



# Finance and Administration Cabinet

Includes Administrative Services; Commonwealth Office of Technology; Office of the Controller; Department of Facilities & Support Services; General Counsel

Records Retention Schedule

Prepared by the State Records Branch  
Public Records Division

Approved by the State 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 the Finance and Administration Cabinet. **Government records in Kentucky can only be disposed of with the approval of the State 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 Finance and Administration Cabinet personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Finance and Administration Cabinet to destroy the records listed, after the appropriate retention periods have passed.

Finance and Administration Cabinet 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 the Finance and Administration Cabinet.

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.**

This retention schedule covers the content of records created by the Finance and Administration Cabinet, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

### **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.

## **Finance and Administration Cabinet**

The Finance and Administration Cabinet's (FAC) mission is to serve the administrative needs of the rest of State Government. Unlike most agencies, the Cabinet's *customers* are not so much the general citizenry of the Commonwealth, but rather the other state agencies themselves. The FAC's core mission is to provide services that will better enable agencies to deliver services and perform their duties on behalf of the general public.

FAC is responsible for the construction and maintenance of state facilities, the leasing of state property, expenditure control, state purchasing, information technology support and resources, debt services and printing services. FAC provides the administrative support and the facilities to enable agencies to provide the access to government that the public needs and deserves. The Office of Administrative Support oversees the management and maintenance of the State Motor Pool, which assigns permanent and temporary vehicles for cabinets and agencies, and the Division of Postal Services. The Department of Revenue administers the state tax laws and bills and collects the tax revenue necessary to support the operation of our commonwealth.

In 1918, the Budget Appropriation Commission was created. In 1926, it was replaced by the Budget Commission. That same year, the Office of State Budget Officer and the State Purchasing Commission were created. In 1934, two new departments were created: the Department of Finance and Budgetary Control, which assumed the duties of the Budget Commission and the Department of Public Property, which assumed the duties of the State Purchasing Commission. In 1936, the Department of Finance was created and absorbed the duties of the Department of Public Property and the Department of Finance and Budgetary Control. In 1973, the Department of Finance and the Program Development Office were consolidated into the Executive Department of Finance and Administration. In 1982, the Department became the Finance and Administration Cabinet. The Cabinet operates under KRS Chapter 42.

RECORDS RETENTION SCHEDULE

Signature Page

FINANCE AND ADMINISTRATION CABINET

Agency

Schedule Date: Sept. 1983

Unit

Change Date: \_\_\_\_\_

Date Approved by Commission: SEP 8 1983

APPROVALS:

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

Robert L Warren.  
Agency Head

9/1/83  
Date of Approval

Barbara Vogler  
Records Officer

9/1/83  
Date of Approval

Lewis Bellard  
State Archivist and Records Administrator  
Director, Public Records Division

9/8/83  
Date of Approval

James A. ...  
Chairman, Archives and Records Commission

9/8/83  
Date of Approval

The undersigned have examined the record items and recommend the disposition as shown:

Darrell G. ...  
Records Analyst

8/22/83  
Date of Approval

Larry B. Forston  
Assistant State Records Administrator

8/23/83  
Date of Approval

Jeffrey Michael Duff  
Appraisal Archivist

August 23, 1983  
Date of Approval

The determination as set forth meets with my approval.

James B. ...  
Auditor of Public Accounts

9-1-83  
Date of Approval

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration  
Agency

March 1993  
Schedule Date

Division of Accounts  
Unit

Change Date  
3/11/93  
Date Approved by Commission

\*\*\*\*\*  
APPROVALS

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

Donna Howell  
Agency Head

3-1-93  
Date of Approval

Barbara Fogler  
Agency Records Officer

3-1-93  
Date of Approval

Richard W. Delo  
State Archivist and Records Administrator  
Director, Public Records Division

March 8, 1993  
Date of Approval

[Signature]  
Chairman, Archives and Records Commission

March 11, 1993  
Date of Approval

\*\*\*\*\*

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

Tim McHutch  
Records Analyst/Regional Administrator

March 10, 1993  
Date of Approval

Jim [Signature]  
Appraisal Archivist

3/11/93  
Date of Approval

Wesley Moser  
State/Local Records Branch Manager

3/8/93  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

A. B. Chandler Jr. by [Signature]  
Auditor of Public Accounts

3/10/93  
Date of Approval

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Administrative Services

**Record Group**  
**Number**  
**1060**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00344	Logbooks - (Incoming and outgoing mail)	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency five (5) years and destroy
00345	Tie Bid File - (Duplicate)	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency five (5) years and destroy
00347	Position Control Report - (Computer printout)	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency and destroy when obsolete.
00348	Finance Budget Status Report - (Computer printout)	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency two (2) years and destroy.
00350	Trail Balance General Ledger - (Computer printout)	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency two (2) years and destroy.

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Administrative Services  
 Accounts

Record Group  
 Number  
 1060A

Series	Records Title and Description	Function and Use
00376	<b>Legislative Claims File</b>	This series represents claims made by state agencies to the State Treasurer that are older than two fiscal years. Bills submitted for payment that are two fiscal years old must be submitted to the General Assembly every two years in the form of a legislative bill. Upon approval by the General Assembly, the claims are paid. Claims can be for any goods or services received by an agency.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Transaction code; fund; cabinet; department; program/project; object code; division; branch; section; unit; function code; location; vendor number; vendor suffix; funding; source; budget unit; department name; division/district; project name and number; invoice number; grant number; grant fiscal year; subgrant agency object code; agency reference number; vendor name and address; purchase type; payment due date; voucher number; audit reference; description; quality; unit; unit price; amount
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; transfer to the State Records Center five (5) years. Destroy after audit. Total retention is eight (8) years.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Administrative Services  
 Planning and Budget

**Record Group**  
**Number**  
**1060S**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00273	<p>Surplus Form - (B2172) - (Duplicate) - (Original in Division of Surplus Property)</p> <p>Access Restrictions None</p> <p>Contents</p> <p>Retention and Disposition Retain in Agency two (2) years; destroy</p>	
00274	<p>Requisition Surplus Form - (B2172) - (Duplicate) - (Original in Division of Surplus Property)</p> <p>Access Restrictions None</p> <p>Contents</p> <p>Retention and Disposition Retain in Agency two (2) years; destroy</p>	
00275	<p>Unemployment Insurance Report File - (Duplicate - Original in Life and Family Health)</p> <p>Access Restrictions None</p> <p>Contents</p> <p>Retention and Disposition Retain in Agency six (6) years; destroy</p>	

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Administrative Services  
 Purchases

**Record Group**  
**Number**  
**1060**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00458	<p>Central Stores                      Inventory Listing -                      (Computer printout)</p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency one (1) year; destroy.</p>	
00467	<p>Trade-ins of Personal                      Property - (Originals) -                      (All agencies - May                      include Declared                      Surplus Form (B217-                      2); correspondence;                      copy of official order)</p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency five (5) years; destroy after audit</p>	

STATE  
ARCHIVES AND RECORDS COMMISSION  
COMMONWEALTH OF KENTUCKY

RETENTION AND DISPOSAL SCHEDULE  
GENERAL AGREEMENTS

Schedule for:

Capital Plaza Authority  
Agency Division

Date Approved 1/30/76 No. of Schedule I

WE THE UNDERSIGNED OR THE AGENTS THEREOF HAVE EXAMINED THE RECORDS TYPES AS SHOWN  
BELOW AND BELIEVE THAT THE DISPOSITION AS RECOMMENDED ON THIS SCHEDULE IS THE PROPER ONE

Matthew Plummer  
Agency Records Officer

Ralph F. Drake  
Assistant State Records  
Administrator Mar. Dall White

Louis Bellard  
Assistant State Archivist

MY STAFF HAVING CHECKED THE RECORDS TYPES LISTED IN THIS SCHEDULE FOR STATE  
AUDITING REQUIREMENTS, THE DETERMINATION AS SET FORTH BELOW MEETS WITH MY APPROVAL

1/16/76  
Date

George L. Ottens  
Auditor of Public Accounts

APPROVALS

A. J. Hubbard - Director  
Agency Head and Title

Division of Archives  
and Records Howard J. Hooper  
Director

Archives and  
Records Commission Charles F. Linder  
Chairman

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Capital Plaza Operations

Record Group  
Number  
0450

Series	Records Title and Description	Function and Use
01186	Exhibitors Contract Files	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit and five (5) years after expiration of contract and when federal requirements are met.
01187	Exhibitors Receipts Files	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit
01188	City and State Tax Refund Files	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit
01189	Monthly Parking Receipts	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit
01190	Monthly Utility Statements	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Capital Plaza Operations

Record Group  
Number  
0450

Series	Records Title and Description	Function and Use
01191	Monthly Rental Statements	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit
01192	Monthly Utility Meter Readings	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit
01193	Vehicle Mileage Reports	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy

RECORDS RETENTION SCHEDULE

Signature Page

Commonwealth Office of Technology  
Agency

September 1, 1983  
Schedule Date

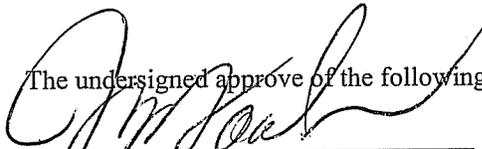
Unit

June 11, 2015  
Change Date

June 11, 2015  
Date Approved By Commission

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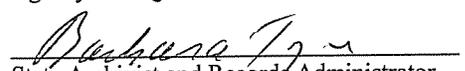
APPROVALS

  
Agency Head

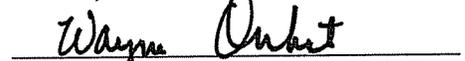
5/15/15  
Date of Approval

  
Agency Records Officer

5/15/15  
Date of Approval

  
State Archivist and Records Administrator  
Director, Public Records Division

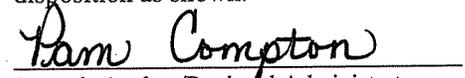
6/11/15  
Date of Approval

  
Chairman, State Archives and Records Commission

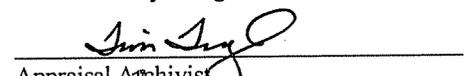
6/11/15  
Date of Approval

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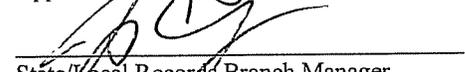
The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

  
Records Analyst/Regional Administrator

May 14, 2015  
Date of Approval

  
Appraisal Archivist

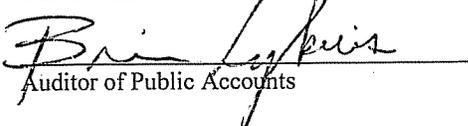
6/11/2015  
Date of Approval

  
State/Local Records Branch Manager

6/11/15  
Date of Approval

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The determination as set forth meets with my approval.

  
Auditor of Public Accounts

6/11/2015  
Date of Approval

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Commonwealth Office of Technology

Record Group  
 Number  
 1475

Series	Records Title and Description	Function and Use
03389	<b>Information Resource Plans Closed Series</b>	<p>Closed: This series was created to address projected information resource needs and expenditures for state agencies and to describe the anticipated growth and management of automation within the agency. Each plan provides an overview of the major components and describes the planning process within the agency. The plan provides the reader with an understanding of why the agency exists and what its most important tasks are and to establish a link between the agency's strategy for carrying out its mission and its strategy for managing and utilizing information resources. Part of the plan describes the agency's long-range goals related to managing and sharing the information and information technology resources and addresses the agency's conception of how it will move toward those goals in the next four to five years. The plan provides information about current information processing in the agency and identifies trends that affect its utilization in the future, and addresses issues which it considers critical to the improvement of information processing in the Commonwealth. CLOSED SERIES 12-31-1999 The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design.</p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Executive Summary; Planning Methodology; Mission and Objectives; Addendums; Records Management; Critical Issues; Situation Assessment; Projects; Information Resources Management; Departmental Project Expenditures by Fund Source and Category; Governmental Branch; Cabinet/Function; Department; General Fund; Restricted Agency Funds; Federal Funds; Road Fund; Bond Fund; DIS Services; Professional; Technical; Training; Hardware; State-Level; Desktop; Software; Telecommunications; KY Statewide Network; Other Networks; Maintenance; Contractor Services; Data Entry; Personnel; Training; Total Departmental Project Expenditures; Actual; Budgeted; Projected</p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years; transfer to State Archives for permanent retention</p>
03390	<b>Managing Information Resources for Kentucky - Statewide Information Resources Plan Closed Series</b>	<p>Closed: This series was developed to formulate a long-range statewide planning process for computerized information systems. The statewide plan was also developed to assist the Governor's Office and the General Assembly during the preparation of the biennial budget. The statewide plan is an overview of the Information Resources Plan (03389). It contains the planning process, information resource expenditure data and the Kentucky Information Systems Commission's recommendations on state-level information management issues. CLOSED SERIES 12-31-1999 The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design.</p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Planning Process; Information Resources Expenditure Data; Recommendations; Commission's Findings</p> <p><b>Retention and Disposition</b> Retain 1 copy in Agency. Forward 2 copies to the Publications Section of PRD when issued for permanent retention.</p>

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Commonwealth Office of Technology

Record Group  
 Number  
 1475

Series	Records Title and Description	Function and Use
03391	<b>Guidelines and Instructions-Biennial Information Resource Plan Closed Series</b>	Closed: This series is the guidelines and instructions for state agencies to use in submitting their Information Resource Plan (03389) to the Kentucky Information Systems Commission. These guidelines and instructions are updated every two years and sent to the agencies. CLOSED SERIES 12/31/1999 The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Date; Background; Authority; Use of Plans; Scope; Time Frames; Overview; Basic Premises; Use of Planning Documents; Plan Review; Definitions; Plan and Project Identification; Planning Team; Plan Instructions; Executive Summary; Planning Methodology; Mission and Objectives; Information Resources Management; Situation Assessment; Projects; Records Management; Critical Issues; Plan Submission Instructions
	<b>Retention and Disposition</b>	Transfer to State Archives Center when no longer needed. Retain permanently in State Archives Center.
06534	<b>Notification of Security Breach Files (V)</b>	This series documents the notification form used by agencies or a nonaffiliated third party on behalf of the agency that a security breach of personal information has occurred or has possibly occurred per the requirements of KRS 61.933. The notification of a security breach is also retained by the Commonwealth Office of Technology.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) and KRS 61.933 - personal information
	<b>Contents</b>	Series may contain: Name of agency involved; Date and time of security breach; checklist of procedures completed and signed designated personnel at affected agency (agencies)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after resolution of investigation and case closure, then destroy.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Commonwealth Office of Technology  
 Geographic Information

**Record Group**  
**Number**  
**2729**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05431</b>	<b>Kentucky Geography Information Records (V)</b>	This series documents the map layers in Geographic Information System database. The layers store graphic information about map features (parcels, streets, utility lines) and geographic areas (tax neighborhoods, subdivisions, service districts) and are linked to detailed attribute information or descriptions stored in a database.
	<b>Access Restrictions</b>	KRS 61.878 (1)(m) and KRS 42.744 (3)
	<b>Contents</b>	Series may contain: Raster graphic image layers and Vector data layers superimposed individually or cumulatively. Organized into categories: Agriculture, Boundaries, Environment, Fish & Wildlife, Geodesy, Geophysical, Historic, Imagery, Institutional, Misc., Soils, Standards, Transportation, Utilities, Water Resources.
	<b>Retention and Disposition</b>	Retain permanently in agency. Replace information as updated; move data offline as necessary. Provide periodic data snapshots to KDLA.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Commonwealth Office of Technology  
 Telecommunications, Division of

**Record Group**  
**Number**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00579	<b>Kentucky Emergency Warning System (KEWS) Site Files.</b>	This series documents emergency communications and information network for public safety in the event of emergency situations and/or disasters in the Commonwealth . Kentucky Emergency Warning Systems (KEWS) provide the citizens with needed information, i.e., Next Generation 911, Situational Awareness; Amber and Golden Alert services, E-health services and weather alerts.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may Include: FCC Licenses, FAA/Federal Aviation Administration Approvals, Exact Location Descriptions and Drawings, Property Leases, Condemnations, Copies of deeds, Co-location Agreements (Kentucky State Police, Kentucky Educational Television, Department of Military Affairs - Division of Emergency Management, Fish and Wildlife, Energy and Environment Cabinet - Division of Forestry, Kentucky Transportation Cabinet) Tower Drawings, Road Repairs, and Correspondence; Photos
	<b>Retention and Disposition</b>	Retain permanently in Agency.

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration Cabinet  
Agency  
Office of the Controller  
Unit

March 1993  
Schedule Date  
September 1996  
Change Date  
Sept. 19, 1996  
Date Approved by Commission

\*\*\*\*\*  
APPROVALS

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

✓ Bonnie Howell 9/11/96  
Agency Head Date of Approval  
✓ Barbara Vogler 9/11/96  
Agency Records Officer Date of Approval  
Richard R. Peltz 9/17/96  
State Archivist and Records Administrator Date of Approval  
Director, Public Records Division  
[Signature] 9/19/96  
Chairman, Archives and Records Commission Date of Approval

\*\*\*\*\*

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

Wiana Moses 9/20/96  
Records Analyst/Regional Administrator Date of Approval  
[Signature] 9/10/96  
Appraisal Archivist Date of Approval  
Wiana Moses 9/20/96  
State/Local Records Branch Manager Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.  
Ed [Signature] 9/96/96  
Auditor of Public Accounts Date of Approval

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration Cabinet  
Agency

June 11, 2015  
Schedule Date

Office of the Controller/County Fees Branch  
Unit

Change Date

June 11, 2015  
Date Approved By Commission

\*\*\*\*\*

APPROVALS

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

J.W. Bryan  
Agency Head

May 18 2015  
Date of Approval

Angie Douglas-White  
Agency Records Officer

May 18, 2015  
Date of Approval

Barbara Tye  
State Archivist and Records Administrator  
Director, Public Records Division

6/11/15  
Date of Approval

Wayne Oakes  
Chairman, State Archives and Records Commission

6/11/15  
Date of Approval

\*\*\*\*\*

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

Pam Compton  
Records Analyst/Regional Administrator

May 18, 2015  
Date of Approval

Jim Sugg  
Appraisal Archivist

6/11/2015  
Date of Approval

[Signature]  
State/Local Records Branch Manager

6/11/15  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

Brian Lewis  
Auditor of Public Accounts

6/11/2015  
Date of Approval

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Controller, Office of the  
 Financial Management

Record Group  
 Number  
 1060H

Series	Records Title and Description	Function and Use
00340	<p><b>Bond Project Issuance Files - (May include transcript of proceedings, official statements, engagement letters, printer bids, trustee bids, invoices, winning proposals, certification forms, fee proposals)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency until after bond issue matures and audit; transfer to State Archives Center for permanent retention.</p>	
00341	<p><b>Bond Debt Service and Management File - (May include official statements, trust indentures, trustee/paying agency contracts, expenditure vouchers on debt service costs, maturity schedules, bond registration books, financial reports on debt service) (</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Series contains: Bond registration; maturity schedules; correspondence; loan applications; project expense documents; closing papers on projects; official statements; trust indentures; agent contract; financial reports; expenditure voucher on debt service costs; trustee/paying agent contracts; maturity schedules; bond registration; financial reports on debt service</p> <p><b>Retention and Disposition</b> Retain in Agency five (5) years; transfer to the State Records Center for fifteen (15) years; destroy. Total retention is twenty (20) years.</p>	<p>This series documents the management of bond debt issues for state agencies, cities, counties, commissions, corporations, or other entities of or representing the Commonwealth of Kentucky. Agencies must submit all proposed bond issues and debt financing to the Office for Investment and Debt Management for approval. This file is then created and is used to track the progress of the project from start to finish, which is usually three to five years.</p>

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Controller, Office of the  
 Financial Management

Record Group  
 Number  
 1060H

Series	Records Title and Description	Function and Use
00342	Investment Record File - (May include investment memoranda, Bloomberg ticket, broker confirmation, option tickets, monthly statements, overnight summaries and memoranda)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and destroy eight (8) years after termination of investment
03498	Rejected Proposals for Bond Issuance Services	This series documents the proposals that are rejected after solicitation from underwriters and/or bond counsel firms. The Office issues bonds to finance various capital projects and to refinance existing bond issues.
	Access Restrictions	None
	Contents	Series contains: Fee quotes for services rendered; hourly rates; printing costs; type of issue; date
	Retention and Disposition	Retain in Agency one (1) year; transfer to the State Records Center for one (1) year; destroy. Total retention is two (2) years.

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
Financial Management  
Director's Office

Record Group  
Number  
1060S

Series	Records Title and Description	Function and Use
00268	Intra-departmental Policies and Procedures Concerning Budget Requests	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
Financial Management  
Personnel and Payroll

Record Group  
Number  
1060S

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00278	Quarterly and Yearly City Tax Reports	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; destroy

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
Financial Management  
Property

Record Group  
Number  
1060S

Series	Records Title and Description	Function and Use
00269	Personal Property Inventory - (Computer Printout)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and destroy when obsolete

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STATE AGENCY RECORDS  
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Finance and Administration  
 Controller, Office of the  
 Local Government Services

Record Group  
 Number  
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Series	Records Title and Description	Function and Use
00281	Breakdown of Contributions Paid - (Form 3962)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00283	Plans and Agreements for Social Security Coverage - (Political subdivisions - SS-32)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00284	Modifications - (Between Commonwealth and Social Security Administration)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency

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 Local Government Services

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Series	Records Title and Description	Function and Use
00285	Individual Entity Correspondence Folders - (May include correspondence; debit and credit memorandums; legal establishing document; executed copy of plan and agreement)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00286	Master Federal Register - (Agencies covered)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and destroy when updated
00287	Notice of Identifying Number - (Form OAR-S14) - (Address of covered agency)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy individual cards when updated. Retain file permanently in Agency.
00292	Liabile Actions - (Filed in Franklin Circuit Court)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency twenty (20) years; destroy

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Series	Records Title and Description	Function and Use
00293	Request for Social Security Information Listing - (Form SSA-3770 C1)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency ten (10) years; destroy
00296	U.S. Deposits File - (Contains certificate of deposits; return of contributions payable; recapitulations of states quarterly report of wages paid; federal audit statement; special voucher; warrant)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit
00297	Individual Report Folders - (Contains state quarterly report of wages paid; state report of adjustment; federal determination of error; and omission of earnings)	
	Access Restrictions	42 US Code 418
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit

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Series	Records Title and Description	Function and Use
00298	Monthly Report of Deposits - (Form SS-21)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit
00299	Report for Master Commissioners - (SS-16)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit
00304	Pay Period Summary Sheet File - (Duplicate)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy
00305	Request for Refund on Payrolls - (Duplicate)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and rotate out after five (5) years

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
Local Government Services  
County Fees Systems Branch

Record Group  
Number  
1060

Series	Records Title and Description	Function and Use
00509	<b>Personnel Folders of County Employees on State Payroll - (Over 75,000 population)</b>	This series documents the payroll information for county employees on state payroll, including salaries, leave time payouts, and Statewide Accounting Services for counties over seventy thousand (70,000) in population pursuant to KRS 42.0201 (6)(c)(4).
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may include: Name, address, date of birth, Social Security number, office name, fiscal address and phone number of place of employment, salary, benefits, overtime and compensation hours, deductions, promotions and salary increases.
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to State Records Center eight (8) years; destroy after audit. Total retention is twelve (12) years.
00514	<b>Sheriff's Expense Allowance</b>	This series documents the special voucher issued monthly for each sheriff's expense allowances pursuant to the requirements of KRS 70.170. Each sheriff performing the duties required under provisions of KRS 70.150 and KRS 70.160, are paid the amount of thirty-six hundred dollars (\$3,600) annually at the rate of three hundred dollars (\$300) per month for such services. KRS 70.170 (2) states that the allowance is considered as operating expenses of the sheriff's office and is not considered as part of his compensation. The Sheriff is not required to keep records verifying the expenditures from the allowance provided by the state.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Voucher (Certificate) of Sheriff (Form AC-29), W-4 and K-4 tax forms
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center six (6) years; then destroy. Total retention is eight (8) years.
00522	<b>General Term Order Approving Budget for County Officials</b>	This series documents state approved budgets for individual county officials in counties with population of seventy thousand (70,000) or more. KRS 42.0201 (6) (c) establishes the Division of Local Government Services in the Office of the Controller. The Division serves as the fiscal officer for counties over seventy thousand (70,000) in population.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Name of county requesting budget approval, names of officials, specific budgetary items and disbursements, total amount of budget, and correspondence
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to State Records Center eight (8) years; then destroy. Total retention is twelve (12) years.

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 Local Government Services  
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Series	Records Title and Description	Function and Use
00523	<b>Fugitive From Justice Claims Form</b>	This series documents the payment of claims to the sheriff for state mileage, plus five cents (\$0.05), for the distance traveled in the returning a fugitive from justice to Kentucky, including other necessary expenses incurred, i.e., (fugitives' expenses for meals, lodging, and if applicable, air fare). Pursuant to KRS 440.090 the Governor of this state may make a requisition upon the Governor of another state for a fugitive from justice. The agent named in the requisition shall be allowed compensation from the State Treasury at the amount per statute requirement for his service in addition to the allowance set by the Secretary of Finance Cabinet pursuant to KRS 44.060.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Governor's Warrants, Return of Fugitive Form, Claim form for trip made and expenses paid for trip; Application Order and County Judge Executive Order of appointment of agents; receipt for prisoner being transported; receipts for air fare, if applicable; Receipts of Jailer; State Treasury warrants; Name, Date of Birth, Social Security Number, Criminal Charge of Fugitive
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center for six (6) years; destroy after audit. Total retention is eight (8) years.
00525	<b>County Clerk's Tax Bills Log</b>	This series documents the compensation paid to each county clerk for the creation of tax bills pursuant to KRS 133.240. The County Clerk presents his account to the fiscal court, verified by his affidavit, together with the receipt from the Sheriff for the tax bills and receipt from the Department of Revenue for the recapitulation sheets. If the account is correct, one-half is paid out of the levy and the other one-half is paid out of the State Treasury. The county clerk shall certify the allowance to the Finance and administration Cabinet, which shall draw a warrant on the State Treasurer in favor of the county clerk for the state's one-half.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: County Clerk's Claim for Preparing Tax Bills which includes name and address of clerk, voucher number, account number, Disbursement amount, year signed by County Clerk, Division of Local Government County Fees Systems Branch and Secretary of Finance or authorized agent.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center for six (6) years; destroy after audit. Total retention is eight (8) years.
00529	<b>Computer Calendar Year Receipts and Expenditure Detail</b>	This series is an accounting statement of all monies received in county offices, including fee money, deposits, and checks. This series also includes any payouts. KRS 42.0201 (6)(c)(4) establishes the Division of Local Government Services in the Office of the Controller and is authorized to perform state government's duties relating to the county fees systems for local entities for counties over seventy thousand (70,000) in population, including serving as fiscal and payroll officer.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Budget Request Items, payments to vendors, cash money received in offices, checking account numbers
	<b>Retention and Disposition</b>	Retain in Agency four (4) years, transfer to State Records Center for eight (8) years then destroy after audit. Total retention is twelve (12) years.
00530	<b>Jury and Witness Fund Reimbursements</b>	This series documents reimbursements to the counties for juries serving in the District and Circuit Courts and reimbursement of compensation of witnesses subpoenaed to testify in behalf of the Commonwealth pursuant to KRS 30A.110.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) (Social Security numbers)
	<b>Contents</b>	Series may contain: Name of Circuit Court Clerk and county requesting reimbursement, specifying whether District or Circuit Courts, address of court, jurors and witness names and Social Security number, dates of time for jury service, date(s) required for witness to testify, and total amount of reimbursement.
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to State Records Center for four (4) years; then destroy after audit. Total retention is eight (8) years.

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Finance and Administration  
 Controller, Office of the  
 Local Government Services  
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Series	Records Title and Description	Function and Use
00532	<b>Sheriff's Advances to Defray Expenses</b>	This series documents the requests for advancements to defray necessary costs for operation of the Sheriff's Office and amount to be deducted from the amount paid to the Sheriff's Office for repayment of the advancement at the end of the calendar year. Pursuant to KRS 64.140 (1), sheriffs may submit a request to the County Fees Systems Branch for an advancement to defray necessary official expenses and apply to the payment of the salaries of the sheriff or the sheriff's deputies and assistants. The Finance and Administration Cabinet Secretary determines the necessary amount on the first day of each calendar month that may be advanced to the sheriff which does not exceed one twelfth (1/12) of the total fees collected by the sheriff for the preceding year and may be a less amount and cannot exceed sixty thousand (\$60,000) dollars per month. Upon submittal of the request by the Sheriff and after approval of the Finance and Administration Cabinet, a warrant is drawn on the State Treasury for the advancement. At the end of each calendar year the sum of such advancements are deducted from the fees and commissions paid to State Treasury by the Sheriff.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Correspondence from Sheriff requesting advancement and letter approving amount of advancement signed by the Finance and Administration Cabinet, total amounts of monthly advancements, Social Security numbers, addresses, assets, surety bond information and Sheriff's budget.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center for six (6) years, then destroy after audit. Total retention is eight (8) years.
00533	<b>County Clerk, Sheriff and Jailer Bond Premiums</b>	This series documents the reimbursements paid by the Finance and Administration Cabinet for bond premiums paid by each county clerk, sheriff and jailer. KRS 62.140 authorizes the county clerk, sheriff and jailer to have a valid claim against the state for the amounts paid by him for premiums on the bonds required of him when the bonds have been executed by an incorporated surety company authorized to do a surety business in Kentucky and when the claims have been verified by the County Clerk, Sheriff's or Jailer's affidavit.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Name of county clerk, sheriff, jailer, Social Security number, county, and address, calendar year of posting, amount of bond, name and address of bond surety.
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to State Records Center four (4) years, destroy after audit. Total retention is eight (8) years.
03162	<b>Sheriff's and Jailer's Monthly Fee Claims File</b>	This series documents paid fees pursuant to KRS 44.020. The sheriff or jailer may make a claim payable from the State Treasury for duties performed in any court of the Court of Justice and have the claim certified by the judge of the court as allowable for payment and submit to the County Fees Systems Branch.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Sheriff's or Jailer's Monthly Fee Claim Summary form detailing the fees to be paid, Finance and Administration Cabinet forms signed by District and/or Circuit Court Judges substantiating Sheriff's or Jailer's claim for fees, name, address, Social Security number, and charge of prisoner, indictment number, name of officer, date of transfer, mileage, jurors' name, address, court orders, vendor's invoices and receipts.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center six (6) years; then destroy after audit. Total retention is eight (8) years.

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Controller, Office of the  
 Local Government Services  
 County Fees Systems Branch

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
03163	<b>Report of State Monies Collected</b>	This series documents the reports submitted to the Office of the Controller in the Finance and Administration Cabinet for any monies collected that are due and payable to the state, including but not limited to court costs, fees and fines. Pursuant to KRS 42.320 which establishes the court cost distribution fund created to provide a central account into which the court costs collected by circuit clerks are to be paid. The fund is administered by the Finance and Administration Cabinet and makes monthly disbursements from the fund as outlined in KRS 42.320 (2).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Circuit Court Clerks' Report of fees, fines, court costs, source of monies collected by county offices, and total monthly amount paid to State.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center six (6) years; destroy after audit. Total retention is eight (8) years.
05753	<b>Indigent Program Payments</b>	This series documents payments to the Office of Public Advocacy for the representation/defense of the needy person who has been detained by a law enforcement officer, on suspicion of having committed, or who is under formal charge of having committed, or is being detained under a conviction of, a serious crime, or who is accused of having committed a public or status offense or who has been committed to the Department of Juvenile Justice or Cabinet for Health and Family Services for having committed a public or status offense as those are who are defined by KRS 61.010 (1) (a), (b), (c), or (d) or KRS 630.020 (2). Pursuant to KRS 31.110 and 31.120 state the factors for Courts determining if a person is indigent and qualifies for legal representation and services to provided by state.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Court Order ruling that defendant is an indigent with date and Judge's signature, invoice stating itemized billing with amount to be paid, Social Security number or Federal ID number, address, W-9 Form (Request for Taxpayer Identification Number and Certification)
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to State Records Center four (4) years; then destroy after audit. Total retention is eight (8) years.
05759	<b>Purchase Orders</b>	This series documents any approved purchases made by those counties meeting the criteria in KRS 42.0201 (6) (e) and authorizes County Fees Systems Branch to perform state government's duties relating to the county fees systems for local entities' for counties over seventy thousand (70,000) in population, including serving as the payroll and fiscal officer.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain: Name of county and office making request for large purchases, name and address of vendor, item(s) requested, quantity of items, individual price, date of request, total amount, signatures of requesting agent and County Fees Systems Branch authorized personnel approving request, date of approval.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Records Center seven (7) years; then destroy after audit. Total retention is twelve (12) years.
05760	<b>Board of Assessment Appeals</b>	This series documents payment to the board members of the Board of Assessment Appeals by the County Fees Systems Branch. The Board of Assessment Appeals conducts hearings when a taxpayer appeals an assessment made by the Property Valuation Administrators using the county assessment in accordance with KRS 133.020.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) re personal information
	<b>Contents</b>	Series may contain: Name, address and Social Number of taxpayer, list of Assessment Appeals from County and signed by Property Valuation Administrator and County Judge, names, addresses, and Social Security numbers of Board members, date (s) convened, and total compensation.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center eight (8) years; then destroy after audit. Total retention is ten (10) years.

STATE ARCHIVES AND RECORDS COMMISSION  
 Public Records Division  
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STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Controller, Office of the  
 Local Government Services  
 County Fees Systems Branch

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
05761	<b>Sequestered Juror Payments</b>	This series documents payments related to sequestered jurors or other trial-related expenses. Pursuant to KRS 29A.180, the sheriff is responsible for meals, housing and other incidental needs, when the jurors are retained overnight or otherwise sequestered when ordered to do so by the judge of the Court for which the jurors were summoned, and/or transportation of jurors and other authorized persons to views of the scene or other locations authorized by the court of grand jurors and petit jurors in Circuit Court and in District Court. The sheriff is also responsible for providing any specialized personnel, equipment, and services which the judge, with the consent of the Chief Justice, shall deem necessary for the conduct of a trial in which the judge believes that special security precautions are necessary desirable.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	This series may contain: An Order of the Court stating the above services are required, including the date the jury was sequestered, case number of trial, brief explanation of the services provided by the sheriff, an original of the vendor's invoices which show the establishment, and date jurors were fed or lodged and amount of charges
	<b>Retention and Disposition</b>	Retain in Agency two (2) years, transfer to State Records Center for six (6), then destroy after audit. Total retention is eight (8) years.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Controller, Office of the  
 Material and Procurement Services

**Record Group**  
**Number**  
**1060**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00433	<b>Invitation to Bid Register - (B111-27)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain in Agency two (2) years; transfer to the State Records Center for five (5) years; destroy. Total retention is seven (7) years.
00438	<b>Price Contract Register - (P-35)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain in Agency seven (7) years; destroy
00442	<b>Requisition Register - (Master control) - (IP-1)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain in Agency two (2) years; transfer to the State Records Center for five (5) years; destroy. Total retention is seven (7) years.
00444	<b>Transportation Contracts - (TD-73-128)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain in Agency two (2) years; transfer to the State Records Center for five (5) years; destroy. Total retention is seven (7) years.
00445	<b>Transportation Requisitions - (TD-73-101)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain in Agency two (2) years; transfer to the State Records Center for five (5) years; destroy. Total retention is seven (7) years.

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
Material and Procurement Services

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Number  
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Series	Records Title and Description	Function and Use
00446	Transportation Advice of Change - (Attached to contract) - (TD-73-103)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency two (2) years; transfer to the State Records Center for five (5) years; destroy. Total retention is seven (7) years.
00463	Quarterly Vehicle Inventory - (Computer printout)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency six (6) years; destroy.

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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Controller, Office of the  
State Risk and Insurance Services

Record Group  
Number  
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Series	Records Title and Description	Function and Use
03660	<b>Appraisal File (V)</b>	This series documents all pertinent data for state-owned buildings and facilities throughout Kentucky as pertains to the value of the property (structure, size, design, type of occupancy), and information relative to the agency that occupies the building. Appraisers are assigned buildings by certificate numbers to update or complete appraisals on property. Buildings are appraised every three years. The program began in 1969, pursuant KRS 56.080. Prior to that, the Division of Real Properties, Finance and Administration Cabinet, had responsibility for an original appraisal upon acquisition of the property. There were no reappraisals completed. The appraiser completes the Calculator Cost Form, which, until January 2002, was input into the State Risk and Insurance Services System (SRISS) (03669). In January 2002, staff began inputting the information into an Oracle system. The SRISS produced, and Oracle now produces, the Building Appraisal Master Worksheet which is created prior to updating an appraisal (and is included in the Appraisal File). If an agency makes a construction change in a building, or purchases a new building, it files an agency report, which will initiate a new appraisal. The file is referenced each time a new appraisal is completed, or when a claim is filed. All appraisal information concerning a building or facility can be found in this series.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Name of building; name of agency; agency correspondence; correspondence relative to construction of a building; calculator cost form; building appraisal master worksheet; photographs; inspection reports; agency report (for updates or changes); diagram of building; SRISS Evaluation Report; SRISS Detail Appraisal Report
	<b>Retention and Disposition</b>	Retain in Agency for six (6) years after last appraisal; transfer to State Archives Center for permanent retention.
03661	<b>State Fire and Tornado Work File (V)</b>	CLOSED SERIES. This series documents the working information required to create the policies and coverage which insure state-owned properties. It is used to verify the accuracy of coverage and rates. It confirms effective dates of coverage, in cases of claims or losses. The Office has the responsibility to determine which state property is to be insured against loss by fire and other hazards, as provided for in KRS Chapter 56. The agency fixes upon each public building and upon each class of personal property belonging to or controlled by an agency of the state the rate of premium that the Office deems to be the average rate charged by responsible insurance companies doing business in the Commonwealth, against damage by fire and other hazards. The information contained in this series is now part of 05341, Fire and Tornado Underwriting File.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Correspondence; rate sheets; request for insurance coverage; copies of appraisals (appraisal worksheet, evaluation report); computer update worksheets
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy after audit
03662	<b>State Fire and Tornado Schedules - (SRISS Printout)</b>	CLOSED SERIES. This series documents the insurance policies and coverage of all building properties of an agency. The State Fire and Tornado Schedules are statements of policies created from the information gathered from the State Fire and Tornado Work File (03661) and the Appraisal File (03660). Contents of leased properties are included in the coverage. The State Fire and Tornado Insurance Fund (SFTIF), the state's self-insured fund, provides for the basic coverage on state properties--fire, extended coverage, vandalism, and malicious mischief. Each fiscal year, the state treasurer deducts funds in his keeping payable to an agency for the care and maintenance of public buildings or property, in an amount equal to the premiums certified to him as chargeable against that agency. The amount so debited is credited to an account kept by the state treasurer. The Office prescribes a certificate (policy) determining the terms and conditions of coverage under the SFTIF. Different forms of certificates may be used for different risks. This series is now part of 05341, Fire and Tornado Underwriting File.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Fiscal year; listing of buildings and contents; value of each; rates; premiums paid; policy number or certificate number; name of agency; dates; endorsements for changes; description and building number; address of facility
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for three (3) years. Destroy after audit. Total retention is five (5) years.

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Series	Records Title and Description	Function and Use
03663	<b>Commercial Policy - Except Liability File (V)</b>	This series documents the insurance coverage in effect for all state agencies for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). It is a commercial policy created upon request of an agency. The policy provides additional, optional coverage, whereas the SFTIF is mandatory (with basic coverage). This is a policy that once it has expired, the coverage or protection and liability it provided no longer exists. Under the terms of KRS 45A.022, an agency is to work with the State Risk and Insurance Services Division to purchase commercial insurance, unless an emergency exists, competition is not feasible, or the annual premium is less than \$10,000. The Executive Director determines, with the concurrence of the Secretary of the Finance and Administration Cabinet, whether to approve the purchase of such insurance. The types of policies this insurance provides coverage for would be automobile, bonds for public officials, crime, marine, boiler/machinery, flood, sprinkler leakage, business income, workers' compensation, or earthquake.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Copy of policy (name of agency, amount of coverage, amount of premium, policy terms and number, class/type of insurance, payment plan, expiration date); correspondence with agency; name of agent; recap sheet
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; transfer to the State Records Center for two (2) years. Destroy after audit. Total retention is five (5) years.
03664	<b>Commercial Liability Policy File (V)</b>	This series documents the insurance coverage with liability in effect for all state agencies for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). It is a commercial policy created upon request of an agency. The policy provides additional, optional coverage, whereas the SFTIF is mandatory (with basic coverage). There is potential for claims to be filed against this policy after the expiration of the policy. Under the terms of KRS 45A.022, an agency is to work with the State Risk and Insurance Services Division to purchase commercial insurance, unless an emergency exists, competition is not feasible, or the annual premium is less than \$10,000. The Executive Director determines, with the concurrence of the Secretary of the Finance and Administration Cabinet, whether to approve the purchase of such insurance. The types of policies this insurance provides coverage for would be commercial general liability, which is coverage on the public while on state premises, such as the state fair grounds; professional liability (doctors, attorneys); garagekeepers, airport/aircraft/hangarkeepers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Copy of policy (name of agency, amount of coverage, amount of premium, policy terms and number, class/type of insurance, payment plan, expiration date); correspondence with agency; name of agent; recap sheet
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to the State Records Center forty five (45) years. Destroy after audit. Total retention is fifty (50) years.
03665	<b>State Fire and Tornado Reinsurance Policy File (V)</b>	This series documents the reinsurance coverages of the Commonwealth's State Fire and Tornado Insurance Fund (SFTIF), the state's self-insured fund. A reinsurance policy is a policy or contract by which an insured (the state) procures a third person to insure it against loss or liability by reason of original insurance. It is a contract that one insurer makes with another to protect the latter from a risk already assumed. The limits of coverage are divided among several companies to prevent insolvency of one insurer. This type of policy insures the solvency of the SFTIF, in the case of a catastrophe. It is an all-risk policy that provides protection against all risks of direct physical loss of or damage to the property insured, with the exception of normal exclusions, such as smog, dampness, normal wear and tear, and nuclear war. Floods and earthquakes are covered by the policy. It defines coverages and interprets terms and conditions of the policy against future litigation. The SFTIF has a \$300,000/occurrence deductible. The reinsurance policy has a \$100,000,000 cap.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Policy (with terms, conditions, limits); correspondence (between Office and insurance agent)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to the State Records Center for fifteen (15) years. Destroy after audit. Total retention is twenty (20) years.

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03666	<b>RISK System Journal Voucher</b>	CLOSED SERIES: This series documents the premiums paid to the State Fire and Tornado Insurance Fund (SFTIF) from the participating agency accounts. It verifies the inter-accounting of each agency's payment. The transfer of funds is initiated by a Multiple Billing, and sent to Finance and Administration Cabinet, Division of Accounts, which completes the transfer of funds. The Office receives copies of all transactions and, until January 2002, input them into the State Risk and Insurance Services System (03669). Staff now input the transactions into the Oracle system and no longer prints a copy of the report. The report provides information when questions arise regarding charges to an agency. This series is now part of 05341, Fire and Tornado Underwriting File.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Policy number; agency name; class of insurance; amount of insurance; premium; copy of Journal Voucher for transfer of premium funds; date; copy of multiple billing
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; transfer to the State Records Center for fifteen (15) years. Destroy after audit. Total retention is twenty five (25) years.
03667	<b>Bid Specification File for Insurance Policies</b>	This series documents the needs and required coverages, terms, conditions, cancellation or alteration of a policy that is to be issued to a state agency. It is initiated by the Office, then sent to Division of Purchases, Finance and Administration Cabinet, to bid. Once a contract is awarded, a policy is issued. Usually, a policy is written for a three-year period with an additional three-year renewal option, or a one-year period with two one-year renewal options. With each renewal, premiums may be negotiated. The series provides information when other agencies have a request or need to purchase insurance.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Name of agency; deductible; terms and conditions (negotiable, annual premiums, number of days notice before cancellation, items or equipment to be added to policy); requirements; coverages; loss experience; bid sheets/rate; name of contact person; copy of purchase order requisition
	<b>Retention and Disposition</b>	Retain in Agency six (6) years; destroy.
03668	<b>State Properties Specific Rate File</b>	CLOSED SERIES. This series documented the rate information provided by the rating bureau (Insurance Services Office Commercial Risk Services, Inc.) for fire and extended coverages for the buildings and facilities insured by the State Fire and Tornado Insurance Fund (SFTIF). The information is provided on the application that describes the requirements and needs for rates, i.e., buildings with sprinklers. The information is used primarily for new buildings acquired or renovations. It aids in making the proper rate adjustments for the (additional) coverage. The rates are good for five years. Upon receipt of the application, the Office is provided with the necessary information for rating the (new) building. Debits and credits are applied. The rates are then applied to the appraised value of the property. This series is now part of 05341, Fire and Tornado Underwriting File.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Application (name and location of property, qualifications for rating, reason for requesting rates, appointment information such as building ownership and tenant information, requestor's name and mailing address); fire rate; extended coverage rate; classification of occupancy; building construction; sprinkled; fire protection class
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy.

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03669	<b>State Risk and Insurance Services System - (SRISS) (Electronic)</b>	CLOSED SERIES. This system documents information necessary to assist the appraisers, claims staff and underwriting staff by providing information concerning the state's self-insurance program. It provides easy access to file information for inquiries and reporting capabilities to an agency or to the Executive Director. Policy renewals are due each July. The time span to prepare annual insurance policies was reduced from four months to less than one week with the implementation of the SRISS, thus allowing more interest earned on premiums paid in July, instead of October or November. It provides the staff with claim/loss information, which allows the Office to pass credit discounts to agencies with few, if any, losses. All information in the SRISS can be found in the manual file that corresponds with an agency or policy. There is reference activity with two to three year old information for comparative purposes, i.e., claims/loss experience. This system was replaced in January 2002 by the Oracle system.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: (FOR SFTIF, COMMERCIAL, ENDORSEMENTS, BOILERS, TOWERS, BRIDGES, REINSURANCE) Name of agency (cabinet, Office, division); certificate number; endorsement number; account number; amount of insurance; premium paid; experience credit; Journal Voucher number/date; date of report; effective dates; inception date; expiration date; deductible; item description/location; line/class of insurance; old coverage; new coverage; fire rate; extended coverage (EC) rate; fire and EC rate; total; coverage difference; additional premium; appraisal date; item identification number; replacement cost; present coverage; maximum insurance value; minimum insurance value; desired value; building information (occupancy, class/quality, construction, condition, roof construction, number stories, number elevators, number escalators, number sprinklers, construction date, basement, (see attached sheet)
	<b>Retention and Disposition</b>	Retain in Agency and delete entries that are older than five (5)years.
03670	<b>State Risk Claims File (V)</b>	This series documents that a loss has occurred, and the proper papers or reports have been completed and filed to repair or reconstruct damaged property. It is the history of a claim. It describes damage that has occurred to state property. An agency that has had a loss will contact the Office using a Notice of Loss form. Estimates are gathered, the property is repaired, and the claim file is closed. An average time frame for servicing and settling a claim is anywhere between a week to six months, dependent on the extent of the damage. The Division deals only with property losses. The insurance carrier would be the primary source of information for those losses with liability (Commercial Liability Policy-03664). This series provides a loss history for agencies which, in turn, provides information for determining insurance premiums. An agency with a low loss ratio may receive certain credits, which will lower an annual premium.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Notice of Loss; two proofs of loss (breakdown of loss, settlement agreement, signatures of authorized agency personnel to transfer funds in State Fire and Tornado Insurance Fund Account); police report; estimates; photographs; correspondence
	<b>Retention and Disposition</b>	Retain in Agency two (2) years after claim is settled; transfer to State Records Center for three (3) years. Total retention is five (5) years.

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04385	<b>Mine Subsidence Claim File (V)</b>	This series documents the record of a claim(s) made against the Kentucky Mine Subsidence Insurance Fund (KMSIF), the investigation conducted in regard to the validity of the claim, and the execution of payment, as required through closure. Legislation was introduced to the General Assembly in 1984 in response to the plight of Kentuckians residing in counties with underground coal-bearing strata, and who were unable to obtain insurance on their dwellings or business properties against the peril of mine subsidence, or collapse of (abandoned) underground mines, resulting in damage to their homes or business facilities. Initially, the federal government subsidized the program through a grant. In 1990, however, the KMSIF became a self-sustaining fund through payment of homeowners/fire insurance premiums. Policies were better able to provide standard and uniform coverage on eligible structures. Thirty-four counties are eligible to receive the benefits of the program. All property owners who live in areas of abandoned or active subsurface coal mines will have the mine subsidence endorsement as a part of the homeowners insurance, unless a waiver of coverage is signed. NOTE: Documentation of abandoned mine reclamation is a permanent record at the Division of Abandoned Mine Lands, Office of Natural Resources (Series 03342 - Bond Forfeiture Reclamation File).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Notice of Loss Form; investigation documents; correspondence; photographs; adjusters' reports; damage reports
	<b>Retention and Disposition</b>	Retain in Agency three (3) years after closure of claim; transfer to State Records Center for forty seven (47) years; total retention is fifty (50) years.
05341	<b>Fire and Tornado Underwriting File</b>	This series documents the State Risk Division's underwriting of changes made within the state's Fire and Tornado self-insurance property fund. For example, coverage is updated when values for buildings and contents are added, changed, or deleted. The series documents policy creation, premiums paid or refunded, rates charged, and schedules for building values and locations. The Office has the responsibility to determine which state property is to be insured against loss by fire and other causes of loss, as provided under the authority of KRS Chapter 56. The Office fixes upon each public building, and upon each class of business or personal property owned by or under the care, custody and control of the state, the rate of premium that the Office deems to be the average rate charged by responsible insurance companies doing business in the Commonwealth against damage by fire or other causes of loss.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: State fire and tornado work file, state fire and tornado schedule, state properties specific rate file, billing documents, changes in coverage, schedules, related correspondence
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; transfer to the State Records Center for two (2) years. Destroy after audit. Total retention is five (5) years.

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Series	Records Title and Description	Function and Use
00336	Available Balance Report	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy
00337	Monthly Expenditure Summary Report - (Computer Printout)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy
00338	Allotment Analysis Report - (Computer Printout)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency two (2) years; transfer to the State Records Center for six (6) years; destroy. Total retention is eight (8) years.
00360	Comprehensive Annual Financial Report	This series documents detailed information on each state agency's and state university's financial activity for each fiscal year. The report is published after each fiscal year and lists expenditures, revenues, allotments, etc.
	Access Restrictions	None
	Contents	Series contains: Combined balance sheet; all fund types and account groups; combined statement of revenues; expenditures; changes in fund balance-all government fund types and expendable trust funds; statements of all allotments and expenditures summaries by fund
	Retention and Disposition	Retain one copy in agency permanently. Transfer two copies to the Publications Section of the Public Records Division when issued to be retained permanently.

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Series	Records Title and Description	Function and Use
00373	<b>Memorandum for Account Modification</b>	This series documents the request by state agencies to establish new accounts, delete obsolete accounts and to provide the reason for such changes. It is a one-part form completed by the Governor's Office for Policy and Management and then sent to the Office for approval and processing.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date; establish/delete/change title; fund; cabinet; department; program/project; capital projects; descriptive title; controls; control override; allotment; cash; both; capital construction; reference document number; approval
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years; destroy after audit
00417	<b>Fin. Accounts. Rectitle (Receipt Title File)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Destroy
00528	<b>Board of Revenue Supervisor's Vouchers</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; transfer to the State Records Center to be retained four (4) years; destroy. Total retention is eight (8) years.
04239	<b>Comparative Signature Card</b>	Closed Series: This series, which was completed by each agency and submitted to the Division of Accounts, authorized which agency personnel could sign specific documents processed by the Division of Accounts. Documents submitted to the Division of Accounts for processing with unauthorized signatures were rejected. The cards were used for several years to check to see if the appropriate signature was used on documents. The series was updated as changes in state agency personnel occurred.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Cabinet name; cabinet number; department; department number; approved name; division; type of documents; signature of employee; department approval; director of Division of Accounts signature
	<b>Retention and Disposition</b>	Destroy after audit

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Series	Records Title and Description	Function and Use
04240	<b>Request for Approval of Bank Account</b>	This series documents the establishing of a bank account by state agencies. KRS 41.070 (3) requires the approval of the State Treasurer and the Finance Cabinet Secretary for all agency bank accounts. This request is completed by the agency and submitted to the State Treasurer to establish a bank account, change a bank account number, or to close a bank account and then sent to the Division of Accounts for their approval.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date (month/day/year); name of agency; purpose of account; name of account; name of bank; address of bank; custodian; date account needed; estimated monthly balance; Is this a new account?; If no, give the following: name of old account; signature of agency head; approved State Treasurer; approved Finance and Administration Cabinet
	<b>Retention and Disposition</b>	Retain permanently in Agency
04307	<b>Fixed Assets Report File - (STARS printout)</b>	Closed Series: This series documented the listing of all fixed assets, both real property and equipment, owned by the Commonwealth of Kentucky. It was created by agencies upon purchase of a piece of property or equipment. The information was put into the Statewide Accounting and Reporting System (STARS) (04306) which produced the report, for the purpose of tracking all fixed assets purchased during the year. The information was used for reporting the fixed assets in the Comprehensive Annual Financial Report (00360). It provided a breakdown of complete ownership of real property, dates of purchase, and a description of the property.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Cabinet name and number, department name and number; property tag number; date of purchase; acquisition document number; funding source information; acquisition costs, description of property
	<b>Retention and Disposition</b>	Retain 8 years. Destroy after audit.
04308	<b>Daily Reports - (Examples include Daily Allotment Detail; Daily Cash Control Detail; Daily General Ledger Trial Balance) - (STARS Printouts)</b>	Closed Series: This series documented the financial activity reported on a daily basis and produced from the Statewide Accounting and Reporting System (04306). The reports listed financial activity such as daily expenditures, allotments, revenues, and cash control for each day. Once produced, the reports were sent to the respective state agency conducting the transactions. Series 00406 through 00429 were deleted and covered by this series.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	See attached
	<b>Retention and Disposition</b>	Destroy

RECORDS RETENTION SCHEDULE

Signature Page

Turnpike Authority of Kentucky  
Agency

September 1988  
Schedule Date

\_\_\_\_\_  
Unit

\_\_\_\_\_  
Change Date

SEP 08 1988

\_\_\_\_\_  
Date Approved by Commission

\*\*\*\*\*

APPROVALS

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

*Morgan Russell*  
Agency Head

*Aug 25, 1988*  
Date of Approval

*Barbara D. Lacher*  
Agency Records Officer

*August 25, 1988*  
Date of Approval

*Richard D. Redding*  
State Archivist and Records Administrator  
Director, Public Records Division

*August 24, 1988*  
Date of Approval

*[Signature]*  
Chairman, Archives and Records Commission

*Sept. 8, 1988*  
Date of Approval

\*\*\*\*\*

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

*Kathleen B. Hilliard*  
Records Analyst/Regional Administrator

*August 24, 1988*  
Date of Approval

*[Signature]*  
Appraisal Archivist

*August 24, 1988*  
Date of Approval

*Miana R. Moses*  
State/Local Records Branch Manager

*8/24/88*  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

*James M. Litchford*  
Auditor of Public Accounts  
*Bob Sabra*

*9-7-88*  
Date of Approval

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Series	Records Title and Description	Function and Use
01385	Annual Audited Financial Statements	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for two (2) years. Transfer to State Archives Center for Permanent retention.
01387	Bond Closing Documents	
	Access Restrictions	None
	Contents	Bound volumes include: Certified List of Names of Members of the Turnpike Authority, By-Laws of the Turnpike Authority of KY, Engineering Reports, Traffic and Revenue Studies, Attorney General's Legal Opinions (land title), Contract of Purchase
	Retention and Disposition	Transfer to State Archives Center after all financial records are completed for Permanent retention.
01388	Bank Trust Statements of Transactions (V)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
01391	Turnpike Authority Requisitions for Payment to Department of Highways (V)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) after bond redemption.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
01392	<b>Disbursement Authorizations (Pertaining to Bond Issues)</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
01393	<b>Investment Schedule</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
01394	<b>Cancelled Checks and Deposit Slips</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
01395	<b>Bank Checking Statements</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
01396	<b>Verification Work Papers of Reimbursement Requisitions</b> Access Restrictions Contents <b>Retention and Disposition</b>	None  Retain for one (1) year. Destroy after audit.

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01399	Availability of Funds Report	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy when no longer useful.
01845	Check Stubs	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
03289	Books of Record (V)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to State Archives one (1) year after bond redemption for Permanent retention.
03290	Bonds Outstanding Report/Construction Fund Balance Report	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) year.
03291	Personnel Folder (V)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to State Archives after termination of employment for Permanent retention.

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration Cabinet
Agency

September 1, 1983
Schedule Date

Facilities & Support Services
Unit

December 8, 2005
Change Date

December 8, 2005
Date Approved By Commission

\*\*\*\*\*

APPROVALS

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

[Signature]
Agency Head

12/8/05
Date of Approval

[Signature]
Agency Records Officer

12/6/05
Date of Approval

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

12/8/05
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

12/08/05
Date of Approval

\*\*\*\*\*

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

[Signature]
Records Analyst/Regional Administrator

12-8-2005
Date of Approval

[Signature]
Appraisal Archivist

12/8/05
Date of Approval

[Signature]
State/Local Records Branch Manager

p Dec 05
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12/8/05
Date of Approval

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services

Record Group  
Number  
1060R

Series	Records Title and Description	Function and Use
00621	Janitorial Inventory Record	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency two (2) years; destroy

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Buildings and Mechanical Services

Record Group  
 Number  
 1060R

Series	Records Title and Description	Function and Use
00600	<b>Space Alterations File - (Documents interior alterations to major state buildings)</b>	This series provides information regarding space alterations to interiors of buildings that have been requested by agencies and approved by the Cabinet. The Cabinet's Physical Plant actually carries out the work.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Schematics, plats, and instructions for interior construction
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years after termination of property ownership; destroy
00620	<b>Man Hour Accounting Record Database</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years; destroy

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Buildings and Mechanical Services  
Security

Record Group  
Number  
1480

Series	Records Title and Description	Function and Use
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03172	Defender Audit Trail File	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after audit

03173	Monthly Security Guard Violation Log	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy

03174	Employee Sign-In Log	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy

03175	Authorized Messenger Register	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy

03176	Vistor's Sign-In Log	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy

STATE ARCHIVES AND RECORDS COMMISSION  
Public Records Division  
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STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Buildings and Mechanical Services  
Security

Record Group  
Number  
1480

**Records Title**  
**Series and Description**      **Function and Use**

---

03177 Vistors/Students  
Parking Badge Log

**Access Restrictions**      None

**Contents**

**Retention and Disposition**      Destroy

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Engineering and Contract Administration

Record Group  
Number  
1060

Series	Records Title and Description	Function and Use
00565	<p><b>Tracings and Reproducible Drawings - (All state buildings, except those delegated to other state agencies) (V)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Series contains: Complete drawing of project; engineering file number; set number; date; name of architect; schedule of drawing; site plan; structural details; plumbing details; electrical details</p> <p><b>Retention and Disposition</b> Retain in Agency and destroy eight (8) years after termination of ownership of the facility</p>	<p>This series reflects the physical make-up of buildings, including mechanical, electrical, and heating and air conditioning systems. The drawings are produced by professional architects and engineers for the purpose of seeking bids on capital construction projects. After the structure is built, the tracings remain valuable as they are one-of-a-kind and are used to produce blueprints or whiteprints, for the purpose of maintenance, renovation, or reference by future architects or engineers.</p>
00566	<p><b>Capital Construction Project Files</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Series contains: Contract specifications; project correspondence; inspection reports; material testing records; change orders; site and subsurface investigation reports; photos and negatives; and periodical estimates</p> <p><b>Retention and Disposition</b> Retain in Agency until completion of project; transfer to State Records Center to be retained eight (8) years after termination of ownership and audit. Destroy.</p>	<p>This series documents the planning, designing and construction of capital construction projects within the state, such as hospitals, stadiums, park lodges, utility systems, etc. A project is considered capital construction when funds for the project come from the governor's budget (02 money) rather than an agency's budget (01 money). Capital construction projects are over \$10,000. These records reflect an interchange of information between architects, engineers, accountants and other professionals as related to the project for sealed bidding, awarding of contracts, specifying, testing and reporting of information. Bids are submitted to the Cabinet for construction projects by interested contractors. The file is then used to document the activities of the project, until its completion. Contractors and bonding companies are held liable for construction problems for two years after the completion of most projects.</p>
00569	<p><b>Account Documents File - (Capital construction projects)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Series contains: Warrants; invoices; pay-in-vouchers; purchase orders; journal vouchers; advice of change; inter-account bills; miscellaneous encumbrance documents; sealed bid folders; contracts; check registers; escrow agreements; payroll reports</p> <p><b>Retention and Disposition</b> Retain in Agency and transfer to the State Records Center after close of project. Retain at State Records Center for eight (8) years and destroy after audit</p>	<p>This series documents the accounting records of all capital construction projects. They are used by the Division to document, control and account for capital construction project expenditures.</p>

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Engineering and Contract Administration

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
00571	<b>Sealed Bid Folders</b>	This series documents the records generated in receiving bids on small agency non-capital construction projects. Non-capital construction projects are projects funded by agency funds (01 money), usually under \$10,000. Contractors interested in bidding on projects are sent an invitation to bid form to be completed and then returned to the Finance and Administration Cabinet. Once all bids are submitted and reviewed, the contract is then awarded to the lowest responsible bidder.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Invitation to bid; form of proposal; list of prospective bidders; prevailing wage determination; requisition; bid proposal; miscellaneous correspondence; bid tabulation; copy of purchase contract if awarded; bid tabulations
	<b>Retention and Disposition</b>	Retain in Agency and destroy eight (8) years after award of contract and audit
00573	<b>Price Contract Register</b>	This series is a log of various vendors and their contracts. The log is used for quick reference to keep track of vendors, their contracts, and the agency to whom the contract for service is for.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date of entry; price contract number; invitation to bid number; agency; vendor; period of contract and commodity
	<b>Retention and Disposition</b>	Retain in Agency five (5) years and destroy after audit
00574	<b>Coal Severance Folders</b>	This series was created to document community development projects and account for disbursements of Coal Severance Funds, Economic Aid Funds, or Area Development Funds. These funds were used for various improvements to the community, once mining activities were completed. The files include records that verify that federal funds were spent for specific jobs.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Project proposals; board approvals; funding resolutions; statement of assurances; easements; articles of incorporation; public hearing advertisements; maps; project review, comments and approvals; contract agreement; secretary's orders; special vouchers; check transmittals; performance bonds; deed/title opinions and permits; project correspondence; accounting records
	<b>Retention and Disposition</b>	Retain in Agency and destroy three (3) years after project closeout and audit
03628	<b>Central Project Log - (Index to capital construction projects)</b>	This record is used by the Department for Facilities Management as an index to quickly find and verify account numbers and cost information on all capital construction projects. This series serves as an index to the Capital Construction Project Records (00566).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: File number; title of project; name of contractor; amount of bid; bid invitation number; date/year; cost of project
	<b>Retention and Disposition</b>	Retain in Agency and destroy each update after eight (8) years

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Mechanical Services

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
00610	Vehicle Mileage Report	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy
00611	Fuel Oil Log	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 Facilities and Support Services  
 Physical Plant

**Record Group**  
**Number**  
**1060R**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00606	<b>Building Blueprints - (Duplicate)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency and destroy when no longer useful
00614	<b>Sign-In Sheets</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; destroy
00615	<b>Purchase Order Log</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; destroy
00624	<b>Call-In Trouble Log - (Computer printout)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency one (1) year; destroy

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Real Properties

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
00583	Land Acquisition Ledger	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00585	Expenditure Reports - Real Property	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
00586	Land Acquisition File - (May include deed; title; surveys; appraisals; payment information; relocation assistance; building demolitions and related correspondence)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and transfer individual folders to Land Sold File when applicable
00587	Land Sold File - State Owned Real Property (V)	The record function is to maintain and retain information and documents relative to the disposition of all state-owned surplus real property. A small portion of these records are forwarded to the appropriate agency for their perusal and/or retention; (usually a copy of the Deed and Official Order). Surplus property is excess property that has been maintained by an agency and disposed of after a determination by the maintaining agency, that it is no longer needed or required. These files represent documents on real property sold or otherwise disposed of by this cabinet for all Agencies.
	Access Restrictions	None
	Contents	Series contains: Copies of deeds, (quitclaim, easement and deed of conveyance), official orders, commissioner orders, surveys appraisals, title reports, appraisal agreements/reviews, proof of necessity for professional employment, appraisal fee estimate, auctioneer fee estimates, applications for professional employment, request for service contracts and related correspondence
	Retention and Disposition	Retain in Agency two (2) years after disposition is affected; transfer to State Archives Center for permanent retention.

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 Public Records Division  
 Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Real Properties

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
00588	Temporary Land Acquisition File - (Pending)  Access Restrictions  Contents	None
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Land Acquisition File when applicable. Destroy terminated project files after four (4) years.
00590	Farming Agreements - (Duplicate) - (Between the Department of Fish and Wildlife and local farmers at state wildlife management areas) (V)  Access Restrictions  Contents	A) The record function is to maintain and retain information and documents relative to leasing or granting an interest in state owned real property. A small portion of these records are forwarded to the appropriate agency for their perusal and/or rejection (usually a copy of the lease agreement and official order). B) Leasing of property maintained by an agency which is surplus to their immediate needs, but is not surplus for disposition. C) These files represent documents for leasing of acres at various wildlife management areas maintained by Department of Fish and Wildlife, for agricultural purposes.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years after lease termination is affected; transfer to State Records Center for three (3) years; destroy. Total retention is five (5) years.
00593	Authorization for Signature - (From the secretary of Finance)  Access Restrictions  Contents	None
	<b>Retention and Disposition</b>	Retain in Agency and destroy when obsolete
00594	Thermostat Temperature Checks - (State Owned Facilities)  Access Restrictions  Contents	None
	<b>Retention and Disposition</b>	Retain in Agency and destroy when no longer useful

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Real Properties

Record Group  
Number  
1060R

Series	Records Title and Description	Function and Use
00595	<b>Carpool Application Permits</b>  Access Restrictions  Contents  Retention and Disposition	None    Retain in Agency and destroy when permit expired
00596	<b>Emergency Evacuation Procedures - (State owned buildings)</b>  Access Restrictions  Contents  Retention and Disposition	None    Retain in Agency and destroy when superseded
00597	<b>Building Record Information - (Duplicate) - (Includes agency assignment; rental rate; available space; floor plans)</b>  Access Restrictions  Contents  Retention and Disposition	None    Retain in Agency and destroy when superseded
00599	<b>Special Projects - (Furniture arrangements, space utilization, building checks)</b>  Access Restrictions  Contents  Retention and Disposition	None    Retain in Agency four (4) years; destroy

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Real Properties

Record Group  
 Number  
 1060R

Series	Records Title and Description	Function and Use
00601	<p><b>Major Moves of State Personnel File - (Frankfort area)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years; destroy</p>	
00602	<p><b>LRC Subcommittee Review File - (Duplicate)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years; destroy</p>	
00603	<p><b>Attendance Report Summary - (Finance) - (Computer printout)</b></p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b> Retain in Agency three (3) years; destroy</p>	
04542	<p><b>Federal/State Energy Reporting Program File</b></p> <p>Closed Series: This series documented a joint federal/state program to report energy usage in each of Kentucky's state-owned buildings. Kentucky's program was patterned after similar programs in other states, with the exception being that Kentucky's measured or accounted for all energy consumption in each of its 5,200 state-owned buildings. In this regard, Kentucky's program was unique. The program required that each building report monthly energy usage by specific categories, i.e., gas, electric, coal, fuel oil, steam, etc. This information was then entered into an electronic application for ease of reporting monthly, quarterly and yearly statistics. The program was expanded to include corrective action reports, if energy consumption in a particular building fell outside acceptable ranges. Based on information gathered, the Division of Energy, Environmental and Public Protection Cabinet, was developing an energy conservation plan for state government, to make buildings more energy efficient. The plan would require legislative approval. Currently, the cost of energy consumption by state government averages between \$40 and \$42 million annually. The federal government opted to discontinue funding of the program in 1992. As a result, a final report was not issued.</p> <p><b>Access Restrictions</b> None</p> <p><b>Contents</b> Series contains: Related correspondence, summary reports, sample collection form, financial reports. Specific information gathered by category of energy usage included: cost/quantity; electricity in KWHs; natural gas in MCF and CCF; coal in tons; fuel oil in gallons; steam in 1,000 pounds; chilled water in tow hours; totals; building's square footage. All categories reported in month, quarter and year to date</p> <p><b>Retention and Disposition</b> Transfer to the State Archives Center for permanent retention</p>	

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Facilities and Support Services  
 Real Properties

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
05402	<p><b>Space Alterations File - (Documents interior alterations to major state buildings)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>This series provides information to the Division regarding interior alterations to major state buildings, for reference purposes.</p> <p>None</p> <p>Series contains: Schematics, plats, and instructions for interior construction</p> <p>Retain in Agency and destroy after termination of property ownership</p>
05448	<p><b>Real Property and Facilities Management Database (V)</b></p> <p><b>Access Restrictions</b></p> <p><b>Contents</b></p> <p><b>Retention and Disposition</b></p>	<p>The Dept. for Facilities and Support Services was established within the Finance and Administration Cabinet by KRS 42.014. Duties of the department were further delineated in June, 2005 by KRS 42.425 to include the supervision of building construction projects and the maintenance and operation of state government real property and physical plants. Section (2) (d) requires the implementation and maintenance of a comprehensive real property and facilities management database to include all state facilities and land owned or leased by the executive branch agencies, including any postsecondary institution. This electronic record series will encompass and enhance, but not necessarily replace, information from a number of existing paper record series. The database software is utilized in function modules which are free standing and can also be interrelated as new modules are added to create a more comprehensive system. The database is in the early stages of implementation. Two modules are currently in use: Real Property &amp; Lease Management, and Space Management. Features from a third module (Building Operations) related to Work Orders are also being used. Additional modules such as Capital Construction and Historic Properties will be implemented in the future. The software implementation is supported by a consulting company and the database product has approximately 3 million users. The full implementation will eventually support the requirements of the statute and also assist the projects and bonds oversight functions of the Legislative Research Commission related to the Six Year Capital Plan.</p> <p>KRS 61.878 (1)(a), (1)(k),(1)(m)1.f.- g.</p> <p>The database series will incorporate a wide variety of data elements including fields related to the purchase and sale of property; agency space utilization and costs; site preparation for and placement of computing and communications equipment; and the alteration, renovation or destruction of facilities. The data is primarily in the form of relational tables which can be queried to create routine or customized reports within one function module or across several modules. Computer assisted (CAD) floor plan drawings are also included and searchable within the Space Management module.</p> <p>As database implementation progresses, track the flow of information into and out of the system by means such as flow charting or cross walk references. Develop data retention schedules and processes based on the functions of the information and in relation to paper records retention. Create retention periods and processes as needed for any new data and output reports that are "born digital".</p>

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Surplus Properties

Record Group  
Number  
1060

Series	Records Title and Description	Function and Use
00464	Public Auction Sales of Surplus Personal Property - (Original) - (All agencies)	
	Access Restrictions	None
	Contents	Series contains: Declared surplus form B217-2; copy of official order; advertising information; bidder sign-in sheet; sale list; sale tickets; check list; sale recapitulation; deposit documentation; sales tax journal voucher; and related correspondence
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit.
00465	Sealed Bid Sales of Surplus Personal Property - (Original) - (All agencies)	
	Access Restrictions	None
	Contents	Series contains: Declared surplus form B217-2; copy of official order; advertising information; bidder list; sealed bid forms; checks or money orders; bid tabulations; deposit documents; sales tax journal voucher; and related correspondence
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit
00466	Restricted Purchase Sales of Surplus Personal Property - (Original) - (All agencies)	
	Access Restrictions	None
	Contents	Series contains: Direct transfer form B217-42A; declared surplus form B217-2; copy of 501 (C) 3 tax exemption certification letter; deposit documentation; and related correspondence
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit.
00469	Declared Surplus Form File - (Original) - (B217-2)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration  
Facilities and Support Services  
Surplus Properties

Record Group  
Number  
1060

Series	Records Title and Description	Function and Use
00470	Requisition of Surplus Personal Property Form File - (Original) - (B217-3)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration Cabinet  
Agency

June 12, 2014  
Schedule Date

Division of Fleet Management  
Unit

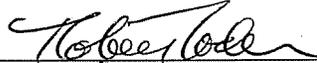
Change Date

June 12, 2014  
Date Approved By Commission

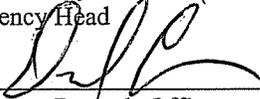
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APPROVALS

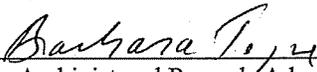
The undersigned approve of the following Records Retention Schedule or Change:

  
Agency Head

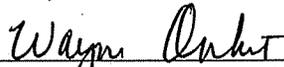
4-28-14  
Date of Approval

  
Agency Records Officer

04/28/14  
Date of Approval

  
State Archivist and Records Administrator  
Director, Public Records Division

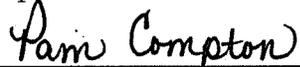
6/10/2014  
Date of Approval

  
Chairman, State Archives and Records Commission

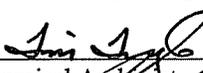
6/12/14  
Date of Approval

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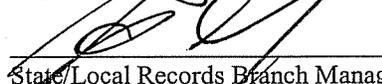
The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

  
Records Analyst/Regional Administrator

April 17, 2014  
Date of Approval

  
Appraisal Archivist

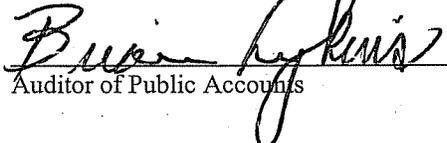
6/10/2014  
Date of Approval

  
State/Local Records Branch Manager

6/10/14  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

  
Auditor of Public Accounts

6-12-14  
Date of Approval

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

STATE AGENCY RECORDS  
 RETENTION SCHEDULE

Finance and Administration  
 Fleet Management, Division of

Record Group  
 Number  
 1060

Series	Records Title and Description	Function and Use
06504	<b>Navigational and Tracking Data (State Vehicles)</b>	This series represents data from navigational and tracking devices, including Global Positioning System (GPS) information, for Division of Fleet Management's (DFM's) state owned vehicles that are equipped with automatic tracking devices. This includes Motor Pool vehicles and/or vehicles assigned to agencies through DFM. The information from these devices assists in ensuring efficient vehicle operation. The Finance and Administration Cabinet contracts with vendors providing this service. DFM maintains and provides access to this data for all vehicles assigned to agencies through the Division. Agencies that procure their own vehicles and install tracking devices have the responsibility for retaining this information.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Vehicle license plate number; date and time of vehicle usage; locations by longitude and latitude; speeds; starting and stopping times
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Finance and Administration  
 General Counsel

**Record Group**  
**Number**  
**1060S**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
00306	Legal Actions Regarding Property Records	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency twenty (20) years; transfer to the State Archives Center for permanent retention.
00307	Litigation Case Folders	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency twenty (20) years; transfer to the State Archives Center for permanent retention.
00309	Board of Claims Cases - (Claims made by department employees)	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and destroy five (5) years after board decision
00311	Attachment Notices of Garnishment on State Employee's Salary	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy