# General Schedule for State Agencies

Records Retention Schedule

Prepared by the State Records Branch
Public Records Division
Approved by the State Archives and Records Commission

Kentucky Department for Libraries and Archives

# GENERAL SCHEDULE FOR STATE AGENCIES

The *General Schedule for State Agencies* (*General Schedule*) covers retention and disposal of records that are common to all or most of Kentucky's state government agencies. Government records in Kentucky cannot be disposed of unless they are approved for destruction by the State Archives and Records Commission (the Commission). The *General Schedule* is reviewed and approved by the Commission, and serves as notice to state agencies that staff may destroy the records listed here after the appropriate retention periods have passed.

The *General Schedule* has four sections:

- Fiscal Records;
- Miscellaneous Records;
- Personnel and Payroll Records; and
- Electronic and Related Records.

It **must** be used by state agencies that participate in and use the state's uniform financial system (enhanced Management Administrative Reporting System [eMARS]), and its personnel system (the Uniform Personnel and Payroll System [UPPS]). **Agencies that do not utilize the uniform systems should contact the State Records Branch, Public Records Division, for guidance in disposing of financial and personnel/payroll records.** The Miscellaneous Section of the General Schedule is applicable to all state agencies, including those that do not use the Fiscal and Personnel and Payroll Sections.

While the *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies, agency-specific retention schedules 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* along with a Commission-approved agency-specific retention schedule should cover all records for a given state agency.

**Electronic Records**

The widespread use of computers and computer systems raises the question of how government agencies should apply records management standards to electronic records and electronic record-keeping systems. 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 electronic records fall under the definition of public records. Records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium in which the records are created and/or stored.

All state government personnel who develop, use and maintain electronic records and computer systems should be aware that existing retention schedules must be

implemented for the electronic records systems used in their agencies. Ideally, records retention scheduling should be a part of the development, implementation and management of computer systems. Records management practices encourage cost-effective use of those systems through accurate retention scheduling and legal destruction of records. Office personnel should be trained to use this schedule for determining the *minimum* time that records must be kept to satisfy the administrative, fiscal and legal needs of the agency.

**Remember, all state government employees are responsible for maintaining the integrity of records whether those records are stored electronically or in hard copy. Information must be accessible to the appropriate parties until all of the legal, fiscal, and administrative retention periods have been met, regardless of the medium.**

The *General Schedule for State Agencies* covers the content of records created using computers and computer systems. Examples of these include correspondence created using a word processing or e-mail program, the content of a database, or fiscal records generated in eMARS. The *General Schedule for Electronic and Related Records* applies to records that exist because agency personnel use a computer or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

**Copies of Records**

Agency staff often make copies of records for internal use or reference purposes. Agencies should designate one copy of agency-produced records as the official copy and make sure it is retained according to a State-Archives-and-Records-Commission-approved records retention schedule. Agencies can destroy all other copies when they are no longer useful.

## An Explanation of Selected General Records

The explanations and definitions provided below are designed to assist in the implementation of the General Schedule.

**Correspondence**

*Official Correspondence* (M0001) is a permanent record that documents the major activities, functions and programs of an agency and the important events in its history. It is critical that official correspondence be preserved as it provides a record of policy evolution and formulation, how and why decisions are made, and the effect of those decisions upon an agency and its constituencies. Without official correspondence, we lose much of the understanding of the administration of an organization. Its retention, therefore, is crucial to the preservation of the administrative history of an agency. Official correspondence must be transferred to the State Archives per instructions in the *General Schedule for State Agencies – Miscellaneous Records*. Examples of Official Correspondence include policy memoranda dictating or establishing policy, directives, event and other announcements maintained by the issuing agency, official notifications

of agency decisions or actions, or summaries of an agency's cumulative experience or history.

*Routine Correspondence* (M0002) is correspondence that is not crucial to the preservation of the administrative history of the agency. It is generally of a non-policy nature and without permanent value. It deals only with the general agency operations, operations which are better documented by other records maintained by the agency. Examples of Routine Correspondence include assistance to clients, explanations of policy, requests for information, or business-related discussions within an agency.

Routine Correspondence also includes messages that are related to agency business, and support its work, but are not central or essential to it. Examples of this include listserv messages relevant to agency business, correspondence related to relevant professional organizations, event and other announcements received by non-issuing agencies, copies of messages (Cc or Bcc), voice mail, or meeting notices (for the recipient).

Routine correspondence should be retained no longer than **two** years. Because the retention period of Routine Correspondence may vary, agencies are encouraged to set a fixed period for its retention and see that staff retains it for that length of time.

*Nonbusiness Related Correspondence* (M0050) is correspondence that is not relevant to the conduct of agency business. Examples of Non-Business Related Correspondence include spam or junk mail, personal messages, or unsolicited messages from coworkers such as jokes, news reports or announcements. Non-business Related Correspondence should be deleted or destroyed immediately.

E-mail is generally used for routine and nonbusiness related correspondence, and may be used for official correspondence. This allows for wider distribution of messages than had previously been possible. The retention periods listed on the General Schedule apply equally to all correspondence, whether e-mail or paper. Please remember that the above types of correspondence may apply differently depending on whether a staff member is the sender or the recipient. A message from the Governor to all state employees might be maintained as Official Correspondence by the Governor's Office. That same piece of correspondence would be Routine Correspondence for most state employees. In lengthy, business-related e-mail discussions involving a number of agency staff, you may keep a copy if: (1) you add anything of value to the discussion or contribute beyond simply agreeing or disagreeing; or (2) you were the last person to add anything of value to the discussion, in which case you should keep the entire thread.

**Publications and Reports**

A state agency publication or report is any published material, regardless of format, that documents agency-related functions or activities, but does not include material issued for internal administrative use. Publications and reports contain important facts and statistics about the operation of the agency and its policies and are retained

permanently because they provide information, often in summarized form, which aids in understanding the administrative functioning of the agency.

**Three** copies of all agency publications issued in paper must be forwarded to the Public Records Division when issued, as required in KRS 171.500 and by 725 KAR 1:040. **One** copy of each publication issued in electronic format must be forwarded to the Public Records Division. **One** copy of each publication, regardless of format, should be kept permanently in the agency. Under no circumstances should all copies of publications be destroyed.

Special Studies and Reports not formally published also contain important facts and statistics about the organization, policies, and operation of the agency. **One** copy of each study or report (M0042) must be forwarded to the State Archives, per normal transfer procedures, and one copy should be retained permanently in the agency.

**Minutes of Meetings**

Minutes of meetings constitute proper documentation of essential agency transactions and organizational functions, as required in KRS 171.640.

Boards, commissions, councils, task forces, etc., that were established by statute or Executive Order, or that establish or administer policy are examples of entities for which minutes should be created. **One** copy of each set of minutes (M0008) should be retained permanently in the agency and **one** copy should be forwarded to the State Archives after each meeting, as specified in the *General Schedule for State Agencies – Miscellaneous Records*.

Recordings of meetings (M0049) from which minutes are prepared are retained for 30 days after the minutes have been transcribed and approved by the appropriate authority.

**Fiscal Records**

Summary records which provide a general picture of the fiscal operations of an agency must be kept permanently. Examples include: annual financial reports, operating budgets, audit reports, and some journals and ledgers.

Original and duplicate copies of source documents should be maintained as specified in the Fiscal Records Section of the *General Schedule*.

**enhanced Management Administrative Reporting System (eMARS) Source Documentation**

As recommended by the Finance and Administration Cabinet and approved by the State Archives and Records Commission, eMARS source documentation for expenditures is to be retained by state agencies for eight years beyond the year in which the transaction was initiated. The majority of eMARS-related records can be found in the Fiscal Section of the General Schedule. The retention and maintenance of original source documentation by state agencies began with the implementation of MARS July 1, 1999.

The eight-year retention period is necessary to ensure the following:

- records are available to support transactions through two administrations;
- all audits and investigations relating to the transactions have been completed;
- source documentation is available during the preparation of state budgets;
- agencies are in compliance with all state and federal retention requirements;
- investigations of potential fraudulent transactions have been concluded;
- information is available to document judgments and claims;
- information is available for tax purposes; and
- information is available in the event of legal action.

**Personnel Records**

*Departmental copies of personnel files* (P0001) may be destroyed five years after termination of employment in the agency. Termination of employment is defined as "no longer an employee of state government." If an individual transfers from one department to another, the personnel file will transfer as well to the new department. The master personnel file, or record copy, is retained by the Personnel Cabinet.

Unit duplicates of personnel files may be destroyed two years after termination of employment. All personnel files should be maintained as specified in the Personnel and Payroll Records Section of the *General Schedule*.

**Informational and Reference Materials**

Informational and reference materials (M0018) are aids of a technical or non-technical nature used in the conduct of official business, but not essential to that business. The disposition for such materials is "destroy when no longer useful" to the receiving unit. Examples of informational and reference materials may include externally created brochures and publications, duplicate copies of memoranda which do not require action by the receiving unit, literature not related to day-to-day activities, and some tracking tools, such as logs.

**Public Records Division Forms**

All Public Records Division publications and forms should be maintained as specified in the Miscellaneous Records Section of the *General Schedule.*

## Records Retention and Disposition Terminology Used in the Schedule

**Permanent Records**

These are records which have been appraised by staff of the Department for Libraries and Archives and the agency's Records Officer, and approved by the Commission, as having sufficient historical, informational, or evidential value to warrant their continued preservation beyond the time they are needed for administrative, legal, or fiscal purposes. Such records are preserved because they constitute evidence of an agency's functions, policies, decisions, procedures, and operations. Generally, permanent records comprise 5% or less of an agency's total records.

**Fixed Retention Records**
These are records with specific, fixed, retention periods, such as three years, six months, fifty years. The duration of a record's administrative, fiscal, or legal value is defined by both agency use and state and federal requirements. Recommended retention periods are determined by KDLA staff and by an agency's Records Officer during the scheduling process and are fixed and authorized when approved by the Commission. To realize economic benefits, agencies should destroy non-permanent records when retention periods expire, unless an audit or some legal action is pending.

**Indefinite Records**
The term "indefinite" is **not** a retention period and does **not** mean permanent. Indefinite means the period of time before the retention of the record begins. For example, the retention of the departmental copy of personnel records is five years, but the retention does not begin until the individual's employment with the agency is terminated. In this case, the indefinite period is the time between creation of the record and termination of employment, which triggers the five year retention period. In the case of reference and informational material, the retention is determined by when the records cease to have value administratively, which could be one day, one month, or several years. The disposition instructions in the *General Schedule* explain the conditions under which indefinite records may be destroyed.

**Auditable Records**
Agency records that are subject to audit relate to financial transactions or represent an audit trail. Audits may be fiscal, procedural or compliance in nature. When the word "audit" appears in the disposition column of the records retention schedule, it refers to state, federal, or internal agency fiscal, procedural or compliance audits.

Unless otherwise supported by Kentucky Revised Statutes or federal regulations specifying a longer period, the retention requirement for records subject to audit, as approved by the Auditor of Public Accounts, generally is **three** years. If an agency is aware of the need to maintain records longer than the standard three year 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 which have been identified as 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. If an agency's fiscal records have not been audited, the audit for the appropriate fiscal year is considered closed upon release of Single Statewide Audit of Kentucky (SSWAK) by the Auditor of Public Accounts for that fiscal year.

**Vital Records**
Vital records are defined as those records that are essential to the continued functioning of an agency during and after an emergency, as well as those records that are 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) and, generally, comprise less than 5% of an agency's total records.

**Confidential Records**

While all records created by a public agency, using public funds and public employees in carrying out its official business, are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is a matter determined by the application of the state's Open Records laws and other relevant state or federal statutes and regulations. Public inspection of confidential records is restricted.

Agency records that are considered to be confidential and to which a claim of restricted access can be supported by a proper citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority are identified in the retention schedule with a (C), plus the accompanying legal citation that restricts access.

# RECORDS RETENTION SCHEDULE

*Signature Page*

General Schedule for State Agencies
Agency

December 8, 2011
Schedule Date

Personnel/Payroll Records Section
Unit

March 10, 2016
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

Agency Records Officer — Date of Approval

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:

Records Analyst/Regional Administrator — Date of Approval 3/10/16

Appraisal Archivist — Date of Approval 3/10/2016

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

**********

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**

**Content-based access restrictions must correspond to statutory exemptions or confidentiality provisions. State agency heads have the responsibility to know all the appropriate confidentiality laws and regulations that apply to the records maintained by their agency and to see that those laws are enforced.**

# STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **F0001** | **Annual Financial Report File** | This series documents the annual accounting of the financial status of an agency. Per KRS 48.800, each branch of government publishes a financial and program status report within ninety (90) days of the close of a fiscal year. The report details that fiscal year's activities, appropriations, allotments, expenditures, receipts, transfers, encumbrances and available balances of each budget unit of the branch, and an explanation of the programs and services provided by the branch. This series represents the financial information that is compiled by individual state executive branch cost centers in the Financial Closing Package (F0076) and that contributes to a Fiscal Year's Comprehensive Annual Financial Report. |
| | **Contents** | Series contains: Agency name; subunit name; fiscal year; expenditure source; detailed account of expenditures with object codes and descriptions; expenditures by category; actual budget; expenditure to date; available balance. |
| | **Retention and Disposition** | Retain permanently in agency. |
| **F0002** | **Operating Budget** | This series documents the budget under which an agency operates for a biennium. Pursuant to KRS Chapter 48, each agency, the units and sub-units assigned to the agency are required to comply with budget allocations for a period of two (2) years as set forth in the State Budget. |
| | **Contents** | Series may contain: Organizational units; revisions; requested items - next two years; General Fund, regular appropriations, salary equity allotments, projections from tax rates; total General Fund; federal funds, balance forward, current receipts, non-revenue receipts, total restricted receipts; total funds; expenditures by class, personnel costs, operating expenses, grants, capital outlay, total expenditures; expenditures by unit, policy statements with divisions, grand totals of finances |
| | **Retention and Disposition** | Retain permanently in agency. |
| **F0003** | **Budget Request File** | This series documents funds requested by agencies for inclusion in the final budget. Pursuant to KRS Chapter 48, each branch shall complete a financial plan for each of the next two (2) fiscal years. Per KRS 48.050, the head of each Executive Branch budget unit submits its budget request to the Office of State Budget Director not later than November 15 of each odd-numbered year. |
| | **Contents** | Series may contain: Date; fiscal year; administrative unit; total amount requested for agency for each year; principal budget classes of financial requirements; capital outlay items; debt service items; grants or loans; personnel costs; federal funds requested, anticipated receipts; funding sources |
| | **Retention and Disposition** | Retain five (5) years, then destroy. |
| **F0004** | **Budget Workpapers** | This series represents documentation/tabulations used in the calculation of budget requests, by line item. The forms are prescribed by the Legislative Research Commission. On or before September 1 of each odd-numbered year, the Finance and Administration Cabinet supplies each branch of the government with three (3) sets of the prescribed forms and instructions for preparation of estimates and statements and one (1) copy of the complete statement of the expenditures of each budget unit of the executive branch. |
| | **Contents** | Series may contain: Date; fiscal year; administrative unit; total amount requested of budget unit per fiscal year; principal budget classes of needed expenses; capital outlay items; debt service item; grants or loans; personnel costs; anticipated receipts; funding sources. |
| | **Retention and Disposition** | Retain five (5) years, then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| F0005 | **Audit Report File** | This series documents the various audits completed in Kentucky state government. These include, but are not limited to, audits completed by the Auditor of Public Accounts under the Single Audit Act; state agencies' internal audit reports; audit reports of agencies prepared by private accounting/auditing firms; and those audits of agencies completed by the Finance and Administration Cabinet. Audits may be fiscal, compliance or programmatic. |
| | **Contents** | Series may contain: Date; agency name; table of contents; introduction; independent auditor's report; financial statements; balance sheets; statements of income and retained earnings; statements of cash flows; schedules of federal financial assistance; report on internal controls; report on compliance; notes; recommendations; statistics |
| | **Retention and Disposition** | Retain permanently in agency. |
| F0006 | **Journals and Ledgers** | This series documents financial journals and ledgers that are maintained outside of the Advantage accounting system which is a component of the enhanced Management Administrative Reporting System (eMARS), formerly MARS. MARS was implemented July 1, 1999, and replaced the former Statewide Tracking and Reporting System. This series also includes journals and ledgers created prior to the implementation of MARS and which may be in either a manual or an automated format. NOTE: Journals and ledgers created prior to the implementation of MARS may, at the discretion of the State Archivist, be retained permanently. |
| | **Contents** | Series may contain: Date; administrative unit; credit columns for receipts; expenditure columns; transaction entries; account codes; account categories; grand total expenses for month and year; remarks |
| | **Retention and Disposition** | Destroy journals and ledgers created after July 1, 1999 eight (8) years after the year-end financial close out, and audit. NOTE: Those created prior to July 1999 may be retained or destroyed upon determination of the State Archivist. |
| F0007 | **Contracts, Leases and Agreements** | This series documents the contracts, leases and agreements (financial or otherwise) entered into with public or private agencies or individuals. All proposed personal service contracts, tax incentive agreements, and memoranda of agreement received by the Legislative Research Commission are submitted to the Government Contract Review Committee to examine the stated need for the services, examine whether the service could or should be performed by state personnel, examine the amount and duration of the contract or agreement, and examine the appropriateness of any exchange of resources or responsibilities, as required in KRS 45A.705 (4). Upon receipt of the Committee's disapproval or objection to a personal service contract or agreement, the Secretary of the Finance and Administration Cabinet will determine whether they should be revised to comply with the objections of the Committee, be canceled, or remain in effect as originally approved. (See KRS 45A.705 [6]). |
| | **Contents** | Series may contain: Date of filing; duration of service; name, address, and phone number of contracting agency; name, address, and phone number of vendor; payment dates; request for proposal/need for service; cancellation clause; required signatures of parties in agreement; date signed; approval by subcommittee of Legislative Research Commission; final approval by Secretary of Finance; notice of amendment to personal service contract; notice of extension of personal service contract; proof of necessity form |
| | **Retention and Disposition** | Destroy eight (8) years after completion, termination, expiration, or audit, whichever is longest. |
| F0032 | **Agency Allotment Adjustment Request File** | This series documents the formal request by agencies, per KRS 48.605 (1)(a), to the Governor's Office for Policy and Management for adjustment of the amount of the agency's scheduled allotment. The request may include information as to the justification, purpose, estimated amount, and the recommended sources for funds for the adjustment. A copy of the request and determinations is transmitted to the General Assembly's Interim Joint Committee on Appropriations and Revenue prior to the implementation of the revision of the allotment. |
| | **Contents** | Series may contain: date; fiscal year; department; division; justification for adjustment; estimated amount of adjustment; balance of allocated receipts; authorized spending limit per quarter; yearly allotment total; recommended source(s) of funds. |
| | **Retention and Disposition** | Retain in agency two (2) years. Transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years or after audit, whichever is longer. |
| F0059 | **Availability of Funds Report** | This series documents the total balance of funds available for agency use as of a given date. Fiscal staff verify that an item has been posted. In addition, the series aids in the reconciliation of funds at the end of a month. |
| | **Contents** | Series contains: Fiscal year; date; account numbers; document voucher number; explanation (name of employees); individual amounts paid to employees; cash increase; cash decrease; totals; available balance |
| | **Retention and Disposition** | Retain two (2) months, then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **F0060** | **Expenditure Detail Report** | This series documents a monthly summary, in detail, of all expenditures from allotted funds by a state agency. It records a balance forward of funds paid for organizational units by separate categories. It is useful in providing information related to agency accounts, creating other ledgers, or furnishing records for audit purposes. |
| | **Contents** | Series may contain: Fiscal year; account codes; month; document number; voucher number; explanation; allotment total for agency; expenditures; allotment balance of accounts |
| | **Retention and Disposition** | Destroy after three (3) years or audit, whichever is longer. |
| **F0061** | **Expenditure Analysis Report** | This series documents a monthly analysis of departmental expenditures broken down by subprograms, with category summaries and net totals for the month. It may include an account breakdown of multiple expense summaries, such as time and attendance, printing costs, and salaries, or an individual analysis such as telephone charges. Agencies utilize this series as a tool to produce budget analyses, determine expenditure totals up to that month, or produce a year-end report as an accumulation of the entire year. |
| | **Contents** | Series contains: Fiscal year; fund; department; agency; account number; expense categories; expenditure codes for transactions; description of accounts; I/A charge; I/A credit; monthly expense summary; balance forward |
| | **Retention and Disposition** | Destroy July-May reports after two (2) months. Destroy June report after three (3) years, or audit, whichever is longer. |
| **F0072** | **Banking Record File** | This record series documents all banking transactions, and is maintained to verify checks and reconcile accounts. It is also used as an audit trail and a reference. |
| | **Contents** | Series includes: Memoranda to establish/delete accounts; deposit records, bank reconciliations, bank statements, cancelled checks, check registers, check stop payment memoranda, authorizations for inter-bank transfer, inter-bank transfers, imprest/petty cash records, requests for approval of bank account. |
| | **Retention and Disposition** | Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer. |
| **F0076** | **Finance Closing Package** | This series documents the end-of-year financial activity of each state agency as required by the Finance and Administration Cabinet. It is used in the preparation of line items within the closing package. The series represents a detailed financial statement of funds received and spent by agencies and reflects their financial status for a fiscal year. Information from the series is used to compile the agency's Annual Financial Report (F0001) and the Cabinet's Comprehensive Annual Financial Report (M0022). |
| | **Contents** | Series contains: Expenditures; cash receipts; revenue; goods received; accounts payable; cash on hand; liabilities; accounts receivable; agency; date. |
| | **Retention and Disposition** | Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer. |
| **F0078** | **Work Order File** | This series documents all approved requests by state agencies for services to be provided to the agency by internal personnel, another state agency, or by external vendors. Agencies may submit work orders to the Finance and Administration Cabinet or to their building's landlord. Agencies submitting requests to the Finance and Administration Cabinet use the FM Works Web-Based Work Request System. |
| | **Contents** | Series may contain: Name of requestor/alternate requestor; contact information; location address and other information; problem type; urgency; equipment code or serial number; description of work to be done; whether the work is billable (y/n) and account number; request for an estimate. |
| | **Retention and Disposition** | Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer. |
| **F0080** | **Agency Insurance Coverage Files** | This series documents the bonds or insurance coverage in effect within an agency for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). This is a commercial policy created upon request of an agency. The policy provides additional liability coverage that the agency elects to purchase. Liability protects the agency from an outside party electing to sue an agency. Types of liability coverage include professional liability, business income (interruption), boiler and machinery, auto, aviation, crime (against employee dishonesty, disappearance, destruction, forgery, or theft), or marine, among others. Bonds are required by office holders for at least the minimum periods reflected in KRS 62.160 to protect the agency against losses brought about by the misconduct or mishandling of affairs of the officer for whom the bond is executed, or because of an unwise decision in the performance of his duties that causes the state to be out an expense. KRS 62.160 identifies the minimum sum of bonds of state officers as determined by the governor (excludes the Governor, Lt. Governor). |
| | **Contents** | Series contains: Copy of policy; amount of coverage/bond; premium; policy terms; agent and insurance company; expiration date; correspondence |
| | **Retention and Disposition** | Destroy eight (8) years after term of ownership ends or audit, whichever is longer. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| F0081 | **Monthly Report Permanently Assigned Vehicles Form** | This series documents the usage of vehicles, which are permanently assigned to agencies. It is used to track mileage, minor maintenance, and purchases made with the credit card assigned to the vehicle. |
| | **Contents** | Series contains: Department; division; branch; location assigned; vehicle number; type of vehicle; and primary driver |
| | **Retention and Disposition** | Destroy after three (3) years or audit, whichever is longer. |
| F0082 | **Vendor File - Agency Copy** | This series documents information on each vendor doing business with state government. It is completed in the enhanced Management Administrative Reporting System (eMARS) by the processing agency to add a vendor to Commonwealth's Vendor file or to change data on an existing vendor. Before Vendors are activated, they must be approved by the Office of the Controller. The record is also used to place a vendor on hold until more information is received and the vendor is approved. If a vendor does not appear in the Vendor File, checks are not issued to that vendor. |
| | **Contents** | Series contains: Vendor/Customer Creation and Vendor/Customer Modification Materials; Vendor/Customer Code; alias/DBA; location; organization type; vendor's/customer's legal name; company/organization name; classification; Taxpayer ID Number (TIN); TIN type; Vendor's Procurement Card Merchant ID; disbursement options; Prenote/EFT information for electronic payment; Address type and other contact information; business type; certification information; commodity information; vendor status information; 1099 type report. |
| | **Retention and Disposition** | Retain for six (6) months, then destroy. |
| F0085 | **enhanced Management Administrative Reporting System (eMARS) Supporting Documentation File** | This series documents the supporting records (print screens) related to the pre-audit functions on eMARS (enhanced Management Administrative Reporting System) transactions. These records are created for internal verification, validation, and reference purposes and are duplications of information captured electronically in the system. The pre-audit function provides agencies with the authority to make approvals on transactions utilizing agency appropriations and requires agencies to monitor transactions entered into the system to verify that they accurately reflect agency activity. Participating agencies are guided by a Pre-Audit Delegation Agreement executed between the agency head and the Secretary of the Finance and Administration Cabinet. Only agencies that do not have the technical capability for electronic workflow are exempted from the pre-audit delegation. Previously, many transactions required some form of central approval from the Division of Statewide Accounting, Finance and Administration Cabinet, or the Governor's Office for Policy and Management; with pre-audit delegation that is no longer required. Pre-audit delegation requires agency approval for transactions that were previously routed to the Finance and Administration Cabinet. eMARS is an enterprise-wide system that is designed to, among other things, reduce duplicate data entry and reconciliation between systems. Business functions affected by eMARS include procurement, cash receipts, accounts payable, accounts receivable, intra-governmental transactions, and budget preparation. |
| | **Contents** | Series is made up of screen prints of the various eMARS input screens and printouts of eMARS forms and reports. This may include: Journal voucher correction; internal vouchers; inter-account billing information; personal services contract information; travel authorization; manual warrant; payroll distribution summaries; close-out reports; monthly detail of expenditures; budget/expenditure reports by category; purchase information; receiving reports; and imprest cash records. The listing of contents is not comprehensive as there could be any number of supporting documents that could be a part of this manual file. |
| | **Retention and Disposition** | Destroy after three (3) years or audit, whichever is longer. |
| F0099 | **Agency Appropriation Adjustment Request Memoranda** | This series documents the formal request submitted by state agencies through the Governor's Office for Policy and Management to the Legislative Research Commission for an adjustment of an appropriation enacted by the General Assembly. The original is received by the Governor's Office for Policy and Management and is forwarded by that office to the Legislative Research Commission. Financial data documenting the increase is maintained in the Kentucky Budgeting System. |
| | **Contents** | Series contains: Date of request; agency name; fund name and number; amount of request; justification for request; source of funding. |
| | **Retention and Disposition** | Retain two (2) years in agency. Transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years or after audit, whichever is longer. |
| F0109 | **Deed File** | This series documents the purchase of property by the state for ownership. A deed is a legal instrument containing the transfer or contract for the purchase of land or property. Per KRS 56.020(1), the Secretary of State has custody of all deeds of land or buildings owned for governmental purposes by the state except deeds to rights-of-way for state or federal roads. |
| | **Contents** | Series may contain title report, copy of deed or quitclaim deed, witness, certificate of acknowledgement, plat. |
| | **Retention and Disposition** | Retain permanently in agency. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| F0111 | **Agency Grant Project File - Federal and State** | This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant draw down requests submitted by agencies to grantors requesting an electronic transfer of grant funds; and grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies. |
| | **Contents** | Series includes: grant applications and supporting documentation; authorization records; draw down records; periodic and summary financial and activity reports. |
| | **Retention and Disposition** | Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years after end of project or after audit, whichever is longer. Agencies should pay particular attention to Federal audit requirements, as these are often not met in a timely fashion by the auditing entity. |
| F0112 | **Investment Record File** | This series documents the investments made by agencies and includes: broker confirmations, which are investment broker issued confirmations of the receipt and execution of orders to buy and sell investments; broker statements, which are periodic summaries of investment activities provided by investment brokers; and investment trade tickets, which are copies of orders to buy and sell investment securities issued to investment brokers. |
| | **Contents** | Series includes: authorizations to acquire investments; broker confirmations; broker statements; investment trade tickets. |
| | **Retention and Disposition** | Destroy eight (8) years after the term of investment ends, and audit. |
| F0130 | **Tax Exemption Authorization File** | This series documents the authorization for sales and use tax exemption, per KRS 139.470(7), issued to state agencies by the Revenue Cabinet. This exemption applies only to purchases of tangible personal property, digital property, or services for use solely in the government function. A purchaser not qualifying as a governmental agency or unit is not entitled to the exemption even though the purchaser may be the recipient of public funds or grants. |
| | **Contents** | Series may contain: Authorization exemption letter; Application for Purchase Exemption Sales and Use Tax; Purchase Exemption Certificate. |
| | **Retention and Disposition** | Retain permanently in agency. |
| F0140 | **Data Transfer Files** | This series documents the transfer of financial data between a state agency's electronic system and the eMARS Advantage Financial accounting system. The series is made up of various templates, available through eMARS, into which state agency personnel enter data. That data is then uploaded into the eMARS system, allowing agencies to remain current in their accounting and reporting. These templates allow the user to enter data into eMARS in bulk rather than having to enter it one transaction at a time. These files are mainly used with the Checkwriter system, though they are used with other programs. The templates employ eXtensible Markup Language (XML), which facilitates the transfer of information from one computer system to another. |
| | **Contents** | May include: Header information; vendor name; other accounting information. |
| | **Retention and Disposition** | Destroy after completion of audit for the fiscal year in which the file is created. |
| F0141 | **Accounts Receivable Records** | This record series is used to document various monies received by state agencies in the conduct of business. These records are filed according to fund/account and are maintained to document all income from all sources. Information documenting these transactions is maintained in the eMARS System. |
| | **Contents** | Series covers all records related to monies received, including but not limited to: Memorandum to Establish/Delete Accounts; Sales Receipt/Cash Register Tape/Sales, Ticket/Sales Slip/Invoice, Agency-to-Agency Sales File; Request and Authorization for Refund; Loss Claim File; Inter-Account Bill; Request for Delivery on Contract; Accounts Receivable/ Revenue/Fees - Adjustment/Write Off File; Agency Price Lists/Catalogs for Agency Sales File; Bills of Sale; Credit Memoranda; Customer Order/Remittance Forms File; Daily Remittance Lists/Cash Receipt Log; Legal Claim File; License Fee Documentation File; Project/Grant Indirect Cost Charges Record File; retail sales-related inventories. |
| | **Retention and Disposition** | Destroy eight (8) years after transaction, end of contract or end of liability, or after audit, whichever is longest. Destroy Legal Claim Files eight (8) years after settlement closure. |
| F0142 | **Procurement Records** | This series documents all procurement activities by state agencies, but not payment. Payment by state agencies is covered under Series F0143, Accounts Payable Records. |
| | **Contents** | Series covers all records related to procurement, though not payment for, goods and services by state agencies. This includes but is not limited to: Agency Request for Quotation; Proof of Necessity; Bid Score Sheet File; Name and Address Entry/Change Record File; Packing Slips; Sealed Bid Solicitation Record File; Special Purchase Authority Approval File; Vendor Complaint File; Vendor Proposal/Price Quote File; Vendor Order Form for Goods or Services; Vendor Price Lists/Sales Catalogs. |
| | **Retention and Disposition** | Destroy eight (8) years after expiration of authority to purchase; date of transaction; termination or award of contract; or after audit; whichever is longest. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **F0143** | **Accounts Payable Records** | This series documents the payment of expenses and liabilities by state agencies, once the procurement process has been completed and a vendor has been selected. Procurement records are covered by Series F0142. |
| | **Contents** | Series includes all materials documenting accounts payable, including but not limited to: Memorandum to Establish/Delete Accounts; Departmental Authorization for Payment and Receiving Report; Warrants; Multi-Program Cost Distribution File; Inter-Account Bill; Request for Delivery on Contract; Central Stores Order and Voucher; Out-of-State Travel Authorization File; Travel Voucher File; Travel Report - Monthly; Receiving/Inspection Records; Order/Requisition - Stockroom Supplies; Warrant on State Treasury; Warrant - Voucher Register; Outstanding Encumbrance Report; Imprest/Petty Cash Records; Trip Ticket; Procurement Card Program Documentation File; Purchase Requisition/Order File; Voucher File; Journal Voucher Workpapers; Out-of-Country Travel Authorization File; Accounts Payable/Purchases - Adjustment File; Bills of Lading; Bills of Sale; Campaign Finance Law Affidavit File; Fiscal Agent Statement File; Warrant Fed Wire Transfer; Notes Payable; Lost Check Replacement Request File; Performance Bond Documentation File; Project/Grant Indirect Cost Charges Record File; Project/Grant Third Party Financial Report File; Shipping Order File; Transmittal Form File; Vendor Payment Offset Justification File; Vendor Sales Receipts/Sales Tickets/Invoices/Sales Slips; retail sales-related inventories. |
| | **Retention and Disposition** | Destroy eight (8) years after payment; termination of contract; end of project; end of liability; or after audit, whichever is longest. |
| **F0144** | **Capital Projects File** | This series documents the disbursement of funds for state agency capital construction projects under KRS 7A.010 (1). Under the terms of KRS 7A.100, the Capital Planning Advisory Board of the General Assembly prepares a state capital improvement plan and makes funding recommendations to each branch head as to state spending for capital projects. |
| | **Contents** | Series includes all records related to agency capital construction projects, including but not limited to: Capital Projects Progress Payment Report File; Capital Construction Contract File; Capital Construction Form SAS 5; and Capital Construction Specification File. |
| | **Retention and Disposition** | Destroy Specification File eight (8) years after term of ownership ends. Destroy other records eight (8) years after completion of project, or after audit, whichever is longer. |
| **F0145** | **Agency Property File** | This series documents a state agency's property assets in the form of equipment, office furnishings, etc. It is used to identify what equipment is currently held by a particular budget unit. Forms or listings are updated, generally, as changes occur, but at least yearly. The series includes the annual inventory, usually conducted toward the end of each fiscal year. New lists are created each fiscal year to reflect changes in the status of equipment. These supersede the previous year's lists. According to KRS 45.313, each budget unit shall maintain a current inventory of equipment having an original cost of $500.00 or more. The inventory must be available for inspection by the Finance and Administration Cabinet at all times. This series also includes agency inventories of property valued at less than $500.00 |
| | **Contents** | Series includes, but is not limited to: Loss Claim File; Central Stores Requisition; Central Stores Order and Voucher; Equipment Inventory; Order/ Requisition - Stockroom Supplies; Fixed Asset Donated/Confiscated Acquisition File; All Fixed Asset Inventory Listings; Fixed Asset Lost/Stolen Property File; Appraisals/Fair Market Documentation File; Property Condemnation Record File; Title File; and Warranty Record File. |
| | **Retention and Disposition** | Destroy eight (8) years after end of state ownership of property or audit, whichever is longer. Destroy Warranty Records three (3) years after end of warranty period. |
| **F0146** | **Agency Surplus Property File** | This series documents state agency disposal or transfer of property that has been identified as surplus or below the requirement for what is needed to provide effective service in a particular agency. State agencies work through the Finance and Administration Cabinet, Division of Surplus Property to dispose of surplus property. Alternatively, authority to dispose of surpluses property may be delegated to an agency head by the Secretary of the Finance and Administration Cabinet. State-owned surplus property must be disposed of according to applicable Finance and Administration Cabinet policies and procedures. |
| | **Contents** | Series includes but is not limited to: Request for Disposal of Equipment; State Owned Personal Property Declared Surplus Form; Fixed Asset Transfer File; and Surplus Property Delegation File; Listings of Surplus Property Dispositions. |
| | **Retention and Disposition** | Retain current delegated surplus property authority, destroy all others when superseded. Destroy other records eight (8) years after termination of property ownership or audit, whichever is longer. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0001** | **Official Correspondence/ Messages (May be in paper or electronic format)** | This series documents the major activities, organizational functions, history and programs of an agency and the events involving the formulation, evolution, and ultimate announcement of agency policy. Official correspondence is typically created by the upper-level administrative staff of an agency (director or above), or the general counsel. It can be in paper or electronic form. |
| | **Contents** | Official correspondence is incoming and outgoing correspondence that may consist of: letters, notes, memoranda, directives, policy statements, and other information commonly found in the body of an e-mail message and/or any attachments to the message. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. |
| | **Retention and Disposition** | Retain permanently. Transfer to the State Archives Center when administrative value has ceased. |
| **M0002** | **Routine Correspondence/ Messages (May be in paper or electronic format)** | This series documents general work activities related to administration of the functions, programs and policies of a state agency. Routine Correspondence documents day-to-day activities, including but not limited to: customer/constituent service, procurement, or internal communication. It can be in paper or electronic format. This series does not cover constituent services in the Governor's Office, which is covered under Series 04347, Governor's Official Correspondence File. |
| | **Contents** | Routine correspondence is incoming and outgoing correspondence that may consist of: letters, notes, postcards, memoranda, announcements, or information commonly found in the body of e-mail messages and/or any attachments. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Routine correspondence does not include: non-business related messages, spam and junk mail. |
| | **Retention and Disposition** | Retain no longer than two (2) years. |
| **M0050** | **Non Business-Related Correspondence/ Messages** | This series represents email and other correspondence that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: Spam and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related e-mail, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the state's e-mail and Internet acceptable use policy (see CIO-060, Internet and Electronic Mail Acceptable Use Policy). Given the nature of e-mail, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence. |
| | **Contents** | Non-business related correspondence is incoming and outgoing correspondence that may consist of: Personal messages - All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (See “Internet and Electronic Mail Acceptable Use Policy, CIO-060”)<br>Spam is the term for electronic junk mail. It is completely unsolicited and unwanted. Spam mail can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations.<br>Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related e-mail from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc. |
| | **Retention and Disposition** | Delete or destroy all non-business related correspondence/messages immediately. Agencies are encouraged to train all employees with e-mail access to use the system properly for work-related activities and to remove all non-business-related records immediately. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0053** | **Electronic Messages** | This series encompasses any communication using an electronic messaging system for the conduct of agency business. Electronic messaging systems manage and facilitate the sending and receiving of electronic messages with associated attachments and may also allow for calendaring and scheduling of appointments. These systems have become an increasingly important and common communication tool for public agencies. Unified messaging systems allow for a common user in-box for email, voicemail, and text messages allowing users to manage all three from a single point. Use of mobile technologies such as RIM's Blackberry, Personal Digital Assistants (PDA), and web-enabled cell phones enable users to access messages outside of the office setting. Electronic messaging systems such as a listserv alllow for broad distriubution of messages sent to a single address to multiple receipients. With the ability to attach files to electronic messages, electronic messaging systems have transitioned from simple messaging systems to repositories of public records. Most electronic messages have very limited value and can be deleted immediately upon receipt, but some document agency functions and provide evidence of agency business. The dynamic and often informal nature of electronic messages, coupled with the ease with which electronic messages can be sent and received, can lead to personal and other non-business related messages being mixed with business related messages. Electronic messages should be managed and retained in a manner that protects the integrity of the records and allows for the efficient management of the records over the prescribed retention period. |
| | **Contents** | Electronic messages are any message sent or received by an electronic messaging system. Electronic messages may be in the form of electronic mail (email); text messages (such as on a Blackberry or other portable device); voicemail messages (in a voicemail box on a phone, or as an audio file in a unified messaging environment); or faxed messages (faxes are electronically transmitted with a paper output, or may be maintained electronically as an electonic fax.) In addition to the body of the message, text-based messaging systems (email, text messages, faxes and voicemail through a unified system) contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Email messages may also include attached files. |
| | **Retention and Disposition** | Electronic messaging systems are a form of communication. The messages found in these systems can be any type of record. Identify what type of record the message is and delete after the expiration of the retention period authorized in an approved records retention schedule. |
| **M0003** | **Policies and Procedures** | This series provides a framework for the management of agencies and the administration of programs. Policies and procedures are developed to help agencies manage their programs and to assist staff in their administration. Policies derive from the authority of the agency, as established by the laws under which it operates. They are an authoritative communication that sets a definite course or method of action. Policies guide and help determine present and future decisions. Procedures reflect the steps resulting from policies to be followed in providing services or activities. |
| | **Contents** | Series may contain but is not limited to: Year; date; department; division; branch; organization chart; index; introduction; mission statements; policy statements; responsibilities of division; services; program objectives; employee requirements; procedural actions; glossary of terms; sample forms; disaster or emergency plans. |
| | **Retention and Disposition** | Retain (1) one copy of each version of a policy permanently in the agency of origin. Copies in addition to the official copy may be destroyed when superseded. |
| **M0005** | **Administrative Orders** | This series documents the directives issued by the chief administrative officer or executive officer within an agency. Orders designate that certain actions are to occur. The orders give direction on various policy issues that may be either internal or external to the agency. |
| | **Contents** | Series may contain: Date of order; order number; agency head; action taken. |
| | **Retention and Disposition** | Retain (1) one copy permanently in the agency of origin. Copies in addition to the official copy may be destroyed when no longer needed. |
| **M0007** | **Publications Created By or For Agency** | This series consists of any publication produced for general public distribution, regardless of format, that documents agency history, agency-related functions or agency activities. It does not include materials issued for internal administrative use, such as manuals of operation. Publications contain important facts and statistics about the operation of the agency and its policies. They provide information, often in summarized form, which aids in understanding the history or administrative functioning of an agency. |
| | **Contents** | Series contains publications and reports. |
| | **Retention and Disposition** | Retain one (1) official copy of all publications permanently in agency. Forward three (3) copies of publications issued in paper to the Department for Libraries and Archives when issued; or forward one (1) copy of publications held in electronic format or issued for general public distribution on the agency's web site. Copies in addition to the official copy may be destroyed when no longer needed. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0008** | **Minutes of Meetings** | This series documents the official record of proceedings of meetings. It provides information about the activities of the entity, the actions it took in regard to the issues brought before it, and the decisions rendered. Minutes of meetings constitute adequate and proper documentation of essential agency transactions and organizational functions, as required in KRS 171.640. Boards, commissions, councils, task forces, etc, which were established by statute or executive order, or those entities which establish or administer policy are examples for which minutes should be created. |
| | **Contents** | Series contains: Date of meeting; time of meeting; location of meeting; name of board members or authorized proxies present; identification of those not present; decisions rendered; issues discussed; record of votes. May also include agendas and materials distributed for discussion and approval |
| | **Retention and Disposition** | Retain one (1) copy permanently in the agency. Forward one (1) copy to the State Archives Center after each set of minutes has been approved. Copies in addition to the official copy may be destroyed when no longer needed. |
| **M0009** | **Minutes - Agency Staff Meetings** | This series documents the record of proceedings of internal meetings. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas. |
| | **Contents** | Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable |
| | **Retention and Disposition** | Retain three (3) years then destroy. |
| **M0010** | **Speeches by Administrative Heads** | This series documents the public addresses to assemblies by administrative heads. It includes the text and/or recording of speeches given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency. |
| | **Contents** | Series contains: Date; duration; location; administrative head; text of speech |
| | **Retention and Disposition** | Retain permanently in agency. |
| **M0011** | **Organizational Charts** | This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within the agency and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time. |
| | **Contents** | Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities |
| | **Retention and Disposition** | Retain (1) one copy of each revision permanently in the agency of origin. |
| **M0014** | **Mission Statements** | This series documents the fundamental and global reason for the existence of a state agency. A mission is brief, clear and broad enough to allow flexibility in implementation. The series is a means by which managers and others can make decisions both internally and externally. It reflects the values, beliefs, philosophy, and culture of an organization. |
| | **Contents** | Series contains: Date; agency identification; text |
| | **Retention and Disposition** | Retain (1) one copy of each revision permanently in the agency of origin. |
| **M0016** | **Request to Inspect Public Records (includes responses to those requests)** | This series documents requests to inspect, research, or review public records created, used or maintained by a public agency. In 1976, the General Assembly enacted the Open Records Act, KRS 61.870 to 61.884, which established a right of access to public records. All public records, regardless of format, must be open for inspection unless the records are exempted by one or more of the exemptions found in KRS 61.878, or are specifically exempted by another statute. All public agencies are required to make nonexempt public records available to any requester, and to provide suitable facilities for the exercise of the right of inspection. This series also includes the agency's responses to open records requests. |
| | **Contents** | Series may contain: Name of agency; date; records requested to inspect; number of copies of each document; cost; signature of requestor, company, address, phone; disposition of the request; signature of custodian, name of agency, amount received, date. |
| | **Retention and Disposition** | Retain three (3) years then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| M0017 | **Open Records Register** | This series documents the individuals who have requested to inspect public records of an agency and the records they requested. It provides a reference point should agencies need to review the number and type of records requested, as well as who requested them. |
| | **Contents** | Series may contain: administrative unit; date of inspection; name of person inspecting records; agency or group affiliated with; address of person |
| | **Retention and Disposition** | Retain five (5) years then destroy. |
| M0018 | **Informational and Reference Material (Does not apply to correspondence)** | This series documents materials of a non-technical or technical nature which may aid in or support the conduct of official agency business, but which are not critical to continued operations. This series may also include material used in the professional enhancement of agency employees or duplicate copies of material maintained for solely for reference purposes by the agency or individual employees. Informational and reference material may appear in paper or electronic format and may be as formal as a publication or brochure (usually external to the agency) or as informal as a news clipping. Records in this series may be destroyed when they become obsolete or no longer useful to the agency. This series should not be applied to correspondence. (See Series M0001, Official Correspondence; Series M0002, Routine Correspondence; and Series M0050, Nonbusiness Related Correspondence.) |
| | **Contents** | Informational and reference material may include published and/or non-published material (usually external to the agency) such as: Periodicals; books; brochures; reports; some logs and other tracking tools; professional literature not related to day-to-day activities; and duplicate copies of other records retained for reference purposes only. This series does not include correspondence (See Series M0002, Routine Correspondence). |
| | **Retention and Disposition** | Destroy when no longer needed. |
| M0019 | **Legislative File** | This series documents a working file which may be a review of actions taken by the General Assembly. It is maintained by agency officials to allow for available reference of legislative activity which relates to specific programs. The series may also contain information tracking proposed legislation, proposed administrative regulations from agencies, or changes brought before the General Assembly. |
| | **Contents** | Series may contain: Date of session; proposed legislative actions. |
| | **Retention and Disposition** | Destroy when no longer needed. |
| M0021 | **Itinerary File** | This series documents the schedules and/or travel plans for agency heads and other state agency personnel. The purpose of an itinerary is to advise others, often including the press, of the date, time, place, and purpose of an activity. Many itineraries are created days, weeks, or months in advance so that interested parties can monitor external activities of the administrator. An agency head is defined in KRS 13B.010(4) as "the individual or collegial body in an agency that is responsible for entry of a final order." |
| | **Contents** | Series contains: Department; name of administrator; date; week or month of itinerary; list of destinations and organizations; dates and times of travel; topics of remarks; activities |
| | **Retention and Disposition** | Retain itineraries of agency heads until two (2) months after they leave office, then destroy. Retain itineraries of all other personnel two (2) months, then destroy. |
| M0022 | **Annual or Summary Reports** | This series functions as a comprehensive summary of agency activities, services, and results of the past year. Staff report initiatives, objectives, changes in responsibilities, or accomplishments to convey the mission of the agency. Summary reports condense the main points of programs or projects in the agency. The reports are usually published and are for general public distribution. The series provides essential and adequate documentation of agency transactions (KRS 171.640) and, as such, is crucial to an understanding of the administrative history of an organization. |
| | **Contents** | Series may contain: Date; statement from chief administrative officer; programs administered; who was served; photographs; staff support; program accomplishments with comparison to previous years; financial information; project statistics; supporting materials |
| | **Retention and Disposition** | Retain one (1) official copy of all annual or summary reports permanently in agency. Forward three (3) copies of reports issued in paper to the Department for Libraries and Archives when issued; or forward one (1) copy of reports held in electronic format or issued for general public distribution on the agency's web site. Copies in addition to the official copy may be destroyed when no longer needed. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0029** | **Activity Report** | This series documents a periodic summary of activities and operations at all levels of administration within an agency. Activity reports may be used by the agency to compile annual or other reports and document results of programs at regular intervals. |
| | **Contents** | Series may contain: Date; addressee; administrative unit; activities; statistical information |
| | **Retention and Disposition** | Retain two (2) years then destroy. |
| **M0032** | **State Records Retention Schedule (Duplicate - original retained by the Public Records Division)** | This series documents the basis for an agency's records management program. A records retention schedule identifies the records that are created and maintained by an agency. It provides the minimum timeframes the records must be retained and includes instructions for their disposition. When approved by the State Archives and Records Commission (KRS 171.420), the schedule becomes binding upon the agency and provides clear legal authority to destroy public records. In addition, the schedule identifies records that are vital to the continued operations of an agency and those whose access is restricted by law or regulation. It is the primary tool for an agency's management of its records. A schedule is inclusive of all records that are specific to an agency and provides accountability for their creation and maintenance. In the absence of an approved schedule, the agency does not have the legal authority to destroy public records and can incur liabilities if it does. |
| | **Contents** | Series contains: Agency name; schedule date; signature page; record status-indefinite, permanent, vital, confidential, or electronic; record title and description; series number; retention period at agency; retention period at the State Archives or State Records Center; disposition |
| | **Retention and Disposition** | Maintain current version of the schedule in agency. Destroy when superseded and when no longer needed by the agency. |
| **M0033** | **Records Transmittal File - Permanent records (Agency locator copy) (Duplicate - original retained by the Public Records Division)** | This series documents the transfer of custody of records of continuing or historical value from the creating agency to the Department for Libraries and Archives, as provided for in the agency's approved records retention schedule. The transmittal is completed by the agency's records officer and specifies the records that are being transferred by series number, title and date span. It provides the agency with an index to the records that have been transferred and provides specific information as to the location of the records in the State Archives Center, should their retrieval be necessary. Unless restricted, records housed in the State Archives are available for research by the public, through the Archives Research Room. |
| | **Contents** | Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent; destruction date (none); accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of record; date span of record; access restricted/statute; signature/date of records officer; continuation page (if applicable). May include inventory of contents or box lists. |
| | **Retention and Disposition** | Retain permanently in agency. |
| **M0034** | **Records Transmittal File - Non-permanent records (Agency locator copy) (Duplicate - original retained by the Public Records Division)** | This series documents the transfer of custody of records of non-permanent records from the creating agency to the State Records Center, Department for Libraries and Archives, as provided for in the agency's approved records retention schedule. The transmittal is completed by the agency's records officer and specifies the records that are being transferred by series number, title and date span. It provides the agency with an index to the records that have been transferred and provides specific information as to the location of the records in the State Records Center. Records that are transferred to the State Records Center are generally administrative in nature and are still needed for the conduct of agency business. Information from the locator copy of the transmittal is essential when requests to return records to agencies are made. |
| | **Contents** | Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent/yes or no; destruction date; accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of records; date span of records; access restricted/statute; signature/date of records officer; continuation page (if applicable). May include inventory of contents or box lists. |
| | **Retention and Disposition** | Destroy one (1) year after the destruction of the records specified on the records transmittal. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0035** | **Microfilm Quality Evaluation Form (Duplicate - original retained by the Public Records Division)** | This series documents the quality control process used to determine whether microfilm produced either by the Public Records Division, private certified vendors, or state and local government agencies has met quality control requirements and archival standards as set forth by the Department for Libraries and Archives. The form provides for the destruction of the hard copy records, providing all requirements and standards have been met. It is used to advise agencies that the records can be destroyed or that they must be retained, due to the film not having met all requirements. If the film passes all requirements and the hard copy is destroyed, it then becomes the original record and is used in lieu of the paper records. The silver master of all film where the retention of the record is seven years or greater must be stored in the Division's vault, as security backup to the records. |
| | **Contents** | Series contains: Agency; unit; date; roll number; schedule date; series number; title of records on schedule; inclusive dates; test roll number; density; resolution; reduction ratio; targets; security copy stored at Public Records Division; tested by; date; records destruction approved/disapproved; signature of agency records officer; signature of State Archivist; comments |
| | **Retention and Disposition** | Retain permanently in agency. |
| **M0040** | **Records Destruction Certificate File (Duplicate - original retained by the Public Records Division)** | This series documents that destruction of records has been carried out by state and local government agencies, in accordance with approved records retention schedules. The series identifies the records being destroyed, the date span and amount, usually expressed in cubic feet, and the method of destruction. Records officers are responsible for ensuring that destruction requirements established by the Department are appropriately carried out by their agencies. The series documents that retention schedules are being implemented and that records that have ceased to have value are disposed of. The timely destruction of records whose retention periods have been met result in a savings to government. Agencies can incur liabilities if records are destroyed that have not had a retention period approved for them by the State Archives and Records Commission. |
| | **Contents** | Series contains: Planned destruction date; administrative units; schedule date; date of destruction; accession number; series number; title; security microfilm; confidential records; date span; cubic feet/rolls; unit number; location at state facility; signature of records officer |
| | **Retention and Disposition** | Retain permanently in agency. |
| **M0042** | **Special Studies and Reports** | This series documents unpublished compilations of information related to agency activities or events. The studies or reports contain important facts and statistics about the organization, policies and operations of an agency. Information from the series can aid in long range planning by the agency. |
| | **Contents** | Series may contain: Date of report; administrative unit; authors; title; purpose of study; summary; recommendations; appendices; definitions; table of contents; text; associated publications; bibliography |
| | **Retention and Disposition** | Retain one (1) official copy of all special studies and reports permanently in agency. Transfer one (1) copy to the State Archives Center after completion. Copies in addition to the official copy may be destroyed when no longer needed. |
| **M0045** | **Press Releases** | This series represents the official release of information to the media informing the public of agency events and actions. The events or actions may be of special interest to the general public. |
| | **Contents** | Series contains: Agency name; date; phone number; contact person; lead; dateline; page number; description of information released |
| | **Retention and Disposition** | Retain permanently unless transferred to the Governor's Office or another agency for permanent retention. If a copy of the press release is transferred, retain for two (2) years, then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **M0046** | **Audio/Video Recordings - State Agency Activities (Does not include records scheduled according to content such as audio or video recordings of meetings, which are used to create meeting minutes. See Series M0049, Recordings of Meetings.)** | This series documents state agency activities and functions in audio or video format. Such activities may document the administrative functioning of an agency, its programs, operations and training. Information in this format (if determined to be archival), often replaces or supplements more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in these formats, agency personnel should properly identify the event being recorded and the participants. Additionally, each recording should be titled and properly dated and maintained in its original order, to facilitate transfer to the State Archives, where appropriate. This series does not include records scheduled according to content, such as Series M0049, Recordings of Meetings. Series M0049 includes audio or video recordings of meetings, which are used to create meeting minutes. |
| | **Contents** | Series contains: Audio or video recordings; may also contain: events, date, scripts, contracts, releases, finding aids |
| | **Retention and Disposition** | Transfer to the State Archives Center when administrative value has ceased. For recordings that have been uploaded to social media sites, original or source recordings should be transferred. NOTE: All recordings should be transferred. The State Archivist will determine which recordings will be retained permanently. |
| **M0047** | **Photographic File - State Agency Activities** | This series documents state agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants. |
| | **Contents** | Series contains: Photographs and accompanying explanatory materials and finding aids. |
| | **Retention and Disposition** | Transfer to the State Archives Center when administrative value has ceased. NOTE: All photographs should be transferred. The State Archivist will determine which images will be retained permanently. |
| **M0049** | **Recordings of Meetings (V)** | This series documents the mechanical recording of meetings of boards, commissions, task forces that were established by statute or executive order, or other entities that establish or administer policy, and from which minutes of the meetings are prepared. |
| | **Contents** | Series contains recordings in either audio or video format |
| | **Retention and Disposition** | Destroy thirty (30) days after minutes have been transcribed and approved, unless challenged. If minutes are challenged, recordings should be retained until final resolution. |
| **M0051** | **Maps** | This series represents maps, intended for public distribution, which consist of images and/or data plotted to show geographic points at which various objects, incidents or phenomena occur across the Commonwealth. Examples of these include highways, topographical or geological features, recreational trails, stockyards or public hunting areas in Kentucky. These maps may be printed and maintained in paper or maintained in electronic format. Electronic maps may be static images or dynamic packages produced by a Geographic Information System (GIS). Some of this information is made available through the KYGEONET, Kentucky's enterprise geographic information system. The KYGEONET is Series 05431, scheduled under the Division of Geographic Information. |
| | **Contents** | Series contains: spatial coordinates; plotted images and/or data. May contain: appropriate metadata |
| | **Retention and Disposition** | Retain permanently. Agencies should capture one (1) copy of static maps or take periodic snapshots of GIS data not captured in the KYGEONET. Data should be updated when superseded. To help determine rate and methods of capture, please contact Public Records Division staff. Duplicate copies and copies made for internal reference may be destroyed when no longer needed. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| M0052 | **Surveillance Video/Audio Recordings** | This record series is used to document the activities in public areas of state government facilities. State agencies may contract with private companies to provide surveillance services, in which case the agency would still be responsible for maintaining the recordings. The cameras usually run 24 hours a day and record all activities in specific areas. These cameras or recording devices may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, state government offices and anywhere the public has access. These recordings are used as a security measure in the identification of persons who cause disturbances or violate laws. This series does not apply to inmate intake or booking videos at law enforcement or correctional facilities. |
| | **Contents** | Video of a certain area of the facility or the outside of the facility. |
| | **Retention and Disposition** | Destroy or re-use after seven (7) days. If any investigation, litigation, or open records request involving these recordings is taking place or is pending, the recordings should be maintained until all investigative or legal activity is completed. |
| M0054 | **Title VI Complaint File** | This series documents complaints brought under Title VI of the Civil Rights Act of 1964. These are complaints against agencies by individuals who believe that, because of race, color or national origin, they have been excluded from participation in, denied the benefits of, or subjected to discrimination under, any program that receives federal financial assistance. Complaints may be brought directly to the agency or to the office of civil rights at the federal agency that provided the financial assistance. Federal complaints under Title VI must be filed no later than 180 calendar days after the alleged discrimination occurred. |
| | **Contents** | Series contains: Initial complaint Form; Appeal Form; supporting documentation; investigative notes, findings and determinations by responding supervisors; any documents, recordings, or other information presented by any party involved in investigation and/or resolution of the complaint. |
| | **Retention and Disposition** | Retain complaints that result in official personnel actions for seventy (70) years, then destroy. Retain all other complaints until ten (10) years after complaint is resolved, or ten (10) years after all litigation is completed, whichever is longest, then destroy. |
| M0055 | **Agency-Conducted Training Files** | This series documents the content of formal, systematic training conducted by state government agency personnel for state or local government agencies. This training may be presented in-house or to other government agencies. It entails stand-alone workshops or training presented at conferences. Examples of training include instruction on complying with statutes or regulations; following policies and procedures; and using the agencies services or programs. Training sessions may be offered for professional credit, such as continuing legal education. This series includes records of training provided as information or best practice for the benefit of government agency personnel and not pursuant to a statutory or regulatory mandate. The series does not include presentations to the general public or community groups, speeches by administrative heads or less formal or systematic sessions. |
| | **Contents** | Series includes: Course content (presentations, handouts); requirement or certification documentation and agreements; lists of attendees. All of this material may not be produced for every training session. |
| | **Retention and Disposition** | Retain for two (2) years after the most recent completion of a training program, then destroy. If there are significant updates to the substantive content of the training, retain until two (2) years after update, then destroy. |
| M0056 | **Personal Information Security Breach Investigation/Notification File** | This series documents an agency's investigation in to a breach of sensitive information it collects, stores, or maintains. Effective January 1, 2015, KRS 61.933 requires state agencies that are notified of or determine that a breach has occurred in security relating to personal information they collect, maintain, or store, to begin a reasonable and prompt investigation within no later than seventy-two (72) hours of discovery or notification of the breach. If the agency determines that a security breach has occurred and that the misuse of personal information has occurred or is reasonably likely to occur, it must notify certain state officers and affected parties within timeframes established by the statute. If the agency determines that the misuse of personal information has not occurred and is not likely to occur, the agency does not have to give notice, but must maintain records that reflect the basis for its decision. The requirements of KRS 61.933 also apply if non-affiliated third parties collect, receive, maintain, or store personal information for state agencies. |
| | **Contents** | Series may contain: Related contracts or agreements; related correspondence/notices; any records that reflect the basis for the decision of the investigation; related reports from non-affiliated third parties. |
| | **Retention and Disposition** | Retain until five (5) years after conclusion of investigation or any notifications, whichever is longer, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| M0057 | **Special Open Meeting Notification Request** | This series represents written requests from media organizations to receive notice of special open meetings, and requests from agency members and media organizations to receive notice by e-mail. KRS 61.823 establishes notification requirements for special meetings of public agencies. The agency must deliver written notice personally, by fax, or by mail. Public agencies are statutorily required to provide written notice to agency members. Media organizations must file a written request, including a mailing address, to receive notice of special meetings. Agency members and media organizations may file a written request with the public agency indicating a preference to receive e-mail notification in lieu of faxed, mailed, or personally delivered written notice of special meetings. These written requests must include the e-mail address or addresses of the agency member or media organization. |
| | **Contents** | Series includes name, address, e-mail address and/or fax number of the public agency or media organization; request to receive notification of special meetings; request to receive notification of special meeting via e-mail. |
| | **Retention and Disposition** | Retain until request is superseded or not needed, then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0001** | **Personnel Folder -- Agency Copy** | This series documents the employment history of each individual employee. This series may be used to verify dates of employment, salary, and positions held; to determine eligibility for promotions, reclassification, or awards; tuition assistance; training; and to review personnel actions throughout an employee's career with the Commonwealth. The personnel file is an open record with exceptions supported by KRS 61.878. These exceptions include, but are not limited to, an employee's resume, test score(s), social security number, transcript(s), military record, home address and phone number(s). This file may contain payroll information or agencies may maintain a separate employee payroll file. This series also applies to personnel files for state employees processed outside the standard personnel or payroll system. |
| | **Contents** | Per KRS 18A.020, this series includes employee name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, layoffs, transfers, disciplinary actions (as well as any employee written statements provided in response to a disciplinary action), commendations, awards, and preliminary and other supporting documentation for each action. Additionally, if an employee is reprimanded, a copy of the reprimand, as well as a copy of the employee's response (if provided) shall be stored in the agency personnel folder. The series may also include: orientation checklist, education/training verification, payroll deduction authorization, test scores, resume, military records correspondence, notice(s) of temporary assignment, and exempt/nonexempt form. The series should not include medical records, worker's compensation materials or grievances (unless the grievances support an employment action). |
| | **Retention and Disposition** | If an employee's master personnel file is maintained by a separate agency, destroy five (5) years after termination of employment. Should an employee transfer to another state agency, the Personnel Folder will transfer to the new agency. If an employee terminates employment with the state, but is rehired within five years, the Personnel Folder will be forwarded to the hiring agency. Termination is defined as "no longer an employee of state government." If an employee's master personnel file is not maintained by a separate agency, retain until fifty (50) years after most recent date of separation, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed. |
| **P0002** | **Personnel Record -- Division and/or Subunit Duplicate** | This series is the division or subunit duplicate of the personnel file, which is maintained as a working record while the employee is a current member of the staff. The official record is the agency file (P0001). These files are maintained at the discretion of the agency. |
| | **Contents** | Series may contain: Employment application; Copy of personnel actions; orientation checklist; letters of reprimand and/or disciplinary report; supervisory report; yearly evaluations; letters of achievement; content regarding employee performance; exempt/non-exempt form; qualifying classification; position description; service record; education authorization; test scores; resume; military records; related correspondence |
| | **Retention and Disposition** | Retain no longer than two (2) years after termination of employment in the division or subunit. Agencies should set a definite retention period for these files. |
| **P0003** | **Application File -- Non-Merit Positions** | This series documents applications submitted by job applicants for unclassified positions, that is, those not covered by the Merit System. |
| | **Contents** | Series may contain: completed state employment application form; non-merit information sheet; resume. |
| | **Retention and Disposition** | Destroy after three (3) years if applicant is not hired. NOTE: If hired, place in Personnel Folder (P0001). |
| **P0004** | **Merit System Registers** | This series documents a list of applicants who have made application to a position posted on the Personnel Cabinet's Career Opportunity System and certify by nominating themselves to the position that they meet the minimum requirements of the position. The list includes re-employment candidates; internal mobility candidates (current state employees); and, if the posting is "competitive," individuals outside of state government who have applied for the position. |
| | **Contents** | Series contains: requisition number; certification number; class title; number of vacancies; agency request number; indication of whether this is the second register after REMs; EEO data if included; candidate name; candidate type; ranking value; REM/STL months of service; veterans' preference; date generated. |
| | **Retention and Disposition** | Retain as part of Series P0039, Selection Process File -- Merit Positions. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0005** | **Annual Employee Performance Evaluation File** | This series is used to document employees' performance evaluations, as set out in KRS 18A.110(1)(1) and (7); and 101 KAR 280. The series consists of the performance plan developed for an employee by the first line supervisor with the assigned duties, supervisor's expectations related to those duties and the points assigned to each duty; the interim reviews; and the final evaluation scores. The interim reviews and any supporting documentation such as a Performance Improvement Plan are used to document the employee's performance throughout the year and to support the final rating. |
| | **Contents** | This series contains the performance evaluation form prescribed by the Personnel Cabinet and incorporated by reference in 101 KAR 2:180; and may also contain performance improvement plans, counseling notes, copies of commendations, and other supporting documentation relating to the performance evaluation. |
| | **Retention and Disposition** | Supervisor maintains the evaluation file for the current year until the final evaluation is completed. Then the evaluation process is complete, the evaluation and any supporting documentation is transferred to the employee's agency personnel file (Series P0001). |
| **P0009** | **Request for Refund on Payroll (Negative Manual Adjustment Form)** | This series documents instances in which an agency employee is overpaid or Worker's Compensation Buyback through UPPS upt o March 15, 2011 or through KHRIS beginning March 16, 2011. This series may ultimately become part of an employee's payroll file. |
| | **Contents** | Series Contains: Date; Agency Name; Organization Name; Organization Code; Payment Type; Checks made payable to; Check Number and date; Pay period; employee last name and initials; Employee ID number; Amount of gross pay; amounts and types of deductions; amount of net pay; Preparer's Signature, phone and date; and Authorized agency signature and date. |
| | **Retention and Disposition** | Retain in agency for three (3) years. Transfer to the State Records Center for five (5) years. Destroy after a total retention of eight (8) years and audit. |
| **P0011** | **Time and Attendance Report** | This series documents the time reported on a daily basis which is used to produce the salary of an employee during one pay period for work performed. Time and attendance reports also identify the leave time away from work that is charged to the employee. The paper or electronic timesheet and leave request forms (if leave was taken during the period) are signed by the supervisor and forwarded to the agency's personnel and payroll section, to be entered into CICS through March 15, 2011 and KHRIS from March 16, 2011 forward. |
| | **Contents** | Series contains: Pay period ending date; number of administrative unit; employee name; identification number, dates of activity; hours worked-regular hours, any overtime hours; type of leave - sick, compensatory, annual, family, without pay; leave totals; signature of employee; signature of supervisor |
| | **Retention and Disposition** | Retain in agency for three (3) years. Destroy after audit. |
| **P0013** | **Overtime Compensation Declaration** | This series documents a non-exempt employee's selection to receive compensatory leave for hours worked in excess of 40 hours per work week. The agency may retain these as part of the employee's payroll file. |
| | **Contents** | Series contains: Compensatory time designation; time and-one-half designation; employee signature; identification number; date signed |
| | **Retention and Disposition** | Retain three (3) years then destroy. |
| **P0014** | **Sick Leave Sharing File** | This series documents an employee's participation in the state's sick leave sharing program and the documentation necessary to verify eligibility for the program. It is used to provide support for the approval or denial of the request and for the transfer of sick leave from one employee to another. The recipient's agency shall maintain the sick leave sharing application and all sick leave sharing donation forms submitted for the recipient. If sick leave is donated/received between agencies, the donor's agency may retain a copy of the donation form as supporting documentation for reduction of the employee's sick leave balance. The file, which contains confidential medical information, must be maintained in a secure, confidential file, separate from the employee's personnel file. This file may be included in the agency's Employee Medical/Health file or the agency may maintain a separate Sick Leave Sharing file. |
| | **Contents** | File contains sick leave sharing application; medical documentation verifying eligibility; signature of appointing authority; sick leave donation forms; documentation which tracks the amount of sick leave requested, donated, used, and returned to donors; any related correspondence. |
| | **Retention and Disposition** | Retain three (3) years then destroy after audit. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0025** | **Payroll Voucher (Positive Manual Adjustment Form)** | This series represents requests for the production of paychecks that cannot be processed within the standard time limits of the state payroll, or that are processed outside the state's standard personnel and payroll system. Agencies may maintain these in the employee's payroll file. This series also contains the Payroll Voucher Certification Form certifying that the person listed on the SAS27 has not previously received this pay through UPPS up to March 15, 2011 or through KHRIS beginning March 16, 2011. |
| | **Contents** | Series contains: Payroll Voucher (Form SAS 27): Date; Agency Name; Org. Name/Code; Company Number; Reference Number; Employee status; Total Disbursement Amount; Hours Paid; Employment Date; Rate; Employee last name and initials; Social Security Number; Employee ID; Category and amount of funds; totals and total net pay; comments; name of employee preparing payroll; authorized agency signature; signature of Personnel Cabinet Secretary. Certification Form (Form SAS 27b): Employee name and ID#; Pay period; Semi-monthly Salary; Gross Amount Due; Explanation; Signature of certifying individual. |
| | **Retention and Disposition** | Retain three (3) years in agency then transfer to the State Records Center for five (5) years. Destroy after a total of eight (8) years and audit. |
| **P0028** | **Employee Medical/Health File** | This series provides documentation of an employee's illness, injuries and treatment. This information is considered confidential and must be maintained separately from the personnel file in a secure file to ensure access is granted on a strictly need-to-know basis. May be used to verify eligibility for sick leave, sick leave sharing, workers' compensation benefits, FMLA, ADA accommodation requests; supporting medical documentation. |
| | **Contents** | Series may contain: Medical certifications to support requests for sick leave; FMLA application/certification; SLS application & supporting documentation; workers' compensation first report of injury; medical statements from healthcare providers; test results. |
| | **Retention and Disposition** | Destroy five (5) years after termination of employment in the agency. |
| **P0029** | **Bloodborne Pathogens File - State Employee (V)** | This series documents, as required by 29 CFR 1910.1030, an employee's occupational exposure to blood or other potentially infectious materials. The series provides evidence that the agency followed the requirements of the bloodborne pathogens regulations in the treatment, reporting and follow-up relating to an exposure. |
| | **Contents** | Series contains: name and social security number of the employee; a detailed account of the exposure; documentation of: employee's hepatitis B vaccination status, dates of all the hepatitis B vaccinations and any medical records relative to the employee's ability to receive vaccination; results of examinations, medical testing, and follow-up procedures; a copy of the healthcare professional's written opinion; information provided to the healthcare professional. |
| | **Retention and Disposition** | Transfer to the State Records Center five (5) years after termination of employment in the agency. Retain at Records Center for twenty-five (25) years, for a total retention of thirty (30) years after employment. NOTE: Should an employee transfer to another state agency, this series will transfer, as well, to the new agency. Termination is defined as "no longer an employee of state government". |
| **P0030** | **Workplace Injury and Illness Reporting Forms** | This series documents employees' injuries and illnesses sustained in work-related incidents. It includes OSHA Form 300 -- Log of Work-Related Injuries and Illnesses; OSHA Form 300A -- Summary of Work-Related Injuries and Illnesses; and the Injury and Illness Incident Report (state agency may substitute the Workers' Compensation First Report of Injury Form IA-1). The log series is used to record and classify reportable work-related injuries and illnesses and to document the severity of each case. It must be kept current and be presented to officials of the USDOL on request. The summary shows the total reportable injuries and illnesses for an establishment for a year and is required to be posted from February 1 through April 20 of the following year so employees are aware of the injuries and illnesses occurring in their workplace. |
| | **Contents** | Series contains: OSHA Form 300; OSHA Form 300A; supporting documentation, either OSHA Injury and Illness Incident Report or Workers Compensation First Report of Injury and Lost Time/Return to Work form. The log contains the case #, Employee's name (or notation of privacy); job title; date of injury or illness; where the injury/illness occurred; description of injury/illness; classification of the case; number of lost work days or days of modified duty; indication of injury or type of illness. The summary records the total number of deaths, cases with days away from work, total number of cases with job transfer or restricted duty; number of other recordable cases; total number of days away from work; total number of days of job transfer or restricted activity; the numbers of the various types of injuries & illnesses. |
| | **Retention and Disposition** | Retain for five (5) years following the year to which each form pertains. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0031** | **Tuition Assistance Authorization File** | This series documents an employee's request to receive tuition assistance from the employing state agency and the agency's approval or denial of the request. The tuition assistance form documents the list of courses to be taken, the cost of the courses and of any related expenses. The form contains a contract between the agency and the employee and provides that the employee must attain a required grade and specifies the length of service required post-coursework; otherwise the agency may require reimbursement of funds paid. Some agencies maintain this document as part of the employee's personnel file and maintain a log of the assistance paid rather than a separate file. |
| | **Contents** | Series may include: Education Assistance Authorization Form; total expenditures list; grades; correspondence; documentation that courses are eligible within the parameters of the agency's procedure; documentation of reimbursement if required. |
| | **Retention and Disposition** | Destroy five (5) years after termination of employment with agency. |
| **P0033** | **W2 and K2 File (non-UPPS/non-KHRIS)** | This series documents wage and summary records issued to employees using payroll systems other than the state's Unified Personnel and Payroll System and Kentucky Human Resource Information System. |
| | **Contents** | |
| | **Retention and Disposition** | Destroy eight (8) years after termination of employment, and audit. |
| **P0034** | **Employee Change in Pay Status Record File (Non-UPPS/Non-KHRIS)** | This series documents employee pay rates and pay status, as approved by a state agency, for employees processed outside the Unified Personnel and Payroll System and the Kentucky Human Resource Information System. |
| | **Contents** | |
| | **Retention and Disposition** | Destroy eight (8) years after termination of employment. |
| **P0035** | **Payroll Deduction Authorization Record File (Non-UPPS/Non-KHRIS)** | This series documents requests for tax deductions from payroll checks by employees processed outside the Unified Personnel and Payroll System and the Kentucky Human Resource Information System. |
| | **Contents** | |
| | **Retention and Disposition** | Destroy eight (8) years after termination of employment, and audit. |
| **P0036** | **Payroll Employee Year-to-Date Earnings Record (Non-UPPS/Non-KHRIS)** | This series documents an earnings for a year up to a current pay period for employees processed outside the Unified Personnel and Payroll System and the Kentucky Human Resource Information System. |
| | **Contents** | |
| | **Retention and Disposition** | Destroy eight (8) years after termination of employment, and audit. |
| **P0037** | **Payroll History Record File (Non-UPPS/Non-KHRIS)** | This series documents the pay rates and payments made over the term of employment to employees processed outside the Unified Personnel and Payroll System and the Kentucky Human Resource Information System. |
| | **Contents** | This record series contains the run date, name of employee, directory information, gross pay, net pay, withholdings, rate of pay, each pay period with year to date totals, total deductions. |
| | **Retention and Disposition** | Retain fifty (50) years and destroy after audit. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0038** | **Payroll Register Record File (Non-UPPS/Non-KHRIS)** | This series provides a listing of the calculations of gross pay, all deductions and net pay for a specific pay period.This is for employees processed outside the Unified Personnel and Payroll System/Kentucky Human Resource Information System. |
| | **Contents** | |
| | **Retention and Disposition** | Destroy eight (8) years after termination of employment, and audit. |
| **P0039** | **Hiring Process Materials File -- Merit System Positions** | This series documents the process and criteria used to select a candidate to fill a position. The series documents the decision making process; how the candidates were screened and selected for an interview; the interview questions and answers; and other factors used in the selection process. These materials may be used to defend the agency's hiring decision. |
| | **Contents** | Series may contain: advertisement for the position; certified register; correspondence between candidates and agency; interview questions, responses and interviewer notes; resumes; applications; copies of performance evaluations; documentation of applicants' seniority, conduct, record of performance, qualifications as required on promotion (101 KAR 1:400); documentation of reference checks; documentation of results of background checks and/or drug testing. |
| | **Retention and Disposition** | Retain five (5) years then destroy. |
| **P0040** | **Employee Suggestion File** | This series documents suggestions submitted and evaluated through the employee suggestion system in accordance with 101 KAR 2:120 Section 1. The file is used to document the details of the suggestion, projected cost savings, how the determination was made to approve or deny the suggestion and to provide supporting documentation for any monetary award provided to the employee as a result of the suggestion. Forms may be retained electronically or in hard copy. |
| | **Contents** | Series contains: Employee Suggestion Form (name, address, social security number, department, job title, signature of employee, suggestion number, subject/code, suggestion, brief description of present method/condition, savings in time materials, supplies); evaluation of employee suggestion (eligibility, checklist, approved/rejected, reasons, requiring a regulatory change, legislative change, evaluated by , title, agency, data, recommended award); Documentation of review by the employee suggestion system council; reconsideration process if requested; evidence of actual savings to support any monetary award provided to the employee. |
| | **Retention and Disposition** | Destroy three (3) years after all administrative activity has ceased. |
| **P0041** | **Grievance File** | This series documents grievances filed by merit system employees; the investigation conducted by each responding level of supervision, and the resolution of the grievance as provided under the terms of 101 KAR 1:375. |
| | **Contents** | Series contains: Grievance Form; supporting documentation; investigative notes, findings and determinations by responding supervisors; any documents, recordings, or other information presented by any party involved in investigation and/or resolution of the grievance. |
| | **Retention and Disposition** | Destroy five (5) years after resolution. If the grievance is subject of an ongoing investigation, administrative proceeding or litigation, destroy five (5) years after end of investigation, proceeding or litigation. |
| **P0045** | **Equal Employment Opportunity Complaint Files** | This series documents agency-level activities regarding Equal Employment Opportunity (EEO) complaints of discrimination brought against state agencies. Alleged discrimination may be based on race, age, gender, or various other classes protected by law. A complaint can be initiated in an agency that is not the offender, such as the Human Rights Commission or Personnel Board. If a complaint results in litigation against an agency, a report on the matter will be sent to the Personnel Cabinet for Federal reporting purposes. |
| | **Contents** | Series contains: Initial complaint form; supporting documentation; investigative notes, findings and determinations by responding supervisors; any documents, recordings, or other information presented by any party involved in investigation and/or resolution of the complaint. |
| | **Retention and Disposition** | Retain complaints on which official personnel actions are taken for seventy (70) years, then destroy. Retain all other complaints until ten (10) years after subject of complaint leaves state government, or until ten (10) years after all legal, investigative or administrative matters have concluded, whichever is longer, then destroy. |

| Series | Records Title and Description | Function and Use |
|---|---|---|
| **P0042** | **Payroll/Benefits File** | The series contains documentation of various payroll and benefits actions such as payroll deductions, direct deposit corrections to payroll, benefits enrollment, and beneficiary designation. Agencies may also maintain a separate Benefits File, which should be maintained for the same retention period as the Payroll File. |
| | **Contents** | Series may include: direct deposit form; Payroll Voucher; Request for Refund on Payroll; Notification of Health Insurance Status/Contribution; Deduction authorizations; Copies of personnel actions; Health Insurance/Flexible Spending Account Applications; Life Insurance enrollment forms; Verifications of employment; W-4; K-4; FLSA Exempt Test/ Form; KRS Membership Information Form, Beneficiary Designation Form; request for paid overtime; Overtime Compensation Declaration. |
| | **Retention and Disposition** | Destroy five (5) years after termination of employment. |
| **P0043** | **Time and Attendance Report (Duplicate)** | This series documents the daily attendance of employees, as well as leave taken and type of leave taken. The report may be retained within an administrative unit or given to the employee. |
| | **Contents** | Series contains: pay period ending date; employee name; social security number; identification number; date of activity; hours worked-regular, overtime; leave taken/hours-annual, compensatory, sick, holiday, without pay; total hours worked; total leave taken; employee signature; signature of supervisor |
| | **Retention and Disposition** | Retain one (1) year then destroy. |
| **P0044** | **Request for Leave** | This series documents the request by employees to be absent from work using annual, sick or compensatory leave. The request is submitted to the appropriate supervisor for approval. Where known, leave should be approved in advance. |
| | **Contents** | Series includes: Department; employee; division; pay period ending; types of leave, sick, annual, compensatory, other; date of requested leave; total hours; signature of applicant and date; signature of approving officer; approval date. Series may include documentation supporting the leave request. |
| | **Retention and Disposition** | Retain two (2) months, then destroy. |
| **P0046** | **Annual Leave Sharing File** | This series documents an employee's participation in the state's annual leave sharing program and includes the documentation necessary to verify eligibility for the program. It is used to provide support for the approval or denial of the request and for the transfer of annual leave from one employee to another. The recipient's agency shall maintain the annual leave sharing application and all annual leave sharing donation forms submitted for the recipient. If annual leave is donated/received between agencies, the donor's agency may retain a copy of the donation form as supporting documentation for reduction of the employee's annual leave balance. This file may be included in the agency's payroll file or the agency may maintain a separate Annual Leave Sharing file. |
| | **Contents** | File contains annual leave sharing application; signature of appointing authority; annual leave sharing donation forms; documentation which tracks the amount of annual leave requested, donated, used, and returned to donors; any related correspondence. |
| | **Retention and Disposition** | Retain three (3) years then destroy after audit. |

# *Electronic System With Included Records Series*

## Personnel Cabinet

### *Department of Human Resources Administration*

***System Description:*** The Kentucky Human Resources Information System (KHRIS) is the Personnel Cabinet's integrated human resources system that supports the HR processes managed by the Personnel Cabinet. The integrated solution replaced several separate legacy systems into one solution for the Commonwealth. The new system is configured with specific modules that support specific areas of the human resources process. Those areas include: Organizational Management (OM), Personnel Administration (PA) Benefits Administration (BN), Benefits Accounting (BNA/FSCD/Biller Direct), Time Management ™, Payroll (PY), Employee Self-Service/Manager Self-Service (ESS/MSS), Image Connect (KHRIS's web app for FileNet, and the KY Employees' Suggestion System (KESS).

***System Contents:*** Group Life Insurance: the Commonwealth of Kentucky provides Basic Life Insurance and Accidental Death and Dismemberment Insurance to the employees and retirees returned to full-time employment of the Commonwealth of Kentucky, local school boards, some cities and county governmental agencies via the Benefits specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct); however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Information maintained within this module consists of current and historical life benefits elections as well as transactions related to those elections; inclusive of bills, payments, and adjustments. Payments files are received from KHRIS, KRS, KTRS, & KDE which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) use the KHRIS web application as well but must have a UserID & Password to do so.

Kentucky Employees' Suggestion System (KESS): KESS is an incentive program designed to encourage employees to share their ideas on improving productivity and the services offered by the state. KESS is a web application module within KHRIS' web portal which allows merit employees to submit suggestions online to be considered for potential awards and recognition; however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Three groups of users access the system, employees with status in the classified service and employees governed by KRS Chapter 16, coordinators, and evaluators. Employees only have permission within the system to add suggestions. Coordinators use the system to assign suggestions to evaluators. Evaluators enter evaluation information into the database relating to suggestions assigned to them for review. The KESS module contents includes: brief description of present method/condition, projected cost savings, review assignments made by Coordinators, date received, evaluation of employee suggestion (eligibility, checklist, approved/rejected, reasons, requiring a regulatory change, legislative change, evaluated by , title, agency, data, recommended award), how the determination was made to approve or deny the suggestion and to provide supporting documentation for any monetary award provided to the employee as a result of the suggestion, awards presented; documentation of review by the employee suggestion system council; reconsideration process if requested; evidence of actual savings to support any monetary award provided to the employee.

The Organizational Management and Personnel Administration modules provide organizational structure, master records, position

and title information, record analysis, position descriptions, and the processing and administration of PANs. KHRIS's Time Management and Payroll modules allows for time and labor entry, leave accruals and the processing of payroll; however, KHRIS is an integrated solution where all modules are integrated with other modules in KHRIS and required for the processing of data as well. Contents for these modules include: Organizational Management (OM) – Organization Structure
Personnel Administration (PA) – Master record data, salary data, position and position description data, employee status
Time Management (TM) - Time Entry, Cost Allocation, Leave Accruals
Payroll (PY) – Gross to Net Processing, Tax compliance, Check / Deposit Processing
Employee Self-Service/Manager Self-Service (ESS/MSS) – Employee web portal, view access to payroll and time data, update personal information
Image Connect (KHRIS's web app for FileNet) – Employee personnel file images

The Kentucky Employees' Health Plan (KEHP) is a self-insured program providing health insurance benefits to the employees and retirees of the Commonwealth of Kentucky, as well as local school boards, local health departments and other quasi-governmental agencies. KEHP has more than 250,000 actively participating members. KEHP also provides Flexible Benefit Plans for state and local boards of education employees. KHRIS is the system of support for KEHP.

KHRIS supports the administration of benefits members and the processing and reconciliation of enrollment and payments for health insurance premiums, health insurance administration fees and FSA/HRA contributions via the Benefits' specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct); however, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS and required for their processing of data as well. Contents include: The database maintains all transactions at both the policyholder and company level; inclusive of bills, payments, and adjustments. Payments files are received from KHRIS, KRS, KTRS, & KDE which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) use the KHRIS web application as well but must have a UserID & Password to do so.

***General Schedule Items:*** P0040 Employee Suggestion File Destroy three (3) years after all administrative activity has ceased.

P0025

***System Title:*** **Kentucky Human Resource Information System** ***Alternate Title:*** **KHRIS**

| ***Series #:*** | ***Series Title:*** | ***Disposition Instructions:*** |
|---|---|---|
| 00708 | Payroll Requests | Retain for three (3) years. |
| 03928 | Kentucky Employee Suggestion System File | Retain permanently any employee suggestion that has been implemented. |
| 04340 | Official Job Specification File | Retain Permanently. |
| 04428 | Enrollment for Group Term Life Insurance File | Destroy five (5) years after employee is terminated or deceased. |
| 04430 | Insurance Billing File | Retain for ten (10) years Destroy after audit. |

| ***Series #:*** | ***Series Title:*** | ***Disposition Instructions:*** |
|---|---|---|
| 04431 | Insurance Refund File | Retain for ten (10) years. |
| 04432 | Group Life Insurance Files | Retain Permanently. |
| 04522 | Master Personnel Folder | Retain until fifty (50) years after most recent date of separation, then destroy. |
| 04524 | Request for Position Action Only File | Retain for three (3) years. |
| 04525 | Summary of Position Action File | Retain for three (3) years. Destroy after audit. |
| 04893 | KEHP Health Insurance and Flexible Spending Account Enrollment Application. | Retain until six (6) years after termination of eligibility, then destroy. |
| 06080 | Payroll Reports | Retain for fifty (50) years, then destroy. |
| P0025 | Payroll Voucher (Positive Manual Adjustment Form) | Retain three (3) years in agency then transfer to the State Records Center for five (5) years. Destroy after a total of eight (8) years and audit. |
| P0040 | Employee Suggestion File | Destroy three (3) years after all administrative activity has ceased. |