Department of Natural Resources

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 Arch ves

This records retention schedule governs retention and disposal of records created, used and maintained by the Department for Natural Resources. **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 Department for Natural Resources personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for Department for Natural Resources to destroy the records listed, after the appropriate retention periods have passed.

Department for Natural Resources 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 Department for Natural Resources.

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 Department for Natural Resources, 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 serves as a records officer. The agency records officer represent that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Department of Natural Resources

The Department for Natural Resources oversees activities and programs related to forestry, conservation, mining, and land preservation. The department, through its divisions and partnerships, provides technical assistance, educational programs, and funding to assist the general public, landowners, institutions, industries, and communities in conserving and sustaining Kentucky's natural resources. In addition, the department is responsible for the inspection of timber harvests and mining operations to ensure compliance with laws that protect the public, the environment and Kentucky's coal miners. The department is run by a Commissioner and is made up of the following divisions: the Division of Technical and Administrative Support, the Division of Conservation, the Division of Forestry, the Division of Abandoned Mine Lands, the Office of Mine Safety and Licensing, the Division of Mine Reclamation & Enforcement, the Division of Mine Permits, and the Division of Oil and Gas.

FORM A & R 10
2-75

STATE
ARCHIVES AND RECORDS COMMISSION
COMMONWEALTH OF KENTUCKY

RETENTION AND DISPOSAL SCHEDULE
GENERAL AGREEMENTS

APPROVALS

Robert H. Bell
Agency Head and Title

Division of Archives and Records Howard G. Gardgraber
Director

Archives and Records Commission Charles F. Wills
Chairman

Schedule for:
Dept. for Natural Resources & Environmental Protection
Agency Division

Date Approved 4/30/76 No. of Schedule II

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

Charles Dimitry Bassett
Agency Records Officer

Ralph E. Drake
Assistant State Records Administrator

Louis Bollard
Assistant State Archivist

Robert H. Brown

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

4/21/76
Date

George L. Atkins
Auditor of Public Accounts

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Division of Abandoned Mines
Unit

Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: Nov 13, 2015

Agency Records Officer — Date of Approval: 11/13/15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — Date of Approval: 3/10/16

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

Pam Compton
Records Analyst/Regional Administrator — Date of Approval: Nov. 12, 2015

Appraisal Archivist — Date of Approval: 3/10/2016

State/Local Records Branch Manager — Date of Approval: 3/10/16

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The determination as set forth meets with my approval.

Melissa Scott for Mike Harmon
Auditor of Public Accounts — Date of Approval: 3/10/16

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Abandoned Mine Lands

Record Group Number
1900

Series	Records Title and Description	Function and Use
03339	**Federal Cooperative Agreement Project File (V)**	CLOSED SERIES. This series documents the design and construction process of each abandoned-mine-lands project pursuant to KRS 350.565 and pursuant to Title IV of the Surface Mining Control and Reclamation Act of 1977 (P.L. 95-87). The Close-Out Report is the final financial statement submitted to the Secretary of the United States Department of the Interior upon completion of a project. This Series has not been created since October 24, 1985, but the agency still needs access to the records in the event there are questions regarding reclamation of the site.
	Access Restrictions	None
	Contents	Series may contain: Correspondence; realty-consents for entry; negotiation documentation; property owner information and copies of deeds; financial reports; contracts awarded and payment; reclamation plans; inventory updates; environmental assessments; design-progress reports; photos; construction-generated progress forms; inspection reports and close-out report.
	Retention and Disposition	Retain in Agency permanently.
03340	**Federal Abandoned Mine Land Grant Project File (V)**	This series documents the federal program grants allotted to Kentucky's Abandoned Mine Lands Division to abate or control the adverse effects of past coal mining activities for reclamation in accordance with Public Law 95-87, Title IV of the Surface Mining Control and Reclamation Act of 1977 and subsequent amendments.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Financial reports; Contracts for design; inspection and construction reports; Plans for proposed work; environmental assessments, consent for entry and negotiations; appraisals, property information forms and deed copies; design plans and including acid mine drainage plans, if applicable; progress reports; photographs; plans/specifications for construction; design related reports; daily inspections; pay vouchers; bid information, correspondence, and Close-out Report.
	Retention and Disposition	Retain in Agency permanently.
03342	**Bond Forfeiture Reclamation File (V)**	This series documents the forfeiture of a bond by a coal mining operation, bank, or surety, and reflects the reclamation activities that are undertaken by the Division. As a part of the permit requirements for the disturbance of surface lands to mine coal in Kentucky, an operator is required to post a reclamation bond as surety that the lands will be restored. If the operator fails to restore and reclaim the lands in accordance with Surface Mining laws and regulations, the reclamation bond is forfeited and deposited in a special account to be used by the Commonwealth to reclaim these lands. The Commonwealth is responsible for administering the contracting process by which these lands are reclaimed and providing the manpower to design and monitor construction.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency is responsible to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Correspondence file - bid, work order, contract, letters from any state agency relative to the contract; Invoice file - purchase order authorization for payments, affidavit of final payment, change orders, assignments; Individual permit file information - inter-office memos, photographs, property owner Right to Enter forms, inspection reports
	Retention and Disposition	Retain in Agency for ten (10) years; transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Abandoned Mine Lands

Record Group Number
1900

Series	Records Title and Description	Function and Use
06692	**Planning Units File (V)**	This series documents the planning units for reclamation of lands and water in the coal bearing counties of the Commonwealth that are eligible for abatement expenditures under the Abandoned Mine Lands Program pursuant to KRS 350.550 through KRS 350.597. The plans may be updated during federally-conducted reclamation activities within the planning unit as well as bond forfeiture sites.
	Access Restrictions	
	Contents	Series may contain: Name and address of permittee; address and location of abandoned mine site; reclamation plans; investigation reports; photographs; digital recordings; citizen inquiries of potentially mine related problems and responses by Abandoned Mine Lands Division; and correspondence.
	Retention and Disposition	Retain in Agency permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Department for Natural Resources Agency	April 1976 Schedule Date
Division of Conservation Unit	June 1989 Change Date
	6/8/89 Date Approved by Commission

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APPROVALS

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

Agency Head	6-1-89 Date of Approval
Agency Records Officer	5-30-89 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	5-22-89 Date of Approval
Chairman, Archives and Records Commission	6/8/89 Date of Approval

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

Kathleen B. Hilliard Records Analyst/Regional Administrator	May 18, 1989 Date of Approval
Charles A. Robb Appraisal Archivist	May 22, 1989 Date of Approval
Wilma Moser State/Local Records Branch Manager	5/23/89 Date of Approval

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The determination as set forth meets with my approval.

James M. Crittenden, CPA, Asst St. Auditor Auditor of Public Accounts for Bob Babbage	5-25-89 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Conservation

Record Group Number
1900C

Series	Records Title and Description	Function and Use
03455	**Watershed Conservation District File (V)**	This series documents the construction, history and rationale for flood control and water and soil conservation projects in the watersheds of specific streams. Watershed is the land area contigious to or adjacent to and draining into a stream. It is to aid in the channeling and retention of water to minimize peaks and ebbs of water flow. Some water is planned for municipal or recreational use, i.e. a lake. Plans include flood control. The files are retained for reference, response to public inquiries, and documentation for legislative inquiries. The series verifies conditions of the land prior to construction, and afterwards. Portions of each file will be found in the County Conservation District Office.
	Access Restrictions	None
	Contents	Series contains: Maps; environmental study or impact statements; photographs (before construction, during and after); bound report describing details of project--cost estimate, cost benefit analysis; statement of need; correspondence; inspector's report; report of acceptance; soil surveys; meteorological data; press clippings
	Retention and Disposition	Retain in Agency five (5) years; transfer to the State Archives Center for permanent retention.
03457	**District Loan File - (Accounting of funds used to aid local projects in acquiring equipment) (V)**	This series documents loans extended to and amortized by the County Conservation District Office for the purchase of heavy equipment for use on conservation projects. It also documents work to be done by the equipment purchased. The file provides a record of performance by debtors on loans, aids in preparing quarterly reports for field personnel monitoring loans, and documents the credit history and performance of contractors to whom the district sub-leases equipment. The loans can be extended by the Equipment Revolving Fund administered by the Kentucky Soil and Water Commission for the purpose of making specialized equipment used in soil conservation work available to the County Conservation Districts. The Commission gets the Monthly Fund Balance Sheet (M0029) for review. The normal loan period is 36 months.
	Access Restrictions	None
	Contents	Series contains: Loan application; financial statement detailing assets and liabilities of the contractor; a record of the commission vote of approval on the loan; signed loan and sublease contracts; record of filing with the county court clerk of such contracts, purchase orders, statements of title; copies of insurance policies on equipment; monthly summary statements of loan status; correspondence; a transfer of title and statement of satisfactory completion of loan; summary of closed loan (to be retained permanently)
	Retention and Disposition	Retain in Agency the Summary of Closed Loans permanently. Destroy remainder of file five (5) years after closure of loan, and audit
03458	**District Treasurer's Report**	This series documents revenue, expenditures, payroll and officer's per diem in county conservation districts. The district offices are independent units of government, not an adjunct of the state office. Executives of those offices are elected. They receive some federal, state, and local money, as well as Tennessee Valley Authority funds. Some districts have taxing powers of their own and can secure funds in that manner. The state office retains a copy of each report until audit requirements are met. The Soil and Water Conservation Commission uses this copy, as needed. Audits are conducted at the district level.
	Access Restrictions	None
	Contents	Series contains: Monthly single page reports of receipts and expenditures of the County Conservation District Offices
	Retention and Disposition	Retain in Agency three (3) years. Destroy after audit

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Conservation

Record Group Number
1900C

Series	Records Title and Description	Function and Use
03459	**Conservation District File**	This series documents the activities that have taken place in the creating of conservation district offices as a unit of government, and acknowledges those who have helped to create and maintain these offices. Very little material is now created. The series contains the original petitions of citizens requesting the creation of the conservation district as a unit of government in their county. (There is an office in every county.) It includes petitions for all candidates for the elected offices in these districts, certification of the results of the elections, certification of the administration of the oaths of office to commission officers, copies of legal advertisements in county newspapers of record announcing such elections, and letters of notification of interim appointments to fill emergency vacancies. There is very little reference to this material, except occasional inquiries on various activities of the local district offices.
	Access Restrictions	None
	Contents	Series contains: Petitions (of requests for creation of conservation office and for candidates for these offices); certification of elections and oaths of officers; copies of newspaper advertisements announcing elections; letters and correspondence
	Retention and Disposition	Retain in Agency two (2) years; transfer to the State Archives Center permanent retention.

RECORDS RETENTION SCHEDULE

Signature Page

Department for Natural Resources
Agency

June 9, 2016
Schedule Date

Division of Forestry
Unit

Change Date

June 9, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head Assistant Director — 3-31-16 Date of Approval

Agency Records Officer — 3.31.16 Date of Approval

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — 6/9/16 Date of Approval

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

Pam Compton
Records Analyst/Regional Administrator — 03-30-2016 Date of Approval

Appraisal Archivist — 6/9/2016 Date of Approval

State/Local Records Branch Manager — 6/9/2016 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts — 6/9/16 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry

Record Group Number
1900

Series	Records Title and Description	Function and Use
06698	**Pesticide/Herbicide License File (Y)**	This series documents the duplicate copy of the Pesticide/Herbicide License File issued by Department of Agriculture to Division of Forestry employees to apply pesticides and/or herbicides to the Commonwealth of Kentucky's forests pursuant to the requirements of KRS 149.610 through 149.680. The Department of Agriculture, Pesticides Division, is the authority to issue the licenses, series 03936, Operator Application File, and the retention is retain in Agency and destroy two (2) years after date of last renewal.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Number; Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of employee; Social Security Number; categories currently held; type of application, certification; Fees; examination information; and correspondence
	Retention and Disposition	Retain in Agency until two (2) years from date of last renewal, then destroy.
06699	**Mobilization Events**	This series documents the information regarding specific mobilization of resources and units for emergency response in the event of wildfires or other catastrophic events.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: County and specific location of the catastrophic event; Regional office and phone number; date and time event reported and mobilization of resources; names of employees responding, total costs involved; number of acreage affected; estimated cost of damage incurred; final report of action taken
	Retention and Disposition	Retain in Agency twenty (20) years, then destroy.
06701	**Division of Forestry Logos and Certificates**	This series documents the Division of Forestry's registered logos, including logos for Kentucky's 20/20 Vision for Reforestation pursuant to the requirements of KRS 365.571 and KRS 365.581. The general logo is issued by the Secretary of State, first issued in 1997, and Kentucky's Vision for Reforestation logo was issued in 2014. As of 2016, there are two (2) certificates. The logos are placed on materials produced by Division of Forestry and logo decals are placed on Division of Forestry vehicles. The series also includes the Kentucky Fire Association membership certificates establishing Division of Forestry as a fire department and are issued annually.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Logo as approved and issued by Secretary of State; date of issuance; Secretary of State signature; Kentucky Fire Association certificate
	Retention and Disposition	Retain in Agency permanently.
06702	**Agency Safety Manual (V)**	This series documents the agency safety procedures manual in the event of a disaster or injury to employee or visitor to ensure the safety of employees and visitors. Safety procedures are established and administered through the Personnel Cabinet per 101 KAR 1:150 and complies with the occupational health and safety requirements pursuant to KRS Chapter 338 and 803 KAR Chapter 2.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Diagram of building(s) and parking lot at location; date issued and date if updated; evacuation routes; location(s) of fire extinguishers, first aid kits and ADF; floor wardens and numbers; names and phone numbers of employees that are First Aid and CPR certified.
	Retention and Disposition	Retain in Agency until two (2) years after date superseded, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry

Record Group Number
1900

Series	Records Title and Description	Function and Use
06725	**Serious Injury or Fatality Investigation**	This series documents investigations of serious injuries or fatality accidents that occur during a forest fire or forest maintenance.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers and medical information; agency has responsibility to consult with Agency's legal department regarding restricted information.
	Contents	Series may contain: Date of accident; nature of accident (injuries or fatality); location; investigative reports; legal documentation; correspondence; final findings
	Retention and Disposition	Retain in Agency permanently.
06726	**Fire Reports**	This series documents reports of forest fires in the Commonwealth of Kentucky reported to Division of Forestry.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and phone number of person reporting forest fire; location and address of fire; dispatch logs; name of person receiving report; date and time of report of fire; and Remote Automated Weather System data (RAWS).
	Retention and Disposition	Retain in Agency twenty (20) years from date of fire, then destroy.
06727	**Uniform Citations**	This series documents any uniform citations or warning notices issued by Division of Forestry to individuals in violation of criminal activity regarding KRS Chapter 149 and regulations promulgated thereto. A copy of the uniform citation is forwarded to Kentucky State Police to input in KY-OPS and retained for eighty (80) years from date of resolution and a copy is also forwarded to the appropriate court for action and resolution.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of person receiving uniform citation or warning notice; location of violation(s); name of Division of Forestry issuing uniform citation or warning notice; date and nature of violation(s); court dates; name of officer issuing citation; final resolution.
	Retention and Disposition	Retain in Agency two (2) years from date of final resolution, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Field Operations

Record Group Number
1900

Series	Records Title and Description	Function and Use
06700	**Timberland Assessment (V)**	This series documents timberland tax assessments in counties receiving state forest fire protection pursuant to the statutory amount required per acre. Each county that receives funding shall pay to the Cabinet a sum equivalent to the amount per acre of privately owned timberlands according to the most current United State Forest Service Survey of Kentucky and is due and payable on September 15 following the assessment, pursuant to KRS 149.540 (1).
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of county; Name and addresses of County Judge Executive and County Treasurer; tax assessment amount; notification letters; records of assessments collected; and delinquency notices.
	Retention and Disposition	Retain in Agency eight (8) years, then destroy.
06709	**Removal of Bad Actor Designation Files (V)**	This series documents the removal of bad actor designation of a logger or operator that has complied with all terms of a Secretary's Order, or Agreed Orders, or completed the corrections actions as required by Division of Forestry and paid all monetary penalties, and has submitted a written to the Division of Forestry to have the bad actor designation removed pursuant to 402 KAR 3:040. A bad actor is someone who failed or refused to cease logging activity or comply the best management practices defined in KRS 149.330(1) or implement corrective measures as directed by Division of Forestry. A bad actor is a logger or operator who has failed to comply with KRS 149.342, KRS 149.343, and KRS 342.344 and has been designated as such by the Secretary of the Energy and Environment Cabinet by a Secretary's Order.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and address of logger and/or operator having Bad Actor designation; documentation that all terms of the Secretary's Order or Agreed Orders or Correction actions have been completed; Two year review period inspections to ensure compliance; written request to have the Bad Actor Designation removed; Documentation showing the Bad Actor Designation has been removed by Division of Forestry.
	Retention and Disposition	Retain in Agency five (5) years from date of final resolution regarding loggers and/or operators who have successfully had the bad actor designation removed, then destroy. Retain in Agency permanently the records of a logger or operator who has a permanent bad actor designation pursuant to 402 KAR 3:040 Section 5 (2) and/or 402 KAR 3:040 Section 6.
06710	**Timber Harvest Compliance Case Working Files**	This series documents the enforcement process of an entity after receiving a Notice of Violation issued by Division of Forestry and the entity fails to comply with and implement the best management practices or remedial measures as required by KRS Chapter 149.344 The matter may then be referred to Office of Legal Services to proceed with a hearing at the Office of Administrative Hearings for further action for violation of KRS 149.342 and KRS 149.344. Following the hearing process, a "bad actor" designation may be issued by a Secretary's Order pursuant to the provisions in KRS 149.344 (8) and 402 KAR 3:050.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and address of logger and/or operator; copies of: inspection reports and enforcement documentation, including Notices of Violations, Scheduling Orders for compliance, Secretary's Final Order, and correspondence
	Retention and Disposition	Retain in Agency two (2) years after final resolution date, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Field Operations

Record Group Number
1900

Series	Records Title and Description	Function and Use
06711	**Kentucky Temporary Master Logger Site Notification Logs**	This series documents the agency's receipt of notification from a temporary master logger stating a commercial timber harvest is ready to commence pursuant to KRS 149.342 (4), KRS 149.342 (5) and 402 KAR 3:020 (9). A temporary master logger is an individual who has registered to attend a Kentucky's master logger training program at the University of Kentucky or an approved equivalent reciprocal training program, scheduled to be held within four (4) months after the date of registration for the training program. The Kentucky temporary master logger designation shall expire four (4) months from the date of issuance, is not renewed and cannot receive more than one (1) Kentucky master logger designation in his lifetime.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and address of applicant; documentation that applicant has applied to attend an approved master logger training program; photo identification; and correspondence.
	Retention and Disposition	Retain in Agency two (2) years after expiration of the temporary master logger designation, then destroy.
06712	**Timber Harvest Inspections**	This series documents inspections of timber harvesting operations by a logger or operation engaged in the business of harvesting timber to ensure that best management practices are being implemented pursuant to KRS 149.344 and a Kentucky Master Logger is supervising the logging site pursuant to KRS 149.342.
	Access Restrictions	KRS 61.878 (I)(j) re preliminary drafts, notes, preliminary recommendations and memoranda in which opinions are expressed; agency has responsibility to consult Agency's Legal Department regarding restricted information.
	Contents	Series may contain: Location of site; name of logger or operator; date of inspection and inspection report; landowner information; information conference records and correspondence; if applicable: written warnings, notices of violation, special orders, emergency orders.
	Retention and Disposition	Retain in Agency five (5) years from date of final inspection, then destroy.
06713	**Master Logger List**	This series documents a list of all loggers who successfully completed the Master Logger Program and required continuing education as required by KRS 149.342 (6).
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Logger designation number; name and phone number of master logger; name of county
	Retention and Disposition	Retain permanently in Agency and update as needed.
06728	**Timber Harvest Complaint Files**	This series documents complaints received by regional office personnel regarding timber harvesting. In the course of the investigation, if it is determined that violations of KRS Chapter 149 have occurred, the file is then transferred to the Series 06710, Timber Harvest Compliance Case Working File, for additional action, and retained in agency two (2) years after final resolution
	Access Restrictions	KRS 61.878 (1)(h)(i)(j) re investigation phase of complaint; agency has responsibility to consult with agency's Legal Department regarding restricted information.
	Contents	Series may contain: Name, address and phone number of complainant; nature of complaint; regional office and personnel assigned to investigate the complaint; correspondence; and findings.
	Retention and Disposition	Retain in Agency one (1) year from date of conclusion, then destroy; or, if it is determined that violations of KRS Chapter 149 have occurred, the file is then transferred to Series 06710, Timber Harvest Compliance Case Working File, for additional action, and retained in agency two (2) years after final resolution, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Field Operations

Record Group Number
1900

Series	Records Title and Description	Function and Use
06729	**Timber Harvesting Complaint Log**	This series documents the listing of complaints received by Division of Forestry regarding timber harvesting.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and phone number of complainant; nature of complaint, including individuals named in complaint; location of timber harvest; date and time received; name of regional office and personnel assigned to investigate; final resolution and date
	Retention and Disposition	Retain in Agency complaints with no associated logging site code one (1) year from date of resolution, then destroy; and retain in agency complaints with an associated logging site code two (2) years from date of resolutions, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Reforestation and State Forest Branch

Record Group Number
1900

Series	Records Title and Description	Function and Use
06703	**Forest Management Plans (V)**	This series documents an internal comprehensive forest management plan for the protection, management, and replacement of trees, woodlands and timber tracts for each state forest to assist the forest managers and Division of Forestry in making sound forest management decisions. The plans are reviewed and updated every ten (10) years.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of forest and county of location; address or location of forest; management plan; date of plan; and preparer's name.
	Retention and Disposition	Retain current plan in Agency and destroy all other plans once they have been revised, updated or replaced.
06704	**General State Forest Program Files (V)**	This series documents the general program files for state forests, including records of harvest, trail maintenance, inspections of plant specimens. This documentation is also valuable in developing State Forest Management Plans (series 06703).
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and location of forest; information regarding harvest of trees and plants; trail maintenance needed; inspections of plant specimens, including trees; date of records and name of employee that prepared report.
	Retention and Disposition	Retain current file in Agency. Retain previous program file until eight (8) years after plan has been revised, updated, or replaced, then destroy.
06705	**Easements Files (V)**	This series documents easements provided by property owners permitting Division of Forestry authorized personnel, and in some instances the public, access to state forest property.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name, address of property owner; county, location of property regarding easement; date signed; easement specifications; county or recording, and date recorded
	Retention and Disposition	Retain in Agency six (6) months from date easement terms expire, then destroy.
06706	**Nursery Soil Analysis**	This series documents the soil testing and analysis conducted by Division of Forestry personnel for each state owned tree nursery to ensure healthy specimens of trees. Soil analyses are conducted annually.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name, address, county of tree nursery; owners name; phone numbers; date soil sample taken and by whom; and soil analysis and recommendations.
	Retention and Disposition	Retain in Agency two (2) years from date of analysis, then destroy.
06707	**Seed Orchard Files**	This series documents information of trees on private property that Kentucky Division of Forestry collects seed to be planted at the state owned nurseries. It also documents orchards established on state forests, nursery and other public lands that are used as a seed source at state owned nurseries.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name, address, owners, and location of orchard; type of trees and seed source; soil and nursery conditions
	Retention and Disposition	Retain in Agency one (1) year from date that the seed orchard or tree is no longer viable, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Reforestation and State Forest Branch

Record Group Number
1900

Series	Records Title and Description	Function and Use
06708	**Bed Maps**	This series documents the maps for seed planting, plant rotation schedule plans and bed areas for scientific research to ensure healthy tree specimens.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and address of state-owned nursery; drawings/blueprints of bedding maps; names and locations of tree seedlings; plans for seedling rotations
	Retention and Disposition	Retain in Agency six (6) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Stewardship

Record Group Number
1900

Series	Records Title and Description	Function and Use
06714	**Hemlock Program Files (V)**	This series documents the hemlock program files to preserve Kentucky's hemlocks as the Hemlock Woolly Adelgid (HWA) has been discovered in several eastern and southeastern counties of the Commonwealth of Kentucky. The life expectancy of a hemlock after being infested with the HWA is four (4) to ten (10) years.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of county; contact information; ArcMap projects; county infestation reports, grant information; photos; Memorandums of Agreement to treat HWA; pesticide information and application records; data regarding treatment and progress; chemical labels and Material Safety Data Sheets (MSDS); inspector field notes, observations and dates; and correspondence
	Retention and Disposition	Retain in Agency ten (10) years after dissolution of program, then destroy.
06715	**Forest Health Monitoring Files (V)**	This series documents the information, including surveys, to monitor for various insect diseases and threats to the forests in the Commonwealth of Kentucky.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: County and location of forest; surveys of insect diseases and threats or any type of infestation of forest; date of survey, name of Division of Forestry conducting survey; findings of survey.
	Retention and Disposition	Retain in Agency five (5) years, then destroy.
06716	**American Tree Farm System Program File**	This series documents copies of forest inspection reports by Division of Forestry personnel as per agreements between American Tree Farm System and participating private owners of woodlands. The American Tree Farm System assists forest owners in being effective stewards of Kentucky's forests. The American Tree Farm System conducts reviews every five (5) years in order to incorporate public input and promote new developments in forest management as privately owned woodlands are vital to Kentucky's clean water and air, wildlife habitat, recreational activities, and producing jobs, wood, and paper products.
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information; agency has responsibility to contact agency's Legal Department regarding protected information.
	Contents	Series may contain: Copies of participation agreements between American Tree Farm System and owners of woodlands; names and addresses of parties; date entered into Agreement; copies of inspections of the forests indicating findings, date of inspection and name of Division of Forestry personnel conducting the inspection.
	Retention and Disposition	Retain in Agency ten (10) years from last date of inspection for owners of forests whose participation in the American Tree Farm System is ongoing, or five (5) years from date the program is inactive or private owners no longer participate in the American Tree Farm System, then destroy.
06717	**Conservation District of the Year File**	This series documents nominations and winners for the Outstanding Conservation District of the Year award.
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information; agency has responsibility to contact agency's Legal Department regarding protected information.
	Contents	Series may contain: Nomination forms; records of winners; date
	Retention and Disposition	Retain in Agency three (3) years from date of award, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Stewardship

Record Group Number
1900

Series	Records Title and Description	Function and Use
06718	**Kentucky Forest Steward Award File**	This series documents nominations and awards for Outstanding Kentucky Forest Steward of the Year. Each Forestry regional office submits an Outstanding Forest Steward Nomination form to be considered by the judging panel, consisting of two (2) Kentucky Department of Forestry representatives, and representatives from the Kentucky Department of Fish and Wildlife Resources and the Natural Conservation Services. The overall state winner is presented at the Kentucky Association of Conservation District Convention.
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information; agency has responsibility to contact agency's Legal Department regarding protected information.
	Contents	Series may contain: Nomination forms; property owner and address; location of forest; presentation date of award
	Retention and Disposition	Retain in Agency three (3) years from date of award, then destroy.
06719	**Forest Landowner Case Records**	This series documents information regarding privately owned forests, including but not limited to: forest management plans, management and best practice plans, stewardship plans, and miscellaneous request for information, and any organizations the owners participate to maintain forests.
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information; agency has responsibility to contact agency's Legal Department regarding protected information.
	Contents	Series may contain: Owner names, addresses, locations of forests; county; stewardship and management plans; practice plans; maps
	Retention and Disposition	Retain in Agency twenty (20) years after last update, then destroy.
06720	**Champion Tree Program File**	This series documents information on champion trees that have been identified in the Commonwealth of Kentucky, whether located on public property or privately owned property. Champion trees are restricted to the native species in Kentucky and there are more than one hundred (100) species that have been identified.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: County and address of location of the champion tree; species; ages; size; owner name and address if privately owned.
	Retention and Disposition	Retain in Agency one (1) year from date tree is no longer champion, then destroy.
06722	**Urban and Community Forestry Program Files**	This series documents duplicate records of recognition of organizations in Kentucky that received Arbor Day Foundation designations. The three (3) programs represented include: Tree City USA, Tree Campus USA, and Tree Line USA.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of city, and county; Date and reason for the Arbor Foundation recognition; applications by organizations for Tree City USA - Board name and members, Community Tree Ordinance, Annual Work Plan and forestry expenditures, Arbor Day Observation and Proclamation, and signature of mayor; Tree Campus USA - Campus name, Campus Tree Advisory Committee members, Campus Tree Plan, Dedicated expenses, Arbor Day Observance, Service learning program, Tree Care Program expenditures; and Tree Line USA - Quality Tree Care Annual Worker Training, Community Tree Planting and public education, Conservation program, Arbor day Observation; signature of responsible party for organization and certification of state forester.
	Retention and Disposition	Retain in Agency one (1) year from date of recognition, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Forestry
Stewardship

Record Group Number
1900

Series	Records Title and Description	Function and Use
06724	**Arbor Day Proclamations**	This series documents Proclamations signed by Governors designating Arbor Day in Kentucky.
	Access Restrictions	Agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Proclamation of Arbor Day; Governor's name and signature; date of signature
	Retention and Disposition	Retain in Agency permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Division of Mine Permits
Unit

Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 11/12/15

Agency Records Officer — Date of Approval: 11-12-15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — Date of Approval: 3/10/16

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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 — Date of Approval: Nov. 12, 2015

Appraisal Archivist — Date of Approval: 3/10/2016

State/Local Records Branch Manager — Date of Approval: 3/10/16

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The determination as set forth meets with my approval.

Auditor of Public Accounts — for Mike Harmon — Date of Approval: 3/10/16

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Permits

Record Group Number
1908P

Series	Records Title and Description	Function and Use
04042	**Small Operator Assistance Program Project File (V)**	CLOSED SERIES: This series documents the determination of eligibility of an applicant for aid in acquiring a Surface Mining permit. It documents the activities and costs associated with obtaining data for a mining permit, as well as the maintenance of the project. Pursuant to PL 95-87, the Commonwealth of Kentucky, through the Natural Resources and Environmental Protection Cabinet, Department for Surface Mining Reclamation and Enforcement, has established a Small Operator Assistance Program (SOAP). This program operates through a grant from the Office of Surface Mining, U.S. Department of the Interior. SOAP can help small coal operators to obtain a mine permit by: 1) providing a site specific monitoring proposal for the collection and analyses of required geologic and hydrologic background data; 2) contracting qualified consultants to collect and analyze the hydrologic data for a proposed mine site, and interpret that data to determine the probable hydrologic consequences (PHC) of planned mining activities; 3) contracting qualified well drillers to construct and develop ground water monitoring wells when required; 4) contracting qualified consultants to collect and analyze the geologic data for the proposed mine site and interpret that data in a Statement of Results. The PHC and Statement of Results are required in order to obtain a mining permit. This Series was last created in May 2012 and retention will be met in June 2022.
	Access Restrictions	None
	Contents	Series contains: Contract applications and eligibility review of records; estimate of cost data and award of project notification; invoices; correspondence and status reports; technical data (lab analyses data-geological and hydrological)
	Retention and Disposition	Retain in Agency one (1) year after closure of the project, transfer to State Records Center for nine (9) years. Destroy after audit. Total retention is ten (10) years or after audit, whichever is longer.
04332	**Surface Mining Permittee Ownership File (V)**	This series documents the ownership by permittees of surface coal mining and reclamation operations in the Commonwealth per KRS 350.060 (3)(g). The regulations require that all owners, officers, directors, and shareholders owning ten percent or more of a company's stock be identified. The permittee is to submit updated information to the Department in the event any changes occur.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Permittee information for a mining permit; operator information for a mining permit; update of permittee or operator information; change of corporate owners, officers, or directors; application to transfer a mining permit; revision application to change operator; and correspondence
	Retention and Disposition	Retain in Agency ten (10) years after closure of ownership file and transfer to the State Archives Center for permanent retention.
04333	**Permit File (V)**	This series documents the applications and the issuance of permits for surface coal mining and reclamation operations pursuant to KRS 350.060. A permit authorizes mining activities for a specific area of land described in the application for a period not to exceed five (5) years. However, if the applicant demonstrates a specified longer term is reasonably needed, the Cabinet may grant a permit for a longer term.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Application, including names, addresses, Social Security Numbers; reclamation plan and method of operation; receipt for bonds; permit; planning report; geological, hydrological and/or environment information; inspector's release form; annual report; notice of non-compliance, if applicable; topographical maps; amendments/revisions to permit; legal documents supporting the mining operation; names/addresses of officers, directors, partners with stock in coal operation; proof of liability insurance; and correspondence
	Retention and Disposition	Retain in Agency until ten (10) years after release of bond, then transfer to the State Archives Center for permanent retention.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Division of Mine Reclamation and Enforcement
Unit

Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 11/12/15

Agency Records Officer — Date of Approval: 11/12/15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — Date of Approval: 3/10/16

****

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

Pam Compton
Records Analyst/Regional Administrator — Date of Approval: Nov. 12, 2015

Appraisal Archivist — Date of Approval: 3/10/2016

State/Local Records Branch Manager — Date of Approval: 3/10/16

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3/10/16

for Mike Harmon

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement

Record Group Number
1908

Series	Records Title and Description	Function and Use
03336	**Aerial Overflight Recordings (V)**	This series represents a visual digital recording of permitted mining and reclamation sites, showing the condition of mine sites at the time of the recording, the disturbance of the land, and/or reclamation activities. The recordings began as a result of legal action by the National Wildlife Federation alleging a "systematic breakdown" in Kentucky's enforcement of the 1977 federal strip mine law. The settlement agreement ended in 1990. However, the Division of Mine Reclamation and Enforcement continued with the digital recordings as the recordings provided visuals of mine sites and surrounding property indicating violations missed during regular ground inspections or improvements during reclamation work. The recordings also provide information for future reference in assessing preventive measures for future violations.
	Access Restrictions	None
	Contents	Series may contain: aerial overflight recordings of mine sites; date of recording; name of company and location of mine site; permit number; videographer name; date and time of recording; field inspector; District Office; and weather conditions.
	Retention and Disposition	Retain in Agency ten (10) years; transfer to the State Archives Center for permanent retention.
03337	**Aerial Overflight Permit Site Conditions File (V)**	This series represents on-screen or recorded conditions of each mine site related to enforcement files. The field office inspectors provide this information to the central office in Frankfort to be reviewed in conjunction with the recordings (Aerial Overflight Recordings, series 03336) simultaneously. This series provides a description of conditions of a mine site and surrounding property while the recordings provide visual evidence.
	Access Restrictions	None
	Contents	Series may contain: Aerial Overflight Video Review Form, (company name, permit number, mine type, mine status, parent violation, review recommendation, recording reviewer); Aerial Overflight Follow-up Inspection Form (company, permit number; date, follow-up inspection results, summary of field observations, action taken, reviewed by); Mine Inspection Report -Permanent Program (company, permit, acres permitted/bonded, status, non-compliance, checklist of standards, description of changes since last inspection, signature of inspector(s), administrator).
	Retention and Disposition	Retain in Agency ten (10) years; transfer to the State Archives Center for permanent retention
03338	**Aerial Overflight Documentation File (V)**	This series documents the flights taken to describe and record conditions at mine and reclamation sites. It includes a flight record, the name of the regional office and exact location of mine sites within a region, the work order to conduct the digital recordings for series 03336 (Aerial Overflight Recordings) and comments relating to the flight.
	Access Restrictions	None
	Contents	Series may contain: Date of flight and flight number; name of inspector; name of region; digital recording identification number; videographer; total time of flight; helicopter number and pilot name; camera number; name of coal company; permit number; latitude and longitude; time-on; slate; mine status; comments; reviewed by (initials); date of review; review results; re-inspection (if applicable); re-inspection date; and re-inspection findings
	Retention and Disposition	Retain in Agency for ten (10) years; transfer to the State Archives Center for permanent retention

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement

Record Group Number
1908R

Series	Records Title and Description	Function and Use
04199	**Enforcement File (V)**	This series documents the inspection and enforcement activities of the Department regarding mine reclamation. Per the requirements of KRS 350.465 (2), the Energy and Environment Cabinet is authorized to implement a permanent regulatory program for implementation of the Surface Mining Control and Reclamation Act of 1977, PL 95-87. The Mine Reclamation and Enforcement Branch monitors the terms of the approved permit as approved by the Division of Permits and/or any amendments to that permit. In the event violation(s) of the mining laws are observed at the time of inspection, a Notice of Non-Compliance and Order for Remedial Measures are issued. Follow-up inspections are conducted and if the remedial measures are not implemented by the deadline specified in the Order for Remedial Measures, an Order for Cessation and Immediate Compliance is issued. Ultimately, violators may be brought before a Hearing Officer to ensure the enforcement of mining and reclamation regulations by Agreed Order or Secretary's Order. The violator's permit may be revoked or suspended and the performance bond may be forfeited to the Cabinet.
	Access Restrictions	None
	Contents	Series may contains: Citizen's complaint; inspection reports; Notice of Non-Compliance and Order for Remedial Measures; Order for Cessation and Immediate Compliance; copy of issue sheet of permit conditions, owners/operators of mining company, terms, dates, bond information; correspondence; photographs; inspector's violation statement (for abatement); and proposed penalty assessment; copy of Agreed Order or Secretary's Order;
	Retention and Disposition	Retain in Agency five (5) years after completion of reclamation or bond forfeiture, or in the event of legal proceedings, retain in Agency six (6) months after all appeals have exhausted, whichever is longest; then destroy.
04200	**Notice of Coal Exploration File**	This series documents applications by companies requesting approval for coal exploration operations of not more than twenty-five (25) tons to determine thickness or quality of coal pursuant to KRS 350.057 and KRS 350.990. The notice provides information to a company as to whether to apply for an amendment to a current permit or submit an application for a new permit regarding further mining activities in that area.
	Access Restrictions	KRS 350.057 (2) re confidential trade secrets or privileged commercial or financial information in the possession of the Cabinet; agency has responsibility to consult with agency's Legal Department re confidential information.
	Contents	Series may contain: Exploration number; county, county identification number; company name, address, representative(s) responsible for exploration activities; location of proposed operation; name/address of surface owners of mine site; name of mineral owner of site; purpose for exploration; method for exploration; removal of coal - yes/no; coal to be tested/sold; blasting, if applicable; time period for exploration and reclamation to begin/end and correspondence.
	Retention and Disposition	Retain in Agency five (5) years after completion of reclamation or bond forfeiture, or in the event of legal proceedings, retain in Agency six (6) months after all appeals have exhausted, whichever is longer, then destroy.
04202	**Bond Files (V)**	This series documents the bonds filed with the agency at the time a permit is processed per the requirements of KRS 350.060 (11). The files include: 1. Bond releases once successful reclamation is completed and/or 2. Bond forfeitures in the event the permittee fails to complete the reclamation of a mine site and the operator receives a Notice of Non-Compliance for Failure to Comply with the terms of the reclamation stated in the permit file. A hearing is then conducted and, after the issuance of the Secretary's Order, the Department becomes the "owner" of the balance of the bond and transferred to the Division of Abandoned Mine Lands for completion of reclamation.
	Access Restrictions	None
	Contents	Series may contain: Copy of bond; correspondence; (green) cards notifying land owners of work; substitutions; application for bond release; calculation page (determining amount of bond return); newspaper advertisements notifying the public of bond release; maps of affected area; field inspection documentation; bond forfeiture documentation, including a copy of the Secretary's Order; bond release forms; video tapes; complaints; request for hearing, if applicable; and correspondence.
	Retention and Disposition	Retain in Agency five (5) years after date of bond release or transferred to Division of Abandoned Mine Lands, or in the event of legal proceedings, retain in agency six (6) months after all appeals have exhausted, whichever is longer; then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement

Record Group Number
1908 R

Series	Records Title and Description	Function and Use
04204	**Bond Log**	This series represents an electronic list from the Surface Mining Information System (SMIS) of coal companies whose bonds have been forfeited and collected. The information is used to generate annual fiscal year reports to the federal Office of Surface Mining.
	Access Restrictions	None
	Contents	Series may contain: Bonds forfeited; mine sites and acreage; dollar amounts; type of bond(s); county; date; and principal office of coal operation
	Retention and Disposition	Retain in Agency permanently.
04205	**Surface Mining Investigative File (V)**	CLOSED SERIES: This series documents investigative activities of (suspected) illegal mining operations. Under the terms of KRS 350.052, the special investigations officers were empowered to arrest, without a warrant, any person detected to be violating the provisions of KRS Chapter 350. Violations of the chapter constitute criminal offenses. The investigators can seize and take possession of any property and equipment willfully and knowingly used in the mining of coal without a permit or used for the removal of more than 25 tons of coal for commercial purposes during coal exploration. If convicted, the court can order machinery, trucks, and other equipment forfeited sold at public auction. When an arrest was made and sufficient evidence gathered to prosecute violators, the evidence was presented to the appropriate Commonwealth's Attorney for a grand jury hearing. If an indictment was not returned, the file was closed. If an indictment was returned, the information was transferred to the Surface Mining Criminal Case file (04206). This series is cross-referenced with records in the Revenue Cabinet and the Department of State Police. NOTE: This series also was stored on a PC application for the purpose of tracking case files. As the Special Investigation unit no longer exists, activities are handled through the Enforcement unit. This Series was approved by State Archives and Records Commission as a closed series in 1996 as the agency no longer created the record.
	Access Restrictions	KRS 61.878 (1) (h) (i)
	Contents	Series contains: Name of persons involved, equipment, location, machinery, pictures, audio/video tapes; offence report; narrative supplement; updates or closure; and correspondence
	Retention and Disposition	Retain in Agency for ten (10) years after closure of case; transfer to the State Records Center for fifteen (15) years; total retention is twenty five (25) years. NOTE: If a grand jury indictment is returned, transfer to Surface Mining Criminal Case File (04206)
04206	**Surface Mining Criminal Case File (V)**	CLOSED SERIES: This series documents all information and evidence relative to an illegal mining operation, and was created when the grand jury returned an indictment as a result of an investigation (Surface Mining Investigative File - 04205). It was an extension of the investigative file and served as a working file for the enforcement officers, through the adjudication process. The State Police provided the Department with other documentation, as required or requested. The Commonwealth's Attorney's Office in the jurisdiction where the case was prosecuted served as the state's legal representative. The Special Investigations Unit no longer exists. The Cabinet's Department of Law is responsible for handling all such cases. NOTE: Information from the series also was stored on an in-house PC application for the purpose of tracking case files. This Series was approved by State Archives and Records Commission as a closed series in 1996 as the agency no longer created the record.
	Access Restrictions	KRS 61.878 (1) (h) (i)
	Contents	Series contains: Evidence supporting cases such as photographs, equipment, audio-video tapes, etc.; correspondence; and uniform offense report, from Department of State Police
	Retention and Disposition	Retain in Agency ten (10) years after case closure; transfer to State Records Center for fifteen (15) years; total retention is twenty five (25) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement

Record Group Number
1908 R

Series	Records Title and Description	Function and Use
04207	**Non-Coal Permit File (V)**	This series documents all permits for non-coal mining activities in Kentucky. Pursuant to 405 KAR 5:032, applicants applying to conduct non-coal operations pertaining to clay mines (fluorspar, sand and gravel, stone, rock asphalt, pits or quarries) complete the same application process as surface mining per KRS 350 and 405 KAR Chapter 5. The permit is a permanent record per 405 KAR 5:032 (1) (3).
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information, i.e., Social Security Number; agency has responsibility to consult agency's legal department regarding protected information.
	Contents	Series may contain: Application for license, including name, address, date of birth, Social Security Number; inspection reports; bond information/release; reclamation licensing, renewals; amendments to permit; maps; site information; Plans regarding spoil handling, toxic materials handling, backfilling and grading, topsoil handling and restoration; land use, revegetation; newspaper advertisements; and correspondence.
	Retention and Disposition	Retain in Agency five (5) years after release of permit, transfer to the State Archives Center for permanent retention.
04785	**On-Site Construction Permit File**	CLOSED SERIES: This series documents permits issued to mine surface coal incident to a construction project. It provides a historical record of land disturbances. The series also was used in the event the permit holder did not fulfill reclamation requirements, or by the Division of Abandoned Mine Lands, if particular land disturbances could be related to current projects. The Division of Abandoned Mine Lands controls state and federal funds which can be used to repair problem areas, as a result of previous coal removal. It is not unusual for 20 or 30 years to pass before the need to utilize a file such as this one occurs.
	Access Restrictions	KRS 61.878 (1)(a) regarding personal information, i.e. Social Security Number in application; Agency has responsibility to consult agency Legal Department regarding protected information.
	Contents	Series contains: Application/request for permit; map of disturbance; deficiency letters; approval letters; enforcement records; and related correspondence
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Explosives and Blasting

Record Group Number
1840

Series	Records Title and Description	Function and Use
01291	**Licensed Blasters File (V)**	This series documents licensed blasters in the Commonwealth of Kentucky pursuant to KRS Chapter 351. A blaster shall have completed formal training that has been approved by the Department of Natural Resources, worked in blasting operations for the prescribed time as mandated by statutory requirements and passed an examination prescribed by the Department. Blasters may renew licenses every three (3) years after completion of a blaster's training course approved by the Department.
	Access Restrictions	KRS 61.878 (1) (a) re personal information, i.e. Social Security Number; agencies have responsibility to consult with agency's Legal Department regarding protected information.
	Contents	Series may contain: Application and/or renewal application including name, address, Social Security number, birth date, phone number; background check, photograph, copies of documentation of Department of Mining Reclamation and Enforcement approved training; work experience; Affidavit; Examination and test scores; and correspondence, if applicable.
	Retention and Disposition	Retain in Agency the background checks for thirty (30) days after issuance of license, then destroy. Retain in Agency the remainder of file five (5) years after expiration date of license, then destroy.
01292	**Licensed Blasters List**	This series represents the electronic listing of licensed blasters in the Commonwealth of Kentucky and provides the most current status regarding a blaster. The documentation is created from information in Series 01291 (Licensed Blasters File) and is used by Division of Mine Reclamation and Enforcement staff for easy access to recent information submitted by the blaster.
	Access Restrictions	KRS 61.878 (1) (a) re personal information, i.e., Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may include: Name, address, and phone number of licensed blaster; issuance date of license or license renewal; License number
	Retention and Disposition	Update as needed and retain permanently in Agency.
01294	**Night Blasting Permits and Reports (V)**	This series represents night blasting permits and the reports filed by the permittee after the blasting. Night blasting is conducted between sunset and sunrise and is only permitted in the occurrence of an unavoidable hazardous condition which cannot be delayed until the following day because a potential safety hazard could result that cannot be adequately mitigated or if a potential hazard could result from blasting during the day. Companies requesting night blasting must have prior approval from the Commissioner of the Department of Natural Resources. A report is filed with the Cabinet within three business (3) days following the night blasting incident detailing the reasons for night blasting, identification of the time the blast was conducted, a description of the warning notices and a copy of the blast record as required by 405 KAR 16:120 (6).
	Access Restrictions	None
	Contents	Series may include: Name and address of company and representative making request; date and time of blasting; correspondence, including the request and approval; blasting report
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Explosives and Blasting

Record Group Number
1840

Series	Records Title and Description	Function and Use
06069	**Permit Waivers - In Excess of 40,000 Pounds**	This series documents permit waivers issued to companies for an explosive charge that exceeds forty thousand (40,000) pounds pursuant to 805 KAR 4:020 (9). The blasting standards are defined in 805 KAR 4:020. The Department considers each request on its own merits before making a determination as to whether to grant a permit waiver. The Permit Waiver is signed by the Commissioner, is valid for two (2) years and may be revoked by the Department at any time.
	Access Restrictions	None
	Contents	Series may include: Name of requesting company; date, time, place of the blasting site; reason(s) for using more than 40,000 pounds of explosives; correspondence, Waiver signed and dated by Commissioner
	Retention and Disposition	Retain in Agency five (5) years after expiration of permit waiver; then destroy.
06070	**Permit Waivers/Variances - Other than 40,000 Pounds**	This series documents all other permit waivers or variances for explosive charges other than forty thousand (40,000) pounds, Series 06069. Blasting standards are defined in 805 KAR 4:020 and if a determination is made that an explosive charge needs to be altered from the blasting standards as defined by the Kentucky Administrative Regulation, a waiver or variance must first be obtained from the Department of Natural Resources (Department). Variances are required if blasting occurs within an immediate location of any dwelling house, public building, school, church, or commercial or institutional building (805 KAR 4:150). The Department considers each request on its own merits before making a determination as to whether to grant a permit waiver or variance. The Permit Waiver or Variance is signed by the Commissioner.
	Access Restrictions	None
	Contents	Series may include: Name of requesting company; date, time and place of the blasting site; reasons for using an explosive charge other than the standard stated in 805 KAR 4:020.
	Retention and Disposition	Retain in Agency five (5) years after expiration of permit waiver; then destroy.
06071	**Inspection Files (V)**	This series documents the written report of inspections conducted by Department of Natural Resources inspectors pursuant to the provisions of KRS Chapter 351.310 to 351.990 and the regulations promulgated thereto including but not limited to blasting sites, manufacturers and transportation of explosives, dealers and storage of explosive equipment. Inspections are conducted as needed of blasting sites and may be conducted within the specified time frame of notification to Department of Natural Resources of storage of explosives. If violations have occurred, a citation may be issued.
	Access Restrictions	None
	Contents	Series may contain: Inspection date, time, location, type of inspection, and name of Department of Natural Resources (DRN) inspector; name and title of accompanying company personnel; observations of DNR Inspector, inspection reports; citations, if violations noted; blasting plans, blasting record, blaster records, photographs, chain of evidence; correspondence, certified mail cards, if applicable.
	Retention and Disposition	Retain in Agency five (5) years from date of inspection or five (5) years from final resolution of any citation(s) issued, then destroy.
06072	**Litigation Files (V)**	This series documents the attorney working file that results from litigation regarding violations of KRS 351, and including but not limited to, Board of Claims and Personnel Board Hearings.
	Access Restrictions	KRS 61,878 (1) (a) re personal information, i.e., Social Security Numbers; KRS 61.878 (1)(i) re preliminary drafts and opinions; CR 26.02 re attorney work product; agency has responsibility to consult with agency's Legal Department re protected information.
	Contents	Series may include: Copies of: citations; complaint; answer; depositions; interrogatories; blasting permit, inspection reports; transcript of hearing (if applicable); Hearing Officer Order; Final Order; correspondence, appeal documentation, if applicable.
	Retention and Disposition	Retain in Agency ten (10) years after final resolution and all appeals have exhausted, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Explosives and Blasting

Record Group Number
1840

Series	Records Title and Description	Function and Use
06073	**Permit To Purchase, Possess, or Use Explosives File (V)**	This series documents the permit of an individual, corporation, firm or association to purchase or possess explosives materials, including all high explosives, blasting agents and detonators, and two (2) component binary explosive compounds per the provisions of KRS Chapter 351, specifically KRS 351.367, KRS 351.370 and 805 KAR Chapter 4. In the event a single corporation or company has multiple business sites, each site shall obtain its own permit. These permits are valid for one (1) year and are non-transferable.
	Access Restrictions	KRS 61.878 (1) (a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult with agency's Legal Department regarding protected information.
	Contents	Series may contain: Name of permittee, including individual representative of company; blaster(s) name(s); storage location; background checks; permits; type(s) of explosive materials; update information re blaster(s); date of permit; correspondence.
	Retention and Disposition	Retain in Agency five (5) years from date of expiration of permit, then destroy.
06074	**Complaint Files (V)**	This series documents the complaints received by the Department of Natural Resources (DNR) and Explosives and Blasting Branch regarding blasting activities Complaints are usually regarding damage caused by the activity, and/or the storage, possession or use of explosive materials, and are generally made by the public. DNR has a complaint form available in paper or online but most complaints are received by means of written correspondence by an individual. An investigation is then conducted by DNR (Series 06071); citations and a hearing could result from the complaint (Litigation Files - Series 06072).
	Access Restrictions	None
	Contents	Series may include: Complaint; response letter; field notes; blasting records; photographs; maps; damage reports; correspondence
	Retention and Disposition	Retain in Agency five (5) years from final resolution of complaint, then destroy.
06075	**Miscellaneous Reports**	This series documents miscellaneous reports received by Department of Natural Resources (DNR), Explosives and Blasting Branch, from various entities, including but not limited to: local law enforcement agencies regarding stolen, missing or found explosives or materials; blasting plans submitted by Department of Transportation or Fiscal Courts for approval; or reports received by DNR, the public or companies regarding orphan, lost or stolen explosives or materials.
	Access Restrictions	None
	Contents	Series may include: Reports regarding stolen, missing or orphan explosives or materials from law enforcement agencies, companies, or individuals; blasting plans from Transportation Cabinet, County Fiscal Courts or Federal entity; blasting reports submitted by entities after blasting efforts.
	Retention and Disposition	Retain in Agency five (5) years from date of receipt if no further action is necessary or five (5) years from date of final resolution; then destroy.
06076	**Dealer Registration File (V)**	This series documents dealer permit registrations with Department of Natural Resources, Explosives and Blasting Branch. A dealer is defined as a person, corporation or entity engaged in the manufacture, purchase, distribution, or sales of explosive materials and/or blasting agents per KRS 351.365 and 805 KAR 4:085. Permit registrations are submitted to the Department of Natural Resources annually.
	Access Restrictions	KRS 61.878 (1) (a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may include: Name, address, Social Security Number, date of birth, phone number of dealer; storage location; storage specifications; type of explosives selling
	Retention and Disposition	Retain in agency five (5) years after expiration of dealer registration permit; then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Reclamation and Enforcement
Explosives and Blasting

Record Group Number
1840

Series	Records Title and Description	Function and Use
06077	**Educational Instructor/Course File**	This series documents the Educational Instructor's course regarding explosives, blasting agents, safety precautions, and other course related material as approved by the Department of Natural Resources. The file also documents the qualifications of an instructor.
	Access Restrictions	None
	Contents	Series may include: Class and summary of the class material; instructor; location; date and times class offered; correspondence; instructor's qualifications.
	Retention and Disposition	Retain in Agency three (3) years after termination of employment of an instructor or discontinuation of the course material; then destroy.
06078	**Seismograph Measurement Summary Reports (V)**	This series represents the seismograph measurement reports if a blaster decides that the table of maximum per pound per delay established in 805 KAR 4:020 is too conservative to increase the charge per delay period. Provided the velocity of two (2) inches per second limit is not violated, the blaster may petition the Department of Natural Resources for a modified table. If special conditions occur which indicate that abnormal or potentially damaging ground vibrations may result from blasting, the Department may require a seismograph recording of any or all blasts.
	Access Restrictions	None
	Contents	Series may contain: Location of blasting site; blaster name and permit number; date and time blasting is to occur; special conditions requiring an increased table; seismograph readings; petition; correspondence; approved modified table for that particular location, including date and signature of Commissioner.
	Retention and Disposition	Retain in Agency five (5) years from date of blasting occurrence; then destroy.
06079	**Notification of Accident - Investigation (V)**	This series documents investigations that occur when a serious injury or loss of life takes place during a blasting operation. The blaster shall immediately notify the Department of Natural Resources stating the details of the accident. The Commissioner may compel attendance of witnesses and administer oaths to aid the investigation.
	Access Restrictions	KRS 61.878 (1) (a) re personal information, i.e., Social Security Numbers; KRS 61.878 (1) (h) (i) (j) during the open investigation; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may include: Date, time, location, of accident; blaster and permit number; nature of accident; details re injuries or loss of life; witnesses; outline of emergency procedures followed; inspector; investigation summary; person(s) injured or death birth date, Social Security number; next of kin names, addresses, phone numbers.
	Retention and Disposition	Retain in Agency permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Division of Mine Safety
Unit

Change Date

March 10, 2016
Date Approved By Commission

****

APPROVALS

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

Agency Head — Date of Approval: 11/2/15

Agency Records Officer — Date of Approval: 11/2/15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval

Chairman, State Archives and Records Commission — Date of Approval: 3/10/16

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

Pam Compton
Records Analyst/Regional Administrator — Date of Approval: Nov. 2, 2015

Appraisal Archivist — Date of Approval: 3/10/2016

State/Local Records Branch Manager — Date of Approval: 3/10/16

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3/10/16

for Mike Harmon

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety

Record Group Number
1840

Series	Records Title and Description	Function and Use
01264	**Fatal or Serious Injury Mine Accident Reports (V)**	This series documents the investigation and findings of the mine safety specialist whenever an accident occurs at a mine site resulting in a fatality or fatalities and/or serious injury per the requirements of KRS 352.180 and 30 CFR 50.20. These mine accident reports are a permanent record per KRS 351.160(2).
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e., Social Security Number; agency is responsible to consult with agency's legal department re protected information
	Contents	Series may contain: Name and location of mine; name(s) of victim(s); date and time of accident; investigation report; sampling results; toxicology reports; photographs; name of mine safety specialist; correspondence; and if applicable, diagram of mine site and Closure Orders, and/or Notice of Non-Compliance.
	Retention and Disposition	Retain in Agency permanently.
01266	**Mine Specialty Application File**	This series documents the application process for individuals applying for the positions of mine inspector, mine safety analyst, electrical inspector, mine safety instructor, mine foreman, or assistant foreman per the requirements of KRS 351. If the applicant has met the initial requirements, an examination is required. Upon passing the examination, applicant is then certified for the position(s) per the request listed on the application.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Number; agency is responsible for consulting with agency's legal department regarding protected information.
	Contents	Series may contain: Application that includes name; Social Security Number; date of birth; address; mining history; whether underground or surface; affidavit of co-worker regarding length of work experience; copy of fees paid; Pass or Fail examination; date; certification; and correspondence
	Retention and Disposition	Retain in Agency ten (10) years, transfer to the State Records Center for ten (10) years, then destroy. Total retention is twenty (20) years.
01268	**Index to Clay and Coal Mine Maps**	CLOSED SERIES: This series represents a list of clay and coal mine maps that includes locations and data about each company and mine. The index has not been created since 1983. However, the index cards are currently used to assign State File Numbers (SFN) to mines from before 1953. A State File Number is a unique identifying number given to a coal mine that remains the same for the life of the mine.
	Access Restrictions	None
	Contents	Series may contain: Name of county and location; address; name and address of mining company; date of original map; name(s) of original owner(s); transfer of ownership of property of mining company and date of transfer; inspection dates made by department safety personnel.
	Retention and Disposition	Retain permanently in Agency
01269	**Mine Maps (V)**	This series represents mine maps. KRS 352.450 requires that the operator or superintendent of each underground mine annually make a map of the workings of the mine which is accurate and of professional quality on a scale of not less than one hundred (100) and not more than five hundred (500) feet to an inch. The map must show the area mined and the forms of the excavations up to January 1, together with the location and connection of the property and mineral lease lines of all adjoining lands within one thousand (1,000) feet of the excavations. The name of each owner or lessee of adjoining land and of mine property must be marked on each tract. Other state agencies, the federal government and private sector entities use these maps daily. In the event of disaster investigations and for safety planning, the agency uses the paper copies of the mine maps as they contain details over the large areas that may not be visible using other media.
	Access Restrictions	None
	Contents	Series may contain: maps of the working area of a mine and the area surrounding the mine, the names of each owner or lessee of adjoining lands; a five (5) year projection of the mine, date of map.
	Retention and Disposition	Retain permanently in Agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety

Record Group Number
1840

Series	Records Title and Description	Function and Use
01275	**Index to Mine Inspection Reports Prior to 1952**	CLOSED SERIES: This series represents an index to mine inspection reports filed before 1952. These are indexed by the inspector's name. CLOSED: This Series has not been created since 1952.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently in Agency
01277	**Mine License File (V)**	This series documents an application for a license to operate a mine and that all requirements have been met per KRS 351.175. Any owner, operator, or lessee who assumes control of a mine, opens a new mine, or reopens an abandoned mine during any calendar year must first obtain a license before beginning mining operations. Licenses are issued annually. The file is established to include documentation regarding all mining activities associated with a particular mining operation. Pursuant to KRS 351.070 (8), this is a permanent record.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: License application; partnership agreement; inspection reports; copies of Non-Compliance reports; analyst reports (underground mines only); annual reports and the annual mine map; Certification from Department of Workers' Claim proving compliance with the provisions of KRS Chapter 342; Certification from Department of Revenue is not a delinquent taxpayer; mine seal construction plan approved by Mine Safety and Health Administration (MSHA) and the state; roof control plan approved by MSHA and the state; ventilation and approved emergency plans; copies of annual tonnage reports; special permits; permits for additional openings; and correspondence
	Retention and Disposition	Retain in Agency five (5) years from date of issuance of license, then transfer to the State Archives Center for permanent retention.
01298	**Vital Facts on Mine Operators**	This series documents a mine operator's history regarding licensing or abandoning an underground or surface coal mine and provides quick access to the information.
	Access Restrictions	None
	Contents	Series may contain: Date licensed or abandoned; operator name; company name; mine name; state file number; mine type and status.
	Retention and Disposition	Retain in Agency permanently.
03030	**Miner Certification File (V)**	This series documents an applications and certifications to work in an underground mine and that the applicant has met the requirements of KRS 351.120.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Number; agency has responsibility to consult agency's legal department regarding protected information.
	Contents	Series may contain: Application including name, address, date of birth, Social Security Number; employment background; identification number of miner certification; training information; specialty codes denoting certification and correspondence, if applicable.
	Retention and Disposition	Retain in Agency three (3) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety

Record Group Number
1840

Series	Records Title and Description	Function and Use
03031	**Miner Temporary Permit (V)**	This series documents an application for temporary certification by a miner who is inexperienced and submits to Division of Mine Safety and Licensing, an affidavit and supporting documentation verifying the applicant has the required mine experience per statutory requirements for issuance of a temporary permit. The records will be transferred to series 03030, Miner Certification File, after the issued of the certification.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e., Social Security Number; agency has responsibility to consult agency's legal department re protected information.
	Contents	Series may contain: Name and address of applicant; date of birth; Social Security Number; affidavit(s) or co-worker(s); training credentials; work history; and correspondence.
	Retention and Disposition	Retain in Agency three (3) years from date of issuance of temporary permit, then transfer to series 03030, Miner Certification File after issuance of certification. If permit is not issued, destroy three (3) years from date of denied of application.
03032	**Miner Certification Affidavit (V)**	This series documents that a miner has a valid certification. It also documents that the miner has one (1) year of mine experience within the past three (3) years of being certified.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to contact agency's Legal Department regarding protected information.
	Contents	Series may contain: Application stating personal data; education; work experience; occupations miner qualifies; reinstatement certification application; and correspondence.
	Retention and Disposition	Retain in Agency three (3) years, then destroy.
03035	**Class Enrollment Record (V)**	This series documents that each miner has received the annual training per KRS 351.106. All training and education required by KRS Chapter 351 is conducted in classrooms, at the mine site, or in simulated mines.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Signature; state certification number; miner identification number; name; Social Security Number; mailing address; underground; surface; state file number; federal identification number; year of training; card expiration; class number
	Retention and Disposition	Retain in Agency three (3) years, then destroy.
03036	**Miner Certification Examination and Permit Log (V)**	This series represents the cover sheet used to document information on each miner who takes the certification examination and is issued a permit.
	Access Restrictions	None
	Contents	Series may contain: name of miner; certification number; permit number; social security number; comments; passed or failed; in state or out-of-state
	Retention and Disposition	Retain in Agency three (3) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Mine Safety

Record Group Number
1840

Series	Records Title and Description	Function and Use
03037	**Inexperienced Miner Training File**	This series documents the training of inexperienced miners as required by the Division of Mine Safety and 805 KAR 7:020.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e., Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Personal data sheet; affidavit; instructor; list of miners in class; permit
	Retention and Disposition	Retain in Agency three (3) years, then destroy.
03038	**Temporary Permit Extension Form (V)**	This series documents a request for a temporary extension to an inexperienced miner's work permit.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Application regarding personal data sheet; date of temporary permit; correspondence.
	Retention and Disposition	Retain in Agency three (3) years from date of request for an extension, then destroy.
03398	**Radio Log**	This series documents the daily radio contact and location(s) visited by the mine safety specialists assigned to the district offices of the Division of Mine Safety.
	Access Restrictions	None
	Contents	Series may contain: Date; sign-in time; unit number; destination or location; subject; sign off time
	Retention and Disposition	Retain in Agency three (3) years, then destroy after audit

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Division of Oil and Gas
Unit

Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Kimberly S Collings
Agency Head

11-5-15
Date of Approval

Nicole Allison
Agency Records Officer

11-5-15
Date of Approval

State Archivist and Records Administrator
Director, Public Records Division

Date of Approval

Chairman, State Archives and Records Commission

3/10/16
Date of Approval

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

Pam Compton
Records Analyst/Regional Administrator

Nov. 4, 2015
Date of Approval

Appraisal Archivist

3/10/2016
Date of Approval

State/Local Records Branch Manager

3/10/16
Date of Approval

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The determination as set forth meets with my approval.

Melissa Scott
Auditor of Public Accounts

3/10/16
Date of Approval

for Mike Harmon

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Oil and Gas

Record Group Number
1840

Series	Records Title and Description	Function and Use
01283	**Permit Files (V)**	This series documents applications submitted and permits issued to drill or deepen a well; reopen a plugged well for the production of oil or gas or the injection of water, gas or other fluid into any oil or gas producing formation; or drill or deepen a water supply well and geological or structure test holes pursuant to the requirements of KRS 353.570, KRS 353.590 and the regulations promulgated thereto. This series also includes permits issued for the use of vacuum pumps pursuant to 805 KAR 1:040. Permits expire one (1) year after date issued but applicant may request an extension of one (1) year in writing to the Department of Oil and Gas per KRS 353.580.
	Access Restrictions	KRS 61.878 (1)(c)(1) re unfair commercial advantage to competitors; KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's law counsel re protected records.
	Contents	Series may contain: Permit application, including owner and operator; surface owners; maps; diagrams; type and purpose of well; well records; reclamation plans and maps; casing plans; as-built plats; deviated surveys; well transfers; vacuum permits; inspectors' reports; production reports; testing permits; temporary abandonment permits; copies of fee documentation; and correspondence; if applicable, requests for permit extensions and Administrative Orders.
	Retention and Disposition	Retain in Agency permanently.
01284	**Well Permit Log**	This series represents a list of permits issued to owners and/or operators of oil and gas wells per the requirements of KRS 353.070.
	Access Restrictions	None
	Contents	Series may contain: Permit number; owner/operator of oil and/or gas well; date permit issued; location of well; farm name; well number; formation to be drilled; projected depth
	Retention and Disposition	Retain in Agency permanently.
01285	**Notices of Non-Compliance/Violations and Forfeiture Files (V)**	This series documents Notices of Non-Compliance/Violations issued to permittees of oil and gas wells and the forfeiture of bonds due to a permittee failing to correct violations. Individual bond amounts are based on the depth of the well and blanket bond amounts are based on the number of wells under that blanket bond. The permittee will receive a Notice of Non-Compliance or Notice of Violation and has a given time frame for correction. If violation is not corrected in a timely manner, the bond may be subject to forfeiture. The operator has the right to appeal a bond forfeiture through the circuit court system.
	Access Restrictions	None
	Contents	Series may contain: Name and address of permittee; location of well; list of non-compliances or violations; amount of bond; name and address of bond holder; certified mail green cards; Orders of Forfeiture; appeal documents and agreed orders, correspondence.
	Retention and Disposition	Retain in Agency permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Oil and Gas

Record Group Number
1840

Series	Records Title and Description	Function and Use
01286	**Administrative Hearing File**	CLOSED SERIES: This series documents administrative hearings held between 1960 and 2008 on issues relating to oil and gas. The hearings pertained to forced poolings, spacing variances, unitizations, coal objections, and severed mineral mediations. Following the hearing, the hearing officer would complete a Hearing Officer Report which was forwarded to the Department Commissioner for review. The Commissioner would then issue a Final Order. During this time, the Department conducted hearings in its offices. This series was no longer as of 2008. Currently, all hearings are held at the Cabinet in the Office of Administrative Hearings.
	Access Restrictions	None
	Contents	Series may contain: Name and address of company; name and address of interested parties; copies of Joint Operating Agreements; Authority for Expenditure; lease agreements; coal objection letters; reclamation plans and maps, recommended Orders and Final Orders; and correspondence.
	Retention and Disposition	Retain in Agency five (5) years after all appeals have exhausted, then destroy.
06628	**Gathering Lines Permits File (V)**	This series documents the applications submitted and permits issued to operate any and all oil or gas gathering lines for the purpose of transporting crude oil or natural gas from a well or production facility to the point of interconnection with another gathering line, an existing storage facility or a transmission or main line. This includes all lines between interconnections except those line or portions thereof subject to exclusive jurisdiction of the United States Department of Transportation under 49 CFR Parts 191, 192, 194 and 195. Gathering lines permits are governed by 805 KAR 1:190.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult agency's Legal Department regarding protected information.
	Contents	Series may contain: Permit application, including name of operator and surface owner and addresses; type of operation; maps of existing lines and/or proposed lines; if applicable, transfer of ownership of a gathering line; locations of property lines, dwellings, environmentally sensitive features and road and stream crossing along the path of the gathering line; approximate acreage to be disturbed; right-of-way agreements; reclamation maps and plans; incident reports; emergency response plans; inspection reports; copies of fee documentation; correspondence; and if applicable, renewal applications.
	Retention and Disposition	Retain in Agency permanently.
06632	**Spud Reports**	This series documents the weekly report of which operators are drilling recently permitted wells. The information is posted on the Division of Oil and Gas web site: (http://oilandgas.ky.gov/Pages/SpudReportsPage.aspx).
	Access Restrictions	None
	Contents	Series may contain: operator name, permit number, drilling contractor, type of drilling equipment and date drilling commenced.
	Retention and Disposition	Retain in Agency five (5) years; then destroy.
06633	**Transfer Report**	This series represents a list of oil and gas wells that have transferred to a successor operator. The information is posted on the Division of Oil and Gas website: (http://oilandgas.ky.gov/Pages/TransferReportsPage.aspx).
	Access Restrictions	None
	Contents	Series may contain: Date of transfer, former operator, current operator, permit number, lease name, well number, county, Carter coordinate location, latitude and longitude.
	Retention and Disposition	Retain in Agency five (5) years; then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Oil and Gas

Record Group Number
1840

Series	Records Title and Description	Function and Use
06634	**Production Reports**	This series represents the annual report of oil and natural gas production data that is provided to the Division of Oil and Gas. Production information is confidential for one year per KRS 353.205 and 805 KAR 1:180 (2). The production report is posted on the Oil and Gas website: (http://oilandgas.ky.gov/Pages/ProductionReports.aspx).
	Access Restrictions	KRS 353.205 and 805 KAR 1:180 (2) - production information held confidential for a period of one (1) year; agency has responsibility to consult with agency's legal department regarding confidential information.
	Contents	Series may contain: Year, county, company name, permit number, lease name, well number, pool name, formation, latitude, longitude, month and production amount.
	Retention and Disposition	Retain in Agency five (5) years; then destroy.
06686	**Bond Files (V)**	This series documents the bonds posted by individuals applying for a permit to drill a well, or to reopen, deepen, or temporarily abandon any well not covered by a surety bond. Bonds for deep wells are posted to ensure well plugging and reclamation of disturbed areas pursuant to KRS 353.590, 805 KAR 1:060 and 805 KAR 1:070.
	Access Restrictions	KRS 61.878 (1)(a) re personal information, i.e. Social Security Numbers; agency has responsibility to consult Agency's Legal Department regarding protected information.
	Contents	Series may contain: Name and address of permittee; permit number; type and location of well; type and amount of bond; guarantor name and address; and correspondence.
	Retention and Disposition	Retain in Agency permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Oil and Gas
Kentucky Oil and Gas Conservation Commission

Record Group Number
1840

Series	Records Title and Description	Function and Use
06629	**Oil and Gas Conservation Commission Hearing Files (V)**	This series documents Oil and Gas Conservation Commission hearings regarding the establishment of drilling units, pool or field-wide units or special field rules. The Commission may issue emergency orders without notice and without an initial hearing upon a finding of necessity to prevent waste, irreparable injury or other cause per the requirements of KRS 353.565 and 805 KAR 1:100.
	Access Restrictions	
	Contents	Series may contain: Written documentation by interested party requesting hearing stating cause and subject matter for request; Notice of Hearing; Originals of all instruments; documents; plats; any requested data by Commission; correspondence; Final Orders.
	Retention and Disposition	Retain in Agency permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Natural Resources
Agency

March 10, 2016
Schedule Date

Office of Reclamation Guaranty Fund
Unit

Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Keith B. Smith
Agency Head

11/2/15
Date of Approval

Jeff O'Dell
Agency Records Officer

11/2/2015
Date of Approval

State Archivist and Records Administrator
Director, Public Records Division

Date of Approval

Chairman, State Archives and Records Commission

3/10/16
Date of Approval

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

Pam Compton
Records Analyst/Regional Administrator

Nov. 2, 2015
Date of Approval

Appraisal Archivist

3/10/2016
Date of Approval

State/Local Records Branch Manager

3/10/16
Date of Approval

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The determination as set forth meets with my approval.

Melissa Scott for Mike Harmon
Auditor of Public Accounts

3/10/16
Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Reclamation Guaranty Fund, Office of the

Record Group Number
1900R

Series	Records Title and Description	Function and Use
06639	**Initial Capitalization Fee Assessment**	CLOSED SERIES: This series documents the one-time Initial Capitalization Fee Assessment to provide initial funding for the Kentucky Reclamation Guaranty Fund (KRGF) pursuant to KRS 350.500 through KRS 350.521 and enacted March 22, 2013. The documents notify companies of the function of KRGF and assessment amounts per KRS 350.515. This Series was closed as of December 2013 as it documents a one-time Initial Capitalization Fee Assessment.
	Access Restrictions	
	Contents	Series may contain: Initial Capitalization Assessment letter and invoice that includes company name, contact information, entity identification number, permit number(s), fee amounts and explanation of the Kentucky Reclamation Guaranty Fund.
	Retention and Disposition	Retain in Agency three (3) years, then transfer to State Records Center for permanent retention.
06640	**Annual Classification and Invoice**	This series documents the annual classification and assessment fees for companies with coal mining permits pursuant to KRS 350.500 through KRS 350.521. The mining permit may be identified as: 1. Surface Mining Operation; 2. Underground Mining Operation; 3. Combination Surface and Underground Mining; 4. Dormant Operation; or 5. Non-Production Operation.
	Access Restrictions	
	Contents	Series may contain: Surface Mining Information Identification Number (SMIS); permit number; classification type; bonded acreage and annual fee amount; and correspondence
	Retention and Disposition	Retain in Agency three (3) years, then transfer to State Records Center for permanent retention.
06641	**Kentucky Bond Pool File**	CLOSED SERIES: This series documents the activities of the Kentucky Bond Pool established under the Kentucky Bond Pool Commission pursuant to KRS.350.705. The Kentucky Bond Pool Commission was abolished July 1, 2013. The Office of the Reclamation Guaranty Fund assumed the duties and responsibilities for tonnage fee collection on July 1, 2013, pursuant to KRS 350.518. This Series closed January 2014 as Kentucky Bond Pool was abolished July 1, 2013. Records were transferred to Office of the Reclamation Guaranty Fund and fee collection for the Kentucky Bond Pool ceased January 31, 2014. The Kentucky Bond Pool did not have an agency-specific Records Retention Schedule.
	Access Restrictions	
	Contents	Series may contain: Company Bond Pool Member application, including name and address of company; type and location of coal mine operation; permit number; bond information; actuarial studies; audits; fee payment records; and correspondence
	Retention and Disposition	Transfer to the State Records Center for permanent retention.
06642	**Quarterly Fee Payments Records (V)**	This series documents quarterly fee payments for production tonnage, dormant, and non-production coal mining permits pursuant to requirements of 405 KAR 10:070 to ensure monies are adequate to perform reclamation in the event of forfeiture.
	Access Restrictions	
	Contents	Series may contain: Company name, permit number, Surface Mining Information System (SMIS) identification number, permit status; payment amount, check number, company contact name and information; tonnage mined, dormant and non-production fee amounts; and correspondence.
	Retention and Disposition	Retain in Agency three (3) years, then transfer to State Records Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Reclamation Guaranty Fund, Office of the

Record Group Number
1900R

Series	Records Title and Description	Function and Use
06643	**Forfeited Bonds List**	This series represents a list of (1) coal companies and specific permits whose bonds have been forfeited and transferred to Kentucky Reclamation Guaranty Fund (KRGF); and (2) companies and specific permits whose forfeited bonds have been transferred from KRGF to Division of Abandoned Mine Lands to complete reclamation work pursuant to KRS 350.521.
	Access Restrictions	
	Contents	Series may contain: Company names and specific permit numbers; forfeited bond amounts deposited or transferred to KRGF; forfeited bonds or additional funds transferred from KRGF to Abandoned Mine Lands; dates of transfer of monies; Abandoned Mine Lands reclamation completion of cost estimates for reclamation.
	Retention and Disposition	Retain in Agency permanently.
06647	**Contested Classification Resolution File**	This series documents the mine permit classification for assessment purposes; a company's contesting of the classification; and the resolution letter to companies classified as dormant or non-production operations by Kentucky Reclamation Guaranty Fund (KRGF) Commission per 405 KAR 10:070 (1). The KRGF Commission assigns classification of mine types pursuant to KRS 350.509(1)(e) for the purposes of assessing fees and companies may object to the classification. If the classification is amended after the contestation, a resolution letter is mailed to the company stating the new assessment fee.
	Access Restrictions	
	Contents	Series may contain: Name, address, permit number, Surface Mining Information System (SMIS) entity identification number; Classification of company (dormant or non-production); company's contest letter; contest resolution letter; date of company contest; date of resolution letter; and if applicable, an amended invoice with corrections.
	Retention and Disposition	Retain in Agency three (3) years, then transfer to the State Records Center for permanent retention.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Beautification - Wild Rivers

Record Group Number
1900

Series	Records Title and Description	Function and Use
157	**Maps**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; transfer to the State Archives Center for permanent retention.
158	**Violation Report File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency and transfer to the State Archives Center two (2) years after final court action for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Noise

Record Group Number
1904

Series	Records Title and Description	Function and Use
166	**Complaint and Investigation File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; transfer to the State Archives Center for permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Pesticides

Record Group Number
1904

Series	Records Title and Description	Function and Use
159	**License Receipt Books**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy after audit.
160	**Application for Operator File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy.
161	**Examinations Taken by Applicants**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy.
162	**Pesticide Registration Form**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy
163	**Equipment Registration Form**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain in Agency five (5) years; destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Pesticides

Record Group Number
1904

Series	Records Title and Description	Function and Use
164	**Insurance Verification Form**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Rtain in Agency five (5) years; destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Energy and Environment Cabinet
Natural Resources
Special Programs
Reclamation of Land Revolving Fund

Record Group Number

Series	Records Title and Description	Function and Use
167	**Documents Pertaining to Sale and Purchase of Land**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy five (5) years after land is sold and after deed of sale is properly recorded with respective County Clerk, and audit

Electronic System With Included Records Series

Energy and Environment Cabinet

Department for Natural Resources

Mine Safety

System Description: The Electronic Inspection/Analysis Client Application allows the Division of Mine Safety to perform inspection and analysis via a "wizard-like" application. Field staff are equipped with laptops, each of which have a resident database and executable application. Both database and application update when connected to the state network. Static fields are updated automatically from the database to minimize data entry. Once all forms have been completed, the reports are published to a SharePoint site. The reports are moved through the approval process by an automated workflow with rejection/approval options. The final approval uploads the data to Mine Inspection Safety Tracking System.

System Contents: Mine Licensing Data - company/licensee name, address, phone, email, location, owner, manager, inspection number (generated by system), previous analysis and inspection data with violations received from Mine Inspection Safety Tracking System.

Mine personnel certification status and training. Field staff enter variable data such as date of inspection.

General Schedule Items:

System Title: **Electronic Inspection/Analysis Client Application** ***Alternate Title:*** **Client**

Series #:	*Series Title:*	*Disposition Instructions:*
01264	Fatal or Serious Injury Mine Accident Reports	Retain in Agency permanently.
01277	Mine License File	Retain in Agency five (5) years from date of issuance of license, then transfer to the State Archives Center for permanent retention.

Electronic System With Included Records Series

Energy and Environment Cabinet

Department for Natural Resources

Division of Mine Permits, Abandoned Mine Lands, Reclamation and Enforcement

System Description: The DocTree system is used to electronically store documents generated by the Divisions' regular course of business whether by scanned image or storage of electronic documents in native format. There is no state or federal mandate to use a document storage system.

System Contents: Storage of electronic records and imaged documents related to coal exploration notices, exploration inspections and enforcement actions, mine permit applications, mining company ownership, permit inspections, citizens' complaints, enforcement actions, reclamation activities, permit reclamation bonding, certification and inspection of approved structures, water monitoring reports, mine blasting inspections, and blasters' certifications. Documents are placed in the system by central and regional office Department staff.

General Schedule Items:

System Title: **DocTree** ***Alternate Title:***

Series #:	*Series Title:*	*Disposition Instructions:*
03337	Aerial Overflight Permit Site Conditions File	Retain in Agency ten (10) years; transfer to the State Archives Center for permanent retention
04200	Notice of Coal Exploration File	Retain in Agency five (5) years after completion of reclamation or bond forfeiture, or in the event of legal proceedings, retain in Agency six (6) months after all appeals have exhausted, whichever is longer, then destroy.
04332	Surface Mining Permittee Ownership File	Retain in Agency ten (10) years after closure of ownership file and transfer to the State Archives Center for permanent retention.
06071	Inspection Files	Retain in Agency five (5) years from date of inspection or five (5) years from final resolution of any citation(s) issued, then destroy.

Electronic System With Included Records Series

Energy and Environment Cabinet

Department for Natural Resources

Mine Safety, Commissioner's Office, Office of General Counsel

System Description: The Mine Inspection Safety Tracking System maintains miner certification and training, mine licensing and inspections, company and miner profiles with drug sanction tracking for miners, and penalties against licensees for mine safety violations. Reporting capabilities were designed to better manage personnel resources (inspectors, analysts, trainers) to ensure that all mines in Kentucky maintain a high level of safety.

System Contents: Mine Licensing - company/licensee name, address, phone, email, location, owner, manager, license number (generated by system), accidents (entered by field staff). Analysis and Inspection with violations received from Inspection/Analysis Client Application.

Training and Education - tracks all miner training and certification. Allows for class enrollment, exams, tracking, printing of letters, certifications and reporting for both Kentucky and Mine Safety and Health Administration.

Profiles - miner and company contact information

Sanctions - tracks miners (drug/alcohol violation) and companies (mine safety violations)

General Schedule Items:

System Title: **Mine Inspection Safety Tracking System** ***Alternate Title:*** **MIST**

Series #:	*Series Title:*	*Disposition Instructions:*
01266	Mine Specialty Application File	Retain in Agency ten (10) years, transfer to the State Records Center for ten (10) years, then destroy. Total retention is twenty (20) years.
01272	Safety Violation and Accident Correspondence	Retain permanently in Agency
03030	Miner Certification File	Retain in Agency three (3) years, then destroy.

Electronic System With Included Records Series

Energy and Environment Cabinet

Department for Natural Resources

Mine Permits, Mine Reclamation and Enforcement, Mine Safety

System Description: The Surface Mining Information System is a system for recording data related to coal exploration, applications for permits to mine coal and issued coal mining permits. It also tracks inspections and violation history of mining companies.

System Contents: Coal Exploration Notices, Permit Applications, Permits, Violations, eMIR system, Citizen complaints, Enforcement, Entities, Owners

General Schedule Items:

System Title: **Surface Mining Information System** ***Alternate Title:*** **SMIS**

Series #:	*Series Title:*	*Disposition Instructions:*
04199	Enforcement File	Retain in Agency five (5) years after completion of reclamation or bond forfeiture, or in the event of legal proceedings, retain in Agency six (6) months after all appeals have exhausted, whichever is longest; then destroy.
04201	Blaster Certification File	Retain in Agency and destroy three (3) years after expiration of the certificate, and audit
04202	Bond Files	Retain in Agency five (5) years after date of bond release or transferred to Division of Abandoned Mine Lands, or in the event of legal proceedings, retain in agency six (6) months after all appeals have exhausted, whichever is longer; then destroy.
04203	Bond Forfeiture File	Retain in Agency and merge file with Bond Release File (04202) if reclamation is completed by bank or surety. If reclamation is completed by Division of Abandoned Lands, destroy after ten (10) years after transfer of bond to Division of Abandoned Lands; then destroy.
04204	Bond Log	Retain in Agency permanently.