commission first awarded funding to the Guide Project in 1978. Continued funding for the Program has come from the Library Services and Construction Act, now the Library Services and Technology Act under the Institute for Museum and Library Services. Information on each Kentucky repository is maintained in paper format and in a database. Each file includes a description of a specific repository; a summary of its holdings; and various forms used to collect information on the Kentucky repositories over time. The forms include the Kentucky Guide Data Sheet, the Kentucky Guide Program Description Form, the Archival Control Form, and the Kentucky Guide Program Indexing Form.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Data elements at repository level include - name of repository, address, telephone, hours of operation, copying facilities, users fee, access restrictions, acquisition policy, volume of material, inclusive dates, bulk dates, brief description, notes. Data elements at collection, subgroup, and series levels include - location of material, conference name, title, variant title, birth and death dates, form of material, inclusive dates, bulk dates, quantity, occupational title, summary, function and use, contents, historical or biographical note, preceding series, succeeding series, forms a part of, related records, predecessor agency, successor agency, location of associated materials, arrangement, access restrictions, finding aids, condition of material, notes, date of input, date of update. Data elements on indexing forms include - corporate organization name, personal name, subject, geographic, subject selector,
	Retention and Disposition	Transfer to State Archives for permanent retention when no longer needed administratively.
04035	Checklist of State Publications	CLOSED SERIES. The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series was created to provide wide access to state agency publications, excluding university publications, collected by the Division's State Publications Program as required in 725 KAR 1:040. The series is published quarterly by the Division and is distributed to libraries and other research institutions across the United States and abroad. It is also made available to Kentucky state agency managers who use it to gain access to government produced reports. The series also serves as an index to the Divisions microfilmed collection of state agency publications.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Cumulative key word title index, agency name index, accession number, classification number, title of publication, date of publication, physical description
	Retention and Disposition	Retain one (1) copy permanently in the branch. Transfer one (1) copy to the State Archives Center for permanent retention. Destroy excess copies when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch - Publications

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
04902	Core State Publications File	CLOSED SERIES: The work of the State Publications Program was taken over by the Joint Committee on State Documents in January 2006. This series documents a complete set of state agency publications held by the Department, in a microfilm format. The series serves as a processing file for conversion to a digital format. The publications identified in the series are considered essential in providing minimal reference service on Kentucky topics. The designation "core publication" was established in 1991 by the Kentucky Library Association, Government Documents Roundtable, Committee on State Publications, in consultation and cooperation with the Kentucky State Publications Program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Various state agency publications
	Retention and Disposition	Destroy after reformatting

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Archival Services Branch - Research Room

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00647	Research Microfilm Finding Aid	This series represents an index that includes summary listings for selected permanent records held in hard copy and on microfilm by the Archives and Records Management Division. Volumes are organized by county and include sections on available original records, Circuit Court records, County Court records, and other records available on microfilm. The listings include brief descriptions of original records and their location and listings of the contents of microfilm rolls and roll numbers. These are intended to aid researchers in locating materials.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of County and agency, title of original records, brief description, location, Microfilm roll number, roll contents, date span.
	Retention and Disposition	Retain current volume permanently. Destroy outdated volumes when superseded.
00648	Researcher Registration Form	This series documents the registration of researchers using records in the Research Room. It is used for statistical purposes to show how many researchers were served.
	Access Restrictions	KRS 61.878(1)(a) - Driver's License Number, records used. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Rules for use of archival material, signature of researcher, date, home address, driver's license number/state, records used.
	Retention and Disposition	Retain for five (5) years, then destroy.
00649	Patron Requests	This series documents requests received by Archival Services staff and includes requests for records and requests to copy materials used by researchers in the Archives Research Room when the copies are made by staff after the researcher has left. This series serves as a protective measure for requested records and is used for statistical purposes showing the number and types of records being used.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Patron name and contact information, information about record(s) requested, number of copies or scans, costs for copies/scans/postage, request taken/completed by whom, date completed by whom, number of records used, reference number, method of payment.
	Retention and Disposition	Retain copy sent back with file for three (3) years after record is refilled, then destroy. Destroy other copies when record is reshelfed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Director's Office

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00709	Periodic Statistics File	This series documents statistical and narrative information about the functions and activities of the Archives and Records Management Division and its branches. It was originally produced as a weekly statistical report. Since 1980, it has been produced on a monthly basis. The series is the primary source of information on the administrative history of the Archives and Records Management Division and is kept permanently in lieu of a published annual report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Quarterly Statistical Reports (pre-1980): Date of quarter, record center holdings, end of previous fiscal year, holdings beginning of, records accessioned, disposal, records returned permanently to agencies, number of records destroyed in agencies, number destroyed in records center, total space cleared, number of agencies requesting records, total number of record requests number of interfiles, number of refiles, number records examined at center, memorandum. Cumulative Monthly Statistics File (post-1979): Statistical and narrative information on the different branches of the Archives and Records Management Division including the State Records Branch, Micrographics Branch, Archival Services Branch, Local Records Branch, and the Technology Analysis and Support Branch. Also, contains statistical information on the various programs of the division including the Preservation Laboratory and the State Records Center. May also include directors calendar of activity
	Retention and Disposition	Retain five (5) years, then transfer to the State Archives Center for permanent retention.
03109	Grant Project File (Archives and Records Management Division/State Historical Records Advisory Board)	This series documents grant projects that are grant-funded through such sources as the National Historic Publications and Records Commission (NHPRC) or the National Endowment for the Humanities, etc. The projects may be administered by the Archives and Records Management Division, the State Historical Records Advisory Board, or another archival repository in Kentucky. This file will provide information on project planning, application procedures to secure grants, contract negotiations, and final results. Examples of such projects are the Machine-Readable Records Project, Reflections of the Past, and the Guide Project. This series will provide historical information on what type of grants were received by various organizations, what projects were initiated, what results were seen, what programs were continued or absorbed by the Division as on-going programs, etc. The information derived will be a valuable tool for the securing of future grants. Additionally, the creation of this series will provide a central location, upon completion of a project, for key documents crucial to the administration of grant monies.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Planning documents, applications for grants, copies of contracts and related information, addendums, agreements, periodic and final reports, fiscal reports, and related correspondence.
	Retention and Disposition	Retain until five (5) years after project closure, then transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Local Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
03295	Grant Project Folder (V)	This series documents the Local Records grant process from approval of application to project closure. It provides documentation of every significant activity of the project including expenditure of funds and completion of project work. Once a grant is awarded, administration rests with the Local Records Branch. This series documents that administration process.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application form, bid proposal(s), evaluation sheet, press releases, resolution regarding codification of cities ordinances (when applicable), statement of obligation agreement (with exhibits), project status and financial expenditure report(s), with supporting documentation, amendment request form, amendment(s) to the agreement, Kentucky Department for Libraries and Archives closeout checklist, full record listing, coded certified mail cards-return receipt requested, and related correspondence.
	Retention and Disposition	Retain until five (5) years after project closure, then transfer to the State Archives Center for permanent retention.
03298	Demonstration Grant Project Folder	This series documents the distribution of grant funds for the federally funded demonstration grant program. The success of this program, funded by the National Historical Publications and Records Commission in 1983, led to the establishment of a state funded Local Records Grant program. The successes and failures of grant administration procedure documented in this series, were and are important as learning tools as a state program develops. These files may also be useful for research purposes for other states considering a similar program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application form, agreement between the Department and Local Government, and correspondence related to the subject
	Retention and Disposition	Retain until five (5) years after project closure, then transfer to the State Archives Center for permanent retention.
03299	Demonstration Grant Project Applications Not Funded	This series documents applications for grants not funded under the federally-funded demonstration grant program. The success of this program, funded by the National Historical Publications and Records Commission in 1983, led to the establishment of a state funded Local Records Grant program. The successes and failures of grant administration procedure documented in this series, were and are important as learning tools as a state program develops. These files may also be useful for research purposes for other states considering a similar program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name, address, phone number of local government; records custodian - name, title, address, phone number; fiscal official or payee - name, title, address, phone number; cost of project, project personnel, brief description of project, previous actions to protect records, lasting benefits - Will continued grant support be needed - at what level, budget, signature of two local government officials
	Retention and Disposition	Retain until five (5) years after project closure, then transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Local Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
03300	Local Records Surveys	This series documents the records held by local government agencies. This series was created as a tool to collect general information about agencies records management practices, conditions, and needs, as well as specific, series level information. This series provides the branch with basic information necessary to plan and administer the local records program. Individual surveys provides a snapshot of conditions in an office. When considered together, the surveys will provide a picture of records management conditions of local public agencies statewide.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency name, previous grant activity, surveyor, date of survey, series number, series title, date span, medium, cubit foot/volume, microfilmed per Kentucky Department for Libraries and Archives standards, format codes, series damage codes, physical description/remarks, records management overview, and general records management needs
	Retention and Disposition	Retain permanently.
03301	Grant Fund Draw Memo	This series documents the checks requested for release in accordance with payment schedules in the Local Records Agreement, which is filed in the Grant Project Folder (03295). This is a memo sent to the fiscal office of the Kentucky Department for Libraries and Archives from the Local Records Branch Manager requesting that the grant check be sent to the grant recipient from funds in the Local Records subprogram.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of local agency and amount of the grant.
	Retention and Disposition	Retain until three (3) years or after audit, whichever is longer, then destroy.
03302	Applications - Denied Grants	This series represents applications submitted for funding under the Local Records Grant Program that were denied. Deferred applications are active until either approved or denied. Approved applications become a part of the Grant Project Folder (03295). A record of denied grants is also maintained as Series 03307, Grant Project Evaluations, which is a permanent record.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name, title, address, and phone number of local government applicant; estimated project cost; How will grant funds be used; What records will you be working with; list of preferred vendor(s); What lasting benefits will be achieved; previous actions to protect records in your office; Will continued grant support be needed; two signatures of local government administrators; at least two itemized project bid proposals; application evaluation sheet
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Local Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
03307	Grant Project Evaluations	This series was created to provide a quick reference to details of current and past Local Records grant projects. It consists of copies of the evaluation sheets prepared for all Local Record Grant Applications, whether awarded, denied, or deferred. Although originally prepared to provide the Regional Administrators evaluation of the project applications merits for the awarding authorities, the evaluation sheets also provide the specific and concise details of the project. This information is needed by virtually all the Local Records Branch staff in the administration of the grant program. Taken as a whole, this series provides a concise historical picture of the Local Records Grant program to date. This series is cumulative.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Fiscal year, project number, amendment number (if applicable), local government (Recipient), amount requested, project proposal, evaluation and recommendations of the local records staff including the detailed description of the project and recommended budget.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
Micrographics and Imaging Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00655	Microfilm Control Sheet and Inspection File	This series documents the specifics of each filming project undertaken by the Micrographics Branch. It serves as an input document to the Microfilm Tracking and Accessions System. It also documents the inspection of each roll of film produced by the Branch. Information from the series is used to electronically create the Records Transmittal to the State Archives Center or the State Records Center (00629), after completion of filming projects. Information from this series is used to create agency interaccount bills and invoices for payment purposes. In those cases where information about filming projects is not entered into the automated application, this series represents the supporting documentation needed to substantiate billing records.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Microfilm Control Sheet contains - date, name of camera operator, roll number, auto feed, hand feed, reduction ratio, exposure, film size, document count, series number, record group number, agency name, administrative unit, title of record, earliest date, latest date, filming sequence, and contents. Inspection Report contains - date, agency name, camera operator initials, roll number, reviewed by, retakes, no retakes necessary
	Retention and Disposition	Destroy after information has been input into Series 03745, Microfilm Tracking and Accessions Subsystem, and agency interaccount or invoice has been received as paid. NOTE: Destroy after three (3) years and audit, if information has not been input into Series 03745
04174	Certified Vendor File	This series documents the certification of individual Micrographics Laboratories to film Kentucky public records. Pursuant to KRS 171.450, the department is responsible for developing the standards and procedures for recording, managing, and preserving public records and for the reproduction of public records by photographic or microphotographic processes. Specific standards which must be met include film formatting, proper use of targets and proper splicing, depositing of the camera original silver security master with the Archives and Records Management Division, compliance with accepted standards for film density and resolution, monthly submission of test strips of film throughout period of certification, and compliance with procedures for the transfer, evaluation, and destruction of public records. To maintain certification, all submitted microfilm must pass department standards and must be filmed in accordance with department procedures. Failure to follow these standards and procedures may result in de-certification of the laboratory.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Monthly film strip test documentation, correspondence, copy of certification certificate, and certification request
	Retention and Disposition	Retain three (3) years after de-certification, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
State Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00625	Records Retention Schedules for State and Local Agencies (V)	<p>This series represents the retention and disposition schedules for public records, as approved by the previous State Archives and Records Commission and current State Libraries, Archives, and Records Commission. Archives and Records Management Division staff members assist agencies in drafting retention schedules. Records series are analyzed for administrative, legal, fiscal, historical and intrinsic value and assigned a tentative retention period. The schedule is presented to the Commission for its review. The Commission's approval constitutes the legal authority for the maintenance and disposition of records per KRS 171.410-171.740 and 725 KAR 1:061. An Electronic System Description may be part of the Retention Schedule. These are descriptions of the electronic systems agencies use to manage records and the records maintained in the systems.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Name and description of agency, schedule date, series number, record title, vital records status, access restrictions, change date and action taken, record function and use, record contents, retention and disposition instructions, and electronic system description.</p> <p>Retention and Disposition Retain permanently.</p>
00627	Records Officer Designation	<p>This series documents the official designation of a Records Officer. Pursuant to the authority of KRS 171.450 and described in 725 KAR 1:010, the chief administrative officer of each constitutional, statutory, or executive agency of state or local government is required to designate a staff member as Records Officer to represent the agency in its relations with the Archives and Records Management Division. In addition to being the agency liaison with the Archives and Records Management Division, the Records Officer provides the agency with a central point to direct all records management related problems, inquiries, and requests for Records Management.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Name of designee, phone number, address, e-mail address, agency/cabinet name, signature of agency head, and date.</p> <p>Retention and Disposition Destroy when superseded, agency no longer exists, or agency no longer stores records.</p>
00628	Records Request Authorization	<p>This series documents the names of those persons who have authority to request records stored in the State Record Center or the State Archives Center. The person's name must be on the card and approved by the agency's Records Officer or Agency Head.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Name of agency, unit, name of person(s) authorized, signature of Records Officer, and date.</p> <p>Retention and Disposition Destroy when superseded, agency no longer exists, or agency no longer stores records.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
State Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00629	Records Transmittal to the State Archives Center or the State Record Center (V)	This series documents the transfer of records from an agency to the State Archives Center or the State Records Center. Records transferred to the Archives Center or the Records Center are placed in the custody of the Department for Libraries and Archives. Access to materials stored in the Archives Center is automatically placed under the control of the Department for Libraries and Archives. Unless access to them is restricted by law, those records are open to researchers. However, access to records stored at the Record Center is controlled by the transmitting agency. Researchers must make all requests for access to the records stored at the record center through that agency.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Agency name, unit, retention schedule date, total number containers, destruction date, accession number, date shelved, initialed, volume in cubic feet, record group code, location in center, container type, series number, title of records exactly as listed on the records retention schedule, date span of records in each container, restriction, if any, and authority, records officer signature, date number of pages
	Retention and Disposition	Retain permanently.
00632	Records Destruction Certificates for State and Local Agencies (V)	This series documents the destruction of public records by state and local agencies. All public records eligible for destruction must be disposed of according to retention and disposition instructions on the Records Retention Schedule for State or Local Agencies (00625). When a record does not appear on an appropriate schedule, or when no approved schedule exists for an agency, disposal may be made only with special permission of the previous State Archives and Records Commission and the current State Libraries, Archives, and Records Commission. Generally, there is no preferred method for destruction of public records except when a specific method is required by law. Records of a sensitive or confidential nature should be shredded. When the records are housed at the State Records Center, the records center staff will arrange for their destruction. Note: Certificate of Disposal (00630) and Records Destruction Authority and Certification 00631) were combined to create this series.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of agency, date, unit, schedule date, accession date, destroyed at-agency or state records center, method of destruction, date of destruction, series number, record title and description, date span of records, volume cubic foot, box/book number, location in records center, total volume of records destroyed, signature of state archives/date, signature of record center agent/date, signature of records officer or custodian/date
	Retention and Disposition	Retain permanently.
00636	Microfilm Quality Evaluation (V)	This series documents the quality evaluation of microfilm and indicates rolls of film accepted for storage in the Archives and Records Management Division's temperature controlled vault. The film is checked for density, resolution, and reduction ratio; the targets are checked for correctly describing the images on the film. Archival microfilm to be placed in security storage should meet the requirements for residual thiosulfate concentration as indicated in the American National Standard Specifications for Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, PH 1.41-1973, or the latest density stain differential not exceed 0.02, when calculations are made by the Silver Densitometric measuring method. When the Methylene Blue test method is used, the maximum permissible concentration of thiosulfate ion in micrograms per square centimeter is 0.7. Hard copy records should not be destroyed until the corresponding microfilm has passed a microfilm quality evaluation and has been signed off on by the appropriate branch manager. Agencies processing their own microfilm or having it processed by a service agency should send a sample to KDLA to be tested for thiosulfate residue.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Accession number, agency, unit, date, roll number, schedule date and series number, inclusive dates, agency records officer signature, test roll number, density, resolution, reduction ratio, targets, comments, whether security film at Archives and Records Management Division, tested by, date, destruction approved/disapproved
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
State Records Branch

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00639	Record Description and Analysis	This series documents the descriptive information needed to make a knowledgeable appraisal of a records series and assign retention and disposition instructions. The Records Description and Analysis (D & A) form has been developed by the Archives and Records Management Division as the primary tool to gather the information necessary to effectively manage the records of state and local agencies throughout their life cycle. Information captured on this form is valuable to the creating agency in planning, developing, and analyzing its records and records systems; to other agencies and individuals who need to access the information; and to the Archives and Records Management Division in providing services to agencies and the general public.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Record group number, series number, originating agency, administrative unit, physical custodian, compiler, date, phone number, title of record, variant title, original/duplicate, locations of alternate copies, information summarized in, medium, arrangement/sort sequence, index, date span/volume, in agency, in the State Record Center, in the State Archives Center, annual accumulation. Reference rate, function and use description, contents, input records, output records, vital record? yes/no, vital retention period, vital records protection instructions, access restrictions? yes/no, is records subject to audit?, auditing agency, audit retention requirement, legal requirement? yes/no, appraisal criteria, rationale for retention, agency retention, disposition instructions, Records Center retention, Archives Center retention, total retention, and records analyst signature.
	Retention and Disposition	Retain permanently.
00640	Records Series Numbering Log (V)	This series documents the consecutive numbering of records series for all records retention schedules. It ensures that a series number is not used twice.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Series number, agency name, notes.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Archives and Records Management Division
State Records Branch - State Records Center

Record Group
Number
1670P

Series	Records Title and Description	Function and Use
00634	Record Request Form (V)	This series documents requests for retrieval of records stored at the State Records Center. Records must be requested by the owning agency, with the exception of Kentucky Courts of Justice records, which may be requested by the public. Three copies are made of each incoming request form. One is kept with the records and must be returned to assure proper refiling. Another is placed in the box or on the shelf where the record is stored. The other is placed in a temporary file. The latter two copies ensure that the Records Center staff knows which records are out in the event of duplicate requests. This series does not include open records requests, which are scheduled under series M0016 on the General Schedule for State Agencies.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of requesting agency, requested by, unit, mailing address, telephone number, action taken, date, request for original/photocopy, identification number voucher/case/etc, to be returned, date record out/in, location in center, accession number, unit number, records series title, and retrieved by/date.
	Retention and Disposition	Destroy copy that is on shelf or in box after record is refilled. Destroy copy that is attached to the requested record one (1) month after the record is refilled. Destroy copy that is in agency file after one (1) year.
00638	Fee System Account (V)	This series documents the volume of records for which any agency is being charged for storage at the State Records Center and the fee charged. This is computed on a quarterly basis.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency name, date, volume added or subtracted, balance, amount billed, amount of payment received, and balance due.
	Retention and Disposition	Retain three (3) years or audit, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Commissioner's Office

Record Group
Number
1670S

Series	Records Title and Description	Function and Use
00804	State Library and Archives Building File	This series documents the construction, dedication and subsequent celebrations of the Clark-Cooper Building, which houses the Department for Libraries and Archives. Construction of the building was approved by Governor Julian Carroll, and began on December 10, 1979. The building was opened to the public on April 19, 1982 and dedicated on October 8, 1982, under Governor John Y. Brown, Jr.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Contains plans, correspondence, publicity, speeches, photographs, and other material pertaining to the construction, dedication and celebration of the new State Library and Archives building.
	Retention and Disposition	After completion of project, transfer to the State Archives Center for permanent retention.
00807	Special Programs/Projects File	This series documents special programs or projects in which the Commissioner or the Department is or has been involved. Examples of these include the Kentucky Bicentennial Commission, the White House Conference on Libraries, Gates Foundation Partnership, and projects related to library needs, the history of public libraries, awards bodies, literacy, and textbooks.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	May include correspondence, administrative regulations, committee membership, and information relating to lawsuits
	Retention and Disposition	After completion of project, transfer to the State Archives Center for permanent retention.
00808	Advisory Council on Libraries File	This series documents the operations of the State Advisory Council on Libraries. The council first met on June 14, 1971 in Louisville. As constituted by KRS 173.810, the Council has twenty-one members who are appointed by the governor and serve four-year terms. Four members represent public libraries; two represent school libraries; two represent college or university libraries; four represent special and institutional libraries; two represent library users with disabilities; and seven represent library users. The Council is charged with advising KDLA on federal and state library development issues. The Council currently meets quarterly, with subcommittees meeting more frequently.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Council and Subcommittee Meeting minutes; Correspondence; Summary Reports; Informational and Reference Material.
	Retention and Disposition	Retain permanently in agency or transfer to State Archives.

STATE AGENCY RECORDS RETENTION SCHEDULE

Education and Labor Cabinet
Kentucky Department for Libraries and Archives
Commissioner's Office

Record Group
Number
1670S

Series	Records Title and Description	Function and Use
00809	Trustees of Kentucky Public Libraries	This series documents appointments to Kentucky public library boards of trustees. Per KRS 173.490, when a trustees term expires, board members must recommend two potential replacements per seat to the Department for Libraries and Archives. KDLA forwards those names to the appropriate County Judge/Executive, who makes the appointment(s) with the approval of the Fiscal Court. A trustee serves a term of four (4) years and may serve only two (2) consecutive terms after which s/he must wait at least one year before being reappointed. If a trustee's seat becomes vacant, the State Librarian recommends two (2) names to the County Judge/Executive, who makes the appointment with approval of the Fiscal Court.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Official correspondence and appointment records.
	Retention and Disposition	Retain permanently.
07054	Security Reports	This series documents routine building checks, temperature and humidity logs for the Archives Center, security breaches, mechanical issues, and any notes on various issues in the building written by security staff. This series also contains sign-ins by agency staff outside business hours and guests. These reports are submitted daily by the security staff.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Names, time of entry and exit, and observations by security.
	Retention and Disposition	Retain two (2) years, then destroy.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: AXAEM is an archival collection management system, designed specifically for state archives by APP-X Software. The system is web based, and connection is through the URL and a downloadable Local Connector. The purpose of AXAEM is to manage permanent and non-permanent public records housed in archival storage or records warehouses. This includes searching, shelving, accessioning, de-accessioning, destructions, and managing patron requests.

System Contents: This system stores retention schedules, records group codes and associated agency information, record series codes, and storage information for physical and electronic public records at the State Archives Center (SAC), State Records Center (SRC), and the Kentucky State Digital Archives. It is also used to create, store, and edit system descriptions for systems used by other state agencies. Contact information is stored for Kentucky Department for Libraries and Archives (KDLA) staff, state agency records officers, and agency IT staff. AXAEM is currently only used by staff of the Archives and Records Management Division of KDLA.

Gen. Schedule Items: M0058, M0029, M0032, M0033, M0034, M0040

System Title: **AXAEM**

Alternate Title:

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
00625	Records Retention Schedules for State and Local Agencies	Retain permanently.
00629	Records Transmittal to the State Archives Center or the State Record Center	Retain permanently.
00632	Records Destruction Certificates for State and Local Agencies	Retain permanently.
00639	Record Description and Analysis	Retain permanently.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: The Births database is an index to Kentucky birth records between January 1911 and July 1999. Records referenced in the index are obtainable from the Office of Vital Statistics.

System Contents: The database was created from data from the Office of Vital Statistics by KDLA staff. The database is searchable by child's last name, mother's maiden name, and county. Retrieved information includes birth certificate number, child's name, mother's name, birth date, registration date, and gender.

Gen. Schedule Items: M0018, M0058

System Title: Births Database

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

06064 Finding Aids

Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: This is an index to Veterans' Bonus claim files for Kentuckians who served in the Spanish-American War, the Philippine Insurrection, World War I (including Russia), World War II, and Korea.

System Contents: Created by KDLA staff, the database provides the name, county they entered service from, conflict, and branch of the service member. For some, it also includes dates of service and major battles/campaigns, or notes if the service member was wounded or killed. It provides the box and claim number so that the original claim file can be located within the State Archives Center.

Gen. Schedule Items: M0058

System Title: Bonus Apps - Public Access

Alternate Title: Veterans Bonus Applications

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
01755	Kentucky State Bonus Records	Transfer to the State Archives Center for permanent retention after being microfilmed. Retain permanently positive print in the Military Records and Research Library
01756	Kentucky State Bonus Index Cards	Retain permanently in agency
06064	Finding Aids	Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: This is an index to the microfilm of records from the Confederate Soldiers' Home in Peewee Valley, KY.

System Contents: Created by KDLA staff. Items (20 books and 1 box) are also available in original format but use of the film is preferred. There are many different kinds of books and they cover 1902-1934. Some books include ledgers, registers, cash books, purchase journals, and order books.

Gen. Schedule Items: M0018, M0058

System Title: ConfedHome

Alternate Title: Confederate Home - Confederate Soldiers' Home

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
06064	Finding Aids	Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Commissioner's Office

System Description: Submittable is a grants management system (GMS) that KDLA uses to administer all grants, and scholarships, available to public libraries, and partners. The GMS provides an administrative portal where grant administrators build, review, approve, and manage grant projects according to their job duties and access permissions. The GMS also provides a website where applicants can view funding announcements, create an account, and submit applications. Applicants maintain access to their Submittable account and can access their grant projects to view the status of an application and communicate with grant administrators. If awarded, recipients submit required grant reports and documents that verify expenditures through the system.

Submittable is subject to Kentucky Information Technology Standards (KITS) that guide software, hardware, networks, applications, data, security, access, communications, project management, and other relevant disciplines. KITS are aligned with the Federal Government's Federal Enterprise Architectural Framework (FEAF) version 2. This framework identifies and describes the Business Reference Model (BRM), Infrastructure Reference Model (IRM), Application Reference Model (ARM), Data Reference Model (DRM), Performance/Metrics Model (PRM) and Security Reference (SRM) components of the enterprise.

System Contents: Grant documents including announcements, guidelines, grant workflow processes, letters of intent, applications, scoring rubrics, committee reviews, award announcements, appeals, contracts, memorandums of understanding, progress reports, financial reports, closing documentation, and email communications regarding grant activities are all housed within Submittable.

Gen. Schedule Items: F0111

System Title: Grants Management System (GMS)

Alternate Title: Submittable

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
03295	Grant Project Folder	Retain until five (5) years after project closure, then transfer to the State Archives Center for permanent retention.
03302	Applications - Denied Grants	Retain for five (5) years, then destroy.
03307	Grant Project Evaluations	Retain permanently.
05986	Construction Grant Project Files -- Local Public Libraries	Five (5) years after project closure, transfer to the State Archives Center for permanent retention.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: The Deaths database is an index to Kentucky death records between January 1911 and July 1999. Records referenced in the index, up to 1965 are available at KDLA, while those after are obtainable from the Office of Vital Statistics.

System Contents: The database was created from data from the Office of Vital Statistics by KDLA staff. The database is searchable by deceased's last name and county. Retrieved information includes death certificate number, volume, county of death, county of residence, deceased's name, date of death, and age.

Gen. Schedule Items: M0018, M0058

System Title: Deaths Database

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

06064 Finding Aids

Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: This database is used to keep track of all incoming and fully processed expungements. New orders are entered by staff and entries are updated when the expungement process is complete and all records are removed from State Archives Center and/or State Record Center.

System Contents: KDLA staff enter names, counties, case numbers, and dates signed by the judge for any CR (felony) expungement orders received from Circuit Clerks' Offices. Once processed, the date and manner the orders are returned and the initials of the staff person completing the process are also entered. Additional information may include roll numbers if records are on microfilm, order book and page numbers for older cases, and other notes about the expungement orders themselves.

Gen. Schedule Items:

System Title: **Expungements**

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

06843 Expungement Order Log

Retain permanently.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Library Services Division**

System Description: System stores public library staff and non-public library staff certification information such as type of certificate held, start and end of certification period, number of hours accrued towards the renewal of the certification, and library where employed. System is shared by KDLA, Adult Education, and the Governor's Office of Early Childhood. Access is limited to those users deemed eligible by each agency sharing the system.

System Contents: Individual's name; library where employed; email; job position; certification level; certification start date and end date; number of hours accrued for renewal; payment of certification fees; courses taken within the system. Information entered by office staff and general public.

Gen. Schedule Items:

System Title: **Genius**

Alternate Title: **Online Learning Portal**

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
00803	Public Librarians Certification File	Retain until two (2) years after application becomes inactive, then destroy. Return incomplete or rejected applications to applicant.
06940	Non-Public Librarian Certification File	Retain until two (2) years after application becomes inactive, then destroy. Return incomplete or rejected applications to applicant.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: The Marriages database is an index to Kentucky marriage records covering the years 1973 through July 1999. Records referenced are available at the Office of Vital Statistics.

System Contents: The database was created from data from the Office of Vital Statistics by KDLA staff. The database is searchable by either the groom's or bride's name and by county. Retrieved information includes marriage certificate number, volume, county, groom's and bride's names, ages, and county's of residence as well as their race and number of previous marriages.

Gen. Schedule Items: M0018, M0058

System Title: Marriages Database

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

06064 Finding Aids

Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: The MicrofilmGuide serves as a searchable inventory of the records held by KDLA in a microfilm format. These records are available to the public in the Research Room. KDLA preserves the archival records of the State, and in many cases access copies of these records have been created on microfilm. These microfilm access copies are inventoried by the county or agency that created the record. These inventories have then been entered into this database to accommodate discovery and access.

System Contents: The database includes tables by Kentucky County and in some cases Agency, with links to PDFs of scanned inventory sheets detailing the microfilm reels of various county and agency records. Data entered includes; county, record type, court or conflict, notes on condition or availability, dates, and links to scanned images.

Gen. Schedule Items: M0018 Informational and Reference Material

System Title: **MicrofilmGuidePDF**

Alternate Title:

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
00647	Research Microfilm Finding Aid	Retain current volume permanently. Destroy outdated volumes when superseded.
06064	Finding Aids	Destroy when collection is no longer in the possession of the Archives and Records Management Division.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: The Archives Accession Database documents the transfer of custody of records from the originating office to the State Archives. It lists records that are received in sequence by date and accession number and serves as a finding aid until all processing procedures are completed. It is a quick reference of accessions kept by year.

System Contents: Accession number; accession date; agency and unit; quantity; permanent location; date shelved; shelve's initials; Records Group Code; and Records Series Number

Gen. Schedule Items:

System Title: **Archives Accession Database**

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

07056 Accession Register

Retain permanently.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: The Archival Services Billing database contains records of incoming and outgoing correspondence for the Research Room and Archives Center at the State Archives, along with any charges for copies and services. Research Room staff receives correspondence requesting copies of records or regarding other research matters. The correspondence is logged and the request is handled appropriately. Once a response has been sent, staff completes a Research Room Logout Form that documents steps taken and amount charged or returned.

System Contents: Date received; reference number; archivist; record group number; agency name; contact name; patron name; business name; patron address, phone and fax; mail/phone/walk-in request; research fee; pre-payment; amount returned; payment; edit date; lookup; record type (judicial, state, local, federal, publication); series flag; series number; series title; record title; folder title; case number; location; inter-account or invoice; number of copies; charges; number of records used; date answered; initials; date paid; comments; date first letter sent; date second letter sent.

Data entered into the system is used to track number of requests, method received and amount charged. Data entered into the system by KDLA staff.

Gen. Schedule Items: F0107 - Customer Order/Remittance Forms
F0108 - Daily Remittance Lists/Cash Receipt Log

System Title: Archival Services Billing Database

Alternate Title:

Series # **Series Title:**

Disposition Instructions:

06063 Correspondence Log

Retain entries five (5) years, then destroy.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Archives and Records Management Division

System Description: The system tracks and describes paper copies of state publications accession into the state Archives for permanent retention. The database provides access via the web to 20,000 items from the holdings stored in the archive 1792 - 2005. The web version permits keyword searches by title, agency, date and subject. Serials are group together by title.

System Contents: Descriptive fields include: title, agency, date, and subject

Gen. Schedule Items:

System Title: State Publications Database

Alternate Title: State Pubs

Series # ***Series Title:***

Disposition Instructions:

04035 Checklist of State Publications

Retain one (1) copy permanently in the branch. Transfer one (1) copy to the State Archives Center for permanent retention. Destroy excess copies when no longer needed.

Electronic System With Included Records Series

Education and Labor Cabinet *Kentucky Department for Libraries and Archives* **Archives and Records Management Division**

System Description: The Microfilm Tracking and Accessions System is used to track accessions, projects, vault locations and microfilm quality control evaluations received by the Micrographics and Imaging branch at KDLA.

System Contents: Contains accession information for all projects taken on by the Micrographics branch. Project information includes project number, accession number, record group number, microfilm roll numbers and quality control info. Database also includes a vault location table for microfilm stored in KDLA's vault.

Records input and tracked by accession, roll number and/or project number. Basic project information is added initially, control sheet information is added as the project progresses and final information is entered at completion. Input performed by KDLA Micrographics staff.

Gen. Schedule Items:

System Title:	Microfilm Tracking and Accessions System	Alternate Title:	Micro Control 2000
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Series #	Series Title:	Disposition Instructions:
00655	Microfilm Control Sheet and Inspection File	Destroy after information has been input into Series 03745, Microfilm Tracking and Accessions Subsystem, and agency interaccount or invoice has been received as paid. NOTE: Destroy after three (3) years and audit, if information has not been input into Series 03745
07056	Accession Register	Retain permanently.

Electronic System With Included Records Series

Education and Labor Cabinet Kentucky Department for Libraries and Archives Archives and Records Management Division

System Description: The Kentucky State Digital Archives is a public access point for State Agency, Born-Digital, and/or Digitized Permanent Government Records. The collection contains a diverse collection of materials in various electronic formats including Minutes, Reports, Photographs, Audiovisual recordings, Spreadsheets, etc. The database is primarily used as a point of storage for handling the long-term preservation of electronic media and has a secondary function of being available to the public for viewing. The database preserves materials handled under statute: Kentucky

System Contents: As a repository for the long-term storage and maintenance of Agency records, the database contains a large selection of records as found on the State Government Retention Schedules. Collection materials are received from state agencies and are processed in-house on a local network and then made publicly available via the Preservica repository. A small group of KDLA staff add to the repository by entering new collections and updating metadata collection for further accessibility. The public can provide direct feedback by contacting the Electronic Records Branch to update and modify materials in the collection. Through Universal Access (KY State Digital Archive web portal), the public can also download the materials that they discover for personal use.

Gen. Schedule Items: F0001, F0006, F0143, M0001, M0003, M0005, M0007, M0008, M0010, M0011, M0018, M0022, M0042, M0045, M0046, M0047, M0051

System Title: Preservica

Alternate Title: Kentucky State Digital Archives (KSDA)

Series #	Series Title:	Disposition Instructions:
00918	Manual of Instruction for Candidates/ Committees	Retain one (1) copy of each revision permanently in Agency.
01104	Construction Files	Retain Permanently.
01401	Case Files	Retain Orders issued by the Department Permanently. Retain the balance of the case file for three (3) years after case closure and all appeals have been exhausted, then destroy.
01534	Licensed Doctors of Medicine Master Folder	Retain for twenty-five (25) years. Transfer to State Archives Center for Permanent retention.
01753	Kentucky Active Militia Enlistment and Discharge Records - World War II	Retain permanently in agency
01754	AGO Form 724, Statement of Service - World War I	Retain permanently in agency
01759	DD Form 214 - Certificate of Release or Discharge from Active Duty	Retain permanently in agency. Transfer hard copy records to the State Archives Center for permanent retention after filming, only if film images are illegible due to poor quality of original
01798	Individual Researcher's Study/Project File	Transfer to the State Archives for permanent retention seven (7) years after study/project is completed.
01986	Certificates of Elections	Retain permanently in Agency.
02480	The Lincoln School Records	Records maintained at the State Archives Center. Retention is permanent.
02513	Annual District Financial Reporting File	Retain for three (3) years, then transfer to the State Archives Center for permanent retention.
03194	District Assessment and Accountability Files	Retain for two (2) years, then transfer to State Archives Center for permanent retention.
03284	Field Audits of Campaign Funds	Retain in Agency two (2) years; transfer to the State Archives Center for permanent retention.
04052	Audits and Agreed-Upon Procedures of Local Government Agencies	After all audits for a given year are published, transfer each audit to the Archives Center for permanent retention.
04053	Audits of State Agencies	After all audits for a given year are published, transfer each audit to the Archives Center for permanent retention.
04054	Performance Audits	After all audits for any given year are published, transfer each audit to the Archives Center for permanent retention.

04085	Weekly Livestock and Grain Market Report	Retain in agency five (5) years, then transfer to the State Archives Center for permanent retention.
04269	Attorney General Opinion File	Retain permanently in agency.
04270	Open Records/Open Meetings Decision File	Retain permanently in agency.
04347	Governor's Official Correspondence File	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04353	Proclamation Order File	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: This document may be destroyed by the State Archives upon receipt of the Governors Executive Order File (04562) from the Secretary of States Office
04354	Executive Order File	File with the Governors Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Governors Executive Orders from the Secretary of States Office
04358	Requisition Order File	File with the Governors Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for permanent retention. NOTE: The document may be destroyed by the State Archives upon receipt of the Governors Executive Order File (04562) from the Secretary of States Office
04363	Governor's Office News Release File	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04364	Governor's Speech File	Transfer one copy of each speech to the State Archives Center at the end of the gubernatorial term for permanent retention, or consult ARMD staff for possible earlier transfer.
04365	Governor's Tentative Itinerary File	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04366	Tentative Detailed Schedule - Daily Log	Transfer to the State Archives Center at the end of the gubernatorial term for permanent retention.
04372	Appointments of the Governor File	File with the Governors Official Correspondence File (04347) and transfer to the State Archives Center at the end of the gubernatorial term for possible permanent retention. NOTE: The documents may be destroyed by the State Archives upon receipt of the Governors Executive Order File (04562) from the Secretary of States Office
04393	Licensure/Score Transfer and Examination Candidate File	Retain for three (3) years.
04441	Investigative File - No Charge	Retain in Agency five (5) years after final determination of the case. Transfer to State Records Center for five (5) years. Destroy upon approval of the State Archivist; total retention is ten (10) years.
04442	Investigative File-Permanent	Retain in Agency five (5) years after final determination of the case; transfer to State Archives Center for permanent retention.
04443	Advisory Opinion File	Retain permanently in Agency.
04781	Attendance Review Reports	Retain for two (2) years, then transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years.
05008	Special Examinations Report	After all reports for any given year are published, transfer each report to the Archives Center for permanent retention.
05013	Kentucky Health Insurance Market Research Records	Retain in Agency one (1) year; transfer state publications, reports and minutes to the State Records Center for fourteen (14) years. Destroy balance of file. Total retention is fifteen (15) years.
05318	Tax Rates Levied Form File	Retain for three (3) years, then transfer to the State Archives Center for permanent retention.
05321	Superintendent's Annual Attendance Report and Summary File	Retain one (1) copy of the Superintendents Annual Attendance Report Summary in agency permanently. Retain SAAR submitted by school districts for three (3) years in agency, then destroy.
05460	Advisory Opinion Statements Folder	Retain record copies of Advisory Opinion Statements (AOS) permanently. Forward two (2) copies of AOS issued in paper to the Archives and Records Management Division when issued; or forward one (1) copy of AOS held in electronic format or issued for general public distribution on the agency's web site. Retain one (1) copy in agency. Destroy excess copies when no longer needed.
05801	As Built Plans	Retain Permanently.

05918	Governor's Blog	Through arrangement with the Governors Office, KDLA will capture snapshots of the blog at various points in time throughout the term of each governor. Specifically, ARMD staff will capture snapshots of the beginning and ending of each four-year term, and any point in which posts are taken offline. Snapshots will be retained permanently. Upon the end of each term, the Governors Office will provide KDLA with copies of the files of Blog on the web server, which will be retained permanently.
06135	Private Records of Public Interest	ARMD staff will review the records, subject to approval of the Division Director, and deaccession materials not directly related to documenting the organization, functions, policies, and transactions of state government. Retain the balance of materials permanently.
06176	Kentucky Affordable Prepaid Tuition File	Retain permanently.
06533	Public Exhibit File	Retain until exhibit is removed, then transfer to Archives for permanent retention. Return any original document(s) or publication(s) to their respective location(s) in the appropriate collection(s).
06583	Voter Registration Statistical Reports for Precincts by Congressional, Senate, and House Districts	Retain in Agency permanently.
06586	Voter Turnout Report by Age, Gender, Party, Precinct, and County	Retain in Agency permanently.
06659	Banking Record File	Retain in agency eight (8) years or after audit, whichever is longer, then destroy.
U0109	Publications	Transfer one (1) copy of each publication to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.
U0111	Reference and Informational Materials	Retain until no longer useful, then destroy.
U0115	Research Projects - Final Report	Transfer one (1) copy to the University Archives for permanent retention. Retain one (1) copy permanently in the creating unit. Retain excess copies until no longer useful, then destroy.
U0230	Annual or Summary Financial and Audit Reports	Transfer official copy of the final report to University Archives for permanent retention. Retain other copies until no longer useful, then destroy.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Commissioner's Office

System Description: The Trustee Boards database contains information on board members nominated and/or appointed to serve on public library governing boards. KDLA is responsible for receiving two (2) nominees per vacancy from the public library and sending two (2) qualified nominees per vacancy to the appointing authority for libraries established under applicable Kentucky Revised Statutes.

System Contents: The database contains the name, address, phone number, and email address of the nominee, associated library, KDLA region, board position, term appointment, and term expiration date. It also contains term expiration notices, reminders, and appointed trustee welcome letters. The data is entered into the system by KDLA staff.

Gen. Schedule Items:

System Title: Trustee Boards Database

Alternate Title: Trustee Appointments Database

Series # ***Series Title:***

Disposition Instructions:

00809 Trustees of Kentucky Public Libraries

Retain permanently.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Library Services Division

System Description: The Trustee Certification database is a Microsoft Access database created by KDLA. The purpose of the database is to track and store certification information about KY public library trustees that voluntarily apply for certification. The database contains contact information, certification status, and training hours accrued.

System Contents: Trustee name, address, email, county library, date certified and date it expires, training hours, board position (if applicable), and end of term. Data entered by central office staff.

Gen. Schedule Items:

System Title: Public Library Trustee Certification Database

Alternate Title:

Series # ***Series Title:***

Disposition Instructions:

06942 Trustee Certification File

Retain until four (4) years after end of term, then destroy.

Electronic System With Included Records Series

Education and Labor Cabinet

Kentucky Department for Libraries and Archives

Library Services Division

System Description: The WebREADS database is the workhorse for managing daily functions of the Kentucky Talking Book Library. It is governed by the National Library Service for the Blind and Reading Disabled, a branch of the Library of Congress, and is developed and managed by its vendor, Data Management.

System Contents: WebREADS manages patron information, the talking book and braille collection, circulation, and equipment inventory. It also provides reports for in-house use and for reporting to NLS. It has a related component called Gutenberg to download audio and braille book files that are imported and stored on an external device. The Gutenberg system hardware/software is owned and provided by NLS.

Gen. Schedule Items:

System Title: **Web-based Reader Enrollment & Delivery System**

Alternate Title: **WebREADS**

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
05982	Kentucky Talking Book Library Catalog	Retain current entries. Destroy as items are weeded from collection.
05984	Kentucky Talking Book Library Reader Materials File	Delete patron record at the end of the federal fiscal year in which service is cancelled.
05985	Audio Equipment File	Destroy when equipment is destroyed or no longer owned by the Kentucky Talking Book Library.
