Transportation Cabinet

Records Retention Schedule

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

Kentucky Department for Libraries and Archives

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

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

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

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

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

Audits and Legal Action

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

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records
Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

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

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

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

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

Transportation Cabinet

The statutory organization for the Cabinet is set forth in KRS Chapter 174. KRS 174.010 creates the Cabinet and KRS 174.020 – 174.100 outlines the various organizational components and administrative duties of the Cabinet. The Cabinet is responsible for maintaining and improving the delivery of transportation services in the state. The organizational structure of the Cabinet is as follows: the Office of the Secretary, the Office of Public Affairs, the Office of Inspector General, the Office of Budget and Fiscal Management, the Office of Legal Services, the Office for Civil Rights and Small Business Development, the Office of Information Technology, the Office of Support Services, the Office of Audits, the Office of Human Resource Management, the Office of Transportation Delivery, the Department of Aviation, the Department of Highways, the Department of Rural and Municipal Aid and the Department of Vehicle Regulation. Other bodies attached to the Cabinet for administrative purposes are the Kentucky Airport Zoning Commission, the Kentucky Motorcycle Advisory Commission for Highway Safety, the Kentucky Motorcycle Safety Education Advisory Commission, the Kentucky Bicycle and Bikeway Commission and the Kentucky Motor Vehicle Commission.

L-A&R 10-SA
5/78

STATE ARCHIVES AND RECORDS COMMISSION
DIVISION OF ARCHIVES AND RECORDS MANAGEMENT
DEPARTMENT OF LIBRARY AND ARCHIVES
COMMONWEALTH OF KENTUCKY

RETENTION AND DISPOSAL SCHEDULE NUMBER I

Date Approved by Commission APR 15 1987

Schedule for:

DEPARTMENT OF TRANSPORTATION
State Agency

Unit

APPROVALS
FOR STATE AGENCY

1. Agency Head and Title
2. Agency Records Officer
3. Division of Archives and Records Management
State Archivist and Records Administrator
4. Archives and Records Commission Chairman

WE THE UNDERSIGNED OR THE AGENTS THEREOF HAVE EXAMINED THE RECORD ITEMS BELOW AND RECOMMEND THE DISPOSITION AS SHOWN

Darrell Gabhart — Records Analyst
Larry B. Fowler — Assistant State Records Administrator
Jeffrey Michael Duff — Assistant State Archivist

THE DETERMINATION AS SET FORTH BELOW MEETS WITH MY APPROVAL

Auditor Public Accounts — Approval Date 12-17-90

Attorney General — Approval Date

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	December 10, 2009 Schedule Date
Unit	December 10, 2009 Change Date
	December 10, 2009 Date Approved By Commission

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APPROVALS

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

Agency Head	12/13/09 Date of Approval
Agency Records Officer	12/11/09 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	12/10/09 Date of Approval
Chairman, State Archives and Records Commission	12/10/09 Date of Approval

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

Records Analyst/Regional Adminstrator	12-10-09 Date of Approval
Appraisal Archivist	12/10/09 Date of Approval
State/Local Records Branch Manager	12/10/09 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts	12/10/09 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Audits, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
03978	**Consultant Audits**	This series documents audits performed by the Division of Audits, External Audit Branch of a consultant firm who intends to do business with the Transportation Cabinet or is currently under contract with the Cabinet. These workpapers support the conclusions and recommendations made in the final audit report issued to the consulting firm and/or the Cabinet. The Cabinet contracts with consultants to design roads and bridges, perform construction engineering or to complete archaeological surveys, among other duties. The External Audit Branch performs audits of these contracts to ensure that federal and state funds were spent appropriately. If the consultant firm disagrees with the final audit report, it can request review of the findings by the Audit Review Committee which is comprised of the Executive Director of the Office of Budget and Fiscal Management, the Executive Director of the Office of Legal Services and the Executive Director of Project Development. If the firm disagrees with the findings of the Committee, it may appeal to the Circuit Court.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information.
	Contents	Series may contain: audit request, audit assignment, various workpapers supporting conclusions found and recommendations made, supporting documentation such as timesheets and invoices, draft audit report, final audit report and related correspondence.
	Retention and Disposition	Transfer to the State Records Center three (3) years after issuance of final Audit Report (F0005). Records Center retains for an additional three (3) years for a total retention of six (6) years after final audit report.
03980	**Miscellaneous Audits**	This series documents audits performed by the Division of Audits, External Audit Branch of miscellaneous audits such the annual utility/rail audit, special investigations or at the request of an internal Transportation Cabinet division or the Federal Highway Administration. The purpose of these audits is to ensure that the third party has complied with the terms of their contracts or agreements. The third party may request a review of audit findings to the Audit Review Committee which is comprised of the Executive Director of the Office of Budget and Fiscal Management, the Executive Director of the Office of Legal Services and the Executive Director of Project Development. If the firm disagrees with the findings of the Committee, it may appeal to the Circuit Court.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: audit request, audit assignment, various workpapers supporting conclusions found and recommendations made, supporting documentation such as timesheets and invoices, draft audit report, final audit report and related correspondence.
	Retention and Disposition	Transfer to the State Records Center three (3) years after issuance of final Audit Report (F0005). Records Center retains for an additional three (3) years for a total retention of six (6) years after final audit report.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Audits, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
03981	**Internal Audits**	This series documents audits performed by the Division of Audits, Internal Audit Branch of various Cabinet processes, as well as attestation engagements and desk reviews. The objective of Internal Audit Branch engagements are to ensure the Transportation Cabinet has appropriate internal controls in place to ensure taxpayer dollars are accounted for appropriately and in compliance with state and federal laws and regulations. Once a draft audit report is completed, the internal audit manager sends the report to the auditee for a written response. The internal audit manager prepares a follow-up response if needed and issues the final audit report with a copy to the internal audit committee. The Internal Audit Committee directs and guides Cabinet management on issues involving the agency's internal control structure, including the internal audit function and the agency's use of independent external auditors. The Internal Audit Committee is comprised of the following individuals: Cabinet Secretary, Ex-Officio; Chief of Staff, Chair; State Highway Engineer; Executive Director, Office of Budget and Fiscal Management; Executive Director, Office of Inspector General; Executive Director, Office of Audits; Director, Division of Audit Services and the Internal Audit manager. The Committee meets quarterly and discusses reports issued since the last quarterly meeting and highlights important findings. The Inspector General also attends and discusses reports issued by that office over the last quarter.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Audit request, audit assignment, various workpapers supporting conclusions found and recommendations made, supporting documentation such as timesheets and invoices, draft audit report, final audit report and related correspondence.
	Retention and Disposition	Transfer to the State Records Center three (3) years after issuance of final Audit Report (F0005). Records Center retains for an additional three (3) years for a total retention of six (6) years after final audit report.
03982	**Road Fund Audits**	This series documents audits performed by the Transportation Cabinet, Division of Road Fund Audits of motor carriers and other companies for tax compliance. The Division is responsible for performing the following: audits of over 900 permit holders that lease or rent automobiles to assure compliance with Kentucky's Usage statutes in the U-Drive-It program; audits of over 47,000 trucking companies traveling Kentucky highways to ensure compliance with Kentucky's Weight Distance Tax statutes; audits of motor carriers with apportioned registration applications as required by the International Registration Plan; audits of motor carriers participating in the International Fuel Tax Agreement and audits of intrastate fuel tax paid by Kentucky based motor carriers. Protests of all road fund tax assessments must be received in writing by the Office of Audits Tax Compliance Branch within 45 days from the date of the tax notice. All letters of protest must provide documentation that supports the disputed basis and amount of appeal.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: motor carrier company tax records; prior year audit information; supporting documentation for audit report such trip sheets, PC Miler sheets, excel spreadsheets, drivers history logs, timesheets; preliminary recommendations and draft audit reports; final audit report; bills and related correspondence.
	Retention and Disposition	Transfer to the State Records Center three (3) years after issuance of final Audit Report (F0005). Records Center retains for an additional three (3) years for a total retention of six (6) years after final audit report.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

March 13, 2008
Schedule Date

DEPARTMENT OF AVIATION
Unit

Change Date

March 13, 2008
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 17 Mar 08

Agency Records Officer — Date of Approval: 17 Mar 08

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 13 March 08

Chairman, State Archives and Records Commission — Date of Approval: 13 Mar 08

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

Records Analyst/Regional Adminstrator — Date of Approval: 13 MAR 08

Appraisal Archivist — Date of Approval: March 13, 2008

State/Local Records Branch Manager — Date of Approval: 13 Mar 08

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: March 13, 2008

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

March 11, 2010
Schedule Date

Unit

Change Date

March 11, 2010
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3/17/10

Agency Records Officer — Date of Approval: 3/17/10

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/11/10

Chairman, State Archives and Records Commission — Date of Approval: 3/11/2010

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

Records Analyst/Regional Adminstrator — Date of Approval: 3/11/2010

Appraisal Archivist — Date of Approval: 3/11/2010

State/Local Records Branch Manager — Date of Approval: 11 MAR 10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3-11-10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Aviation, Department of

Record Group Number
2760

Series	Records Title and Description	Function and Use
01717	**State Flight Report File**	This series documents the approval of requests for use of state-owned aircraft, per KRS 36.420, and all pertinent flight information created when air travel is used as a means of transportation. This series incorporates closed Series 01718, Passenger Manifest File.
	Access Restrictions	None
	Contents	Series contains: State flight report card; Aircraft number, pilot-in-command, co-pilot, flight plan closed, agency, stops in order, arrival and departure times, flight number, departure date, return date, fuel onboard, passenger's first and last name. Request for use of State-owned or State-chartered aircraft; Agency, division, requester, telephone number, flight date, departure time, destination, purpose of travel, stops in order, reasons for stops, passenger manifest, authorized agency signature, flight number and aircraft number.
	Retention and Disposition	Retain for nine (9) years.
01718	**Passenger Manifest File**	CLOSED SERIES: This series documented the names of all passengers onboard a specific flight. The Federal Aviation Administration (FAA) requires that a passenger manifest be completed and maintained for all flights (14 CFR 121.693). Series incorporated into series 01717, State Flight Record File
	Access Restrictions	None
	Contents	Series contains: Passenger's first and last name.
	Retention and Disposition	Retain Permanently.
05740	**Kentucky Airport System Plan and Individual Airport Master Plans File**	This series documents efforts at preserving and improving all state public-use airports. The Kentucky Airport System Plan (KASP) provides the framework for preservation and improvement to meet current and future aviation needs. KASP is used to review the number, location and type of facilities required to serve the state over time and forecast the cost of improvements to meet future demand. The Airport Master Plan provides direction for a specific airport to meet future demands, while preserving the flexibility necessary to respond to changing industry conditions. The Master Plan also defines the purpose of and need for future improvements, as well as insuring that all development will comply with all applicable state and federal requirements while ensuring appropriate and compatible land use.
	Access Restrictions	None
	Contents	Series contains: The state's airport system plan: purpose and scope. Each airport’s classification and roles. Current and future commercial, military and general aviation activity. Total aircraft operations, economic benefits of aviation, recommended modifications, recommended plan, cost estimates, funding of improvements and environmental consequences.
	Retention and Disposition	Retain Permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Aviation, Department of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05742	**Applications and Permits on Construction or Alteration to Existing Structures File**	This series documents the application process for a building or alteration permit by the owner or person who has control over a structure that penetrates, will penetrate, or will otherwise encroach on the airspace over which the Kentucky Airport Zoning Commission has jurisdiction. KRS 183.867 specifies that the Commission has zoning jurisdiction for all public use and military airports. 602 KAR 50:030 defines the airspace jurisdiction as airspace over and around the public use and military airports within the Commonwealth which lies above the imaginary surface that extends outward and upward at one of the following slopes: 1) 100 to one for a horizontal distance of 20,000 feet from the nearest point of the nearest runway of each public use and military airport with at least one runway 3,200 feet, or more in length; or 2) Fifty to one for a horizontal distance of 10,000 feet from the nearest point of the nearest runway of each public use and military airport with its longest runway less than 3,200 feet in actual length.
	Access Restrictions	None
	Contents	Series contains: Applications and permits for planned new construction, planned alterations of existing structures and related correspondence.
	Retention and Disposition	Retain Permanently.
05743	**Applications for and Certificates of Public Convenience and Necessity File**	CLOSED SERIES: Information unavailable
	Access Restrictions	None
	Contents	Information unavailable.
	Retention and Disposition	Retain Permanently.
05744	**Airport and Heliport Inspection File**	This series documents the inspections of airports and heliports state-wide, per KRS 183.090. Airport facility inspections are periodically conducted to ensure the safety and adequacy of facilities. An airport may have its certificate of approval, or license, temporarily or permanently revoked when it is determined that the airport or other navigational facility is not being maintained or used in accordance with statute.
	Access Restrictions	None
	Contents	Series contains: Inspection reports, action related documents and inspection related correspondence.
	Retention and Disposition	Retain Permanently.
05745	**Airport Development Loan Fund Applications File**	This series documents the application process by local airports for proposed construction projects funded by grants from the Airport Development Loan Fund (KRS 183.200). Each year the state allocates funding for airport development, expansion and improvements. These funds are made available to local airports via loan grants outlined in KRS 183.200 to 183.213.
	Access Restrictions	None
	Contents	This series contains: Applications, proposed construction specifications, estimated costs and related correspondence.
	Retention and Disposition	Retain Permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Aviation, Department of

Record Group Number
2760

Series	Records Title and Description	Function and Use
05746	**Charter Permits and Applications File**	This series documents the application and approval process of permits for charter flights originating at the Capital City Airport.
	Access Restrictions	None
	Contents	This series contains: Application, permit number, name of applicant, contact information for applicant, fees paid and relating correspondence.
	Retention and Disposition	Retain Permanently.
05747	**Specifications and Contracts on Construction Projects File**	This series documents the specifications and contracts for construction projects funded by grants from the Airport Development Loan Fund (KRS 183.200). Each year the state allocates funding for airport development, expansion and improvements. These funds are made available to local airports via grants outlined by KRS 183.525 and KRS 183.764.
	Access Restrictions	None
	Contents	Series may contain: Contracts (federal/state), construction specifications, payment history, invoices, maps, photos, plans, improvement narratives, final audits, newspaper clippings and related documents and related correspondence.
	Retention and Disposition	Retain maps, photos, plans, final audits and proposed improvement details/narratives permanently. Retain contracts and fiscal documentation for eight (8) years after contracts and grants expire and final audit.
05749	**Airport and Heliport Construction "As Built" Plans File**	This series documents construction projects requiring "as built" plans. The project consultant is required to submit "as built" plans to the Department of Aviation after the project is completed. These plans denote any additions, deletions and/or any changes made to the original design documents.
	Access Restrictions	None
	Contents	This series contains: Contracts, construction specifications, payment history, invoices and related correspondence.
	Retention and Disposition	Retain Permanently.
05750	**Zoning Maps File**	This series documents the legal responsibilities of owners of existing, or planned public use and military airports and the regulatory oversight by the Airport Zoning Commission regarding jurisdiction over land issues. KRS 183.867 grants authority to the commission regarding zoning for public use and military airports. 602 KAR 50:050 provide procedures for the adoption and revision of airport zoning maps for existing and planned public use and military airports. Every owner of an existing, or planned public use and military airport in the state shall file with the administrator of the Kentucky Airport Zoning Commission a map showing the airport and the area surrounding the airport used for approach and landing purposes, or the owner shall file an airport master plan.
	Access Restrictions	None
	Contents	Series contains: Kentucky Airport Maps.
	Retention and Disposition	Retain Permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Aviation, Department of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05751	**Landing Area Designations File**	This series documents that airport facilities meet criteria set out in 602 KAR 20:020, as it relates to KRS 183.090. An airport facility found to meet requirements after airport inspections shall be issued a landing area designation by the Transportation Cabinet. Landing designations are valid for a period of twelve (12) months from the original issue date.
	Access Restrictions	None
	Contents	This series contains specific airport facility inspection records and other related documents.
	Retention and Disposition	Retain Permanently.

Electronic System With Included Records Series

Cabinet Name: Transportation Cabinet

Department Name: **Department of Aviation**

System Title: **Airport Information Management System** ***Alternate Title:*** AIMS

System Description: This database supports Aeronautical Studies for the Department of Aviation, Kentucky Airport Zoning Commission. Kentucky law requires that all structures built on or near a public airport must be approved by the Kentucky Airport Zoning Commission. (KRS 183.861)

System Contents: Zoning permits, contact Information, construction/alteration statuses, inspection data, geospatial data. Input records: application information for zoning permits, application determination status, facility table, county table, Area Development District Table, KYTC authorization number, contact information. Output: correspondence, reports, geospatial mapping, operational, maintenance and statistical reports. Examples: Study letters, labels for studies, address labels, approval letters, conditional approval letters, denial letters, construction/alteration status report to be filled in by applicant when structure is completed, deferral letters, project payment history, contact listing and fiscal year reports.

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
05740	Kentucky Airport System Plan and Individual Airport Master Plans File	Retain in Agency	P
05742	Applications and Permits on Construction or Alteration to Existing Structures File	Retain in Agency	P
05744	Airport and Heliport Inspection File	Retain in Agency	P
05745	Airport Development Loan Fund Applications File	Retain in Agency	P
05747	Specifications and Contracts on Construction Projects File	Retain in Agency	P
05749	Airport and Heliport Construction "As Built" Plans File	Retain in Agency	P
05750	Zoning Maps File	Retain in Agency	P
05751	Landing Area Designations File	Retain in Agency	P

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

June 9, 2011
Schedule Date

Office of Budget and Fiscal Management
Unit

June 9, 2011
Change Date

June 9, 2011
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 6/21/11

Agency Records Officer — Date of Approval: 6/21/11

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 6/9/11

Chairman, State Archives and Records Commission — Date of Approval: 6/9/11

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

Records Analyst/Regional Adminstrator — Date of Approval: 6-9-2011

Appraisal Archivist — Date of Approval: 6/9/11

State/Local Records Branch Manager — Date of Approval: 6/9/11

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 6.9.11

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Budget and Fiscal Management, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
806	**Monthly Traffic and Revenue Statements**	CLOSED: This series documented toll road monthly traffic and revenue statements. Currently there are no toll roads in Kentucky. The last toll roads were The Natcher and Audubon Parkways removed in November of 2006. Subsequently, the Division of Toll Facilities, which administered these records, was closed and the records were sent to the State Records Center.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Transfer to the State Records Center. Total retention is forty (40) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Budget and Fiscal Management, Office of
Accounts, Division of

Record Group Number
2760A

Series	Records Title and Description	Function and Use
04242	**Bond Project Files**	This series documents the accounting activities associated with state highway construction and utility relocation projects that are paid for through the use of monies acquired from the sale of bonds. It represents the Cabinet's financial record of how the bond monies have been spent and for which projects. Records are created when a contract for highway construction or utility relocation project is approved by the Transportation Cabinet and the funds from the sale of bonds have been released to the Cabinet by the Turnpike Authority. Information regarding the amount of expenditures against bond funds is sent in summarized form to the Turnpike Authority on a monthly basis for monitoring purposes. Multiple projects are currently being paid for from monies acquired through the Economic Development Bond sale and the Resource Recovery Bond sale. NOTE: This series was previously listed on the records retention schedule as series 575, Toll Road Project Files.
	Access Restrictions	None
	Contents	Series contains: Original highway construction or utility relocation contract; change orders; copy of each payment made; related correspondence.
	Retention and Disposition	Retain in agency until project closure, then transfer to the State Records Center. Destroy after five (5) years or audit, whichever is longer.
06121	**Federal Aid Concurrent Billing**	This series documents weekly concurrent Federal Aid billing. Per federal requirements, each step in the weekly billing process is documented and programs and appropriations are verified.
	Access Restrictions	None
	Contents	Series contains: Reconciliation sheets, signature sheets from RASPS, deposit slips, Draw Request Report, Federal Billing Detail Report and related documents.
	Retention and Disposition	Retain in agency for three (3) years after audit. Transfer to the State Records Center for an additional seven (7) years. Total retention is ten (10) years after audit.
06123	**State Project Files**	This series documents state construction projects. Projects can include new highway construction, reconstruction, maintenance and bridge construction. The Series is used to monitor all activities associated with the various projects. Audits are generally conducted during the life of the projects. After projects are completed and final state vouchers have been paid, records are transferred to the Division of Accounts from the division of origin. The Division of Accounts destroys duplicate records and merges the remaining records into the offical Construction Files, which may be this Series or Series 06125, Federal Aid Project File.
	Access Restrictions	None
	Contents	Series may contain: Subcontracting data; laboratory test reports; advisement of date work began; date contract completed; federal highway inspection reports; resident engineer reports; final construction inspection reports; piling records for bridge construction; construction permits; calculations and pencil drawings; mill test reports; fabrication inspector's reports; bid documents; change orders; and related correspondence.
	Retention and Disposition	Retain in agency. Screen and destroy duplicate materials when files are received from divisions of origin. Destroy merged file three (3) years after final voucher submitted and audit.
06125	**Federal Aid Project Files**	This series documents federally-funded construction projects. Projects can include new highway construction, reconstruction, maintenance and bridge construction. The Series is used to monitor all activities associated with the various projects. Audits are generally conducted during the life of the projects. After projects are completed and final federal vouchers have been paid, records are transferred to the Division of Accounts from the division of origin.The Division of Accounts destroys duplicate records and merges the remaining records into the offical Construction Files, which may be this Series or Series 06123, State Project Files.
	Access Restrictions	None
	Contents	Series may contain: Subcontracting data; laboratory test reports; advisement of date work began; date contract completed; federal highway inspection reports; resident engineer reports; final construction inspection reports; piling records for bridge construction; construction permits; calculations and pencil drawings; mill test reports; fabrication inspector's reports; bid documents; change orders; and related correspondence.
	Retention and Disposition	Screen and destroy duplicate materials when files received from divisions of origin. Retain merged file for three (3) years after final voucher submitted and audit. Transfer to the State Records Center for an additional seven (7) years. Total retention is ten (10) years after final voucher is submitted and audit completed.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

September 11, 2014
Schedule Date

Office for Civil Rights & Small Business Development
Unit

Change Date

September 11, 2014
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 7/1/14

Agency Records Officer — Date of Approval: 7/1/14

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 9/17/14

Chairman, State Archives and Records Commission — Date of Approval: 9/11/14

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

Records Analyst/Regional Administrator — Date of Approval: 9/11/14

Appraisal Archivist — Date of Approval: 9/11/2014

State/Local Records Branch Manager — Date of Approval: 9/11/14

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 9/11/14

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Civil Rights and Small Business Development, Office for
Disadvantaged Business Enterprise Section

Record Group Number
2760KK

Series	Records Title and Description	Function and Use
06510	**Disadvantaged Business Enterprise Files (V)**	This Series documents companies that are seeking certification as Disadvantaged Business Enterprises (DBEs). The DBE Program originates at the U.S. Department of Transportation (USDOT) and is designed to increase participation of socially- and economically-disadvantaged groups in state and local procurement. States receiving USDOT financial assistance must meet goals for the percentage of contracts awarded to DBEs (small businesses owned and controlled by socially and economically disadvantaged individuals). They must also certify businesses as DBEs. These files document firms that apply for certification as DBEs, whether they are approved or denied; or their applications are incomplete or withdrawn. Once a complete application is received, staff members conduct investigations to determine the status of the applicant. Applications are reviewed for approval or rejection monthly. Approval is valid for three years, after which time the applicant must reapply and previously submitted documents cannot be considered. If an application is rejected or withdrawn and an applicant wishes to reapply, the process begins again and documentation must be resubmitted. These firms may be Kentucky-based or out-of-state companies.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information; KRS 61.878(1)(c)(1) - Business information
	Contents	Series may include: Uniform Certification Program (UCP) Application; balance sheets; No-Change Affidavit; personal tax/financial documentation; CPA reports; inventories; general information on the business; personnel lists; Article of Incorporation; meeting minutes; bylaws; copy of out-of-state certification.
	Retention and Disposition	Retain for five (5) years, then destroy.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Operations

Record Group Number
2760U

Series	Records Title and Description	Function and Use
358	**Inter-State Toll Ferry and Bridge Agreements**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
359	**Bridge Agreements - (Other than toll)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
360	**Disaster and Emergency Relief File - (Duplicate) - (Retained as back-up for audit)**	
	Access Restrictions	None
	Contents	Correspondence and monetary information on funds expended
	Retention and Disposition	Destroy after audit and when no longer useful.
361	**Highway Reclassification Recommendations**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy when published in Administrative Regulations.
364	**Federal Programs**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after program phase-out.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Operations

Record Group Number
2760U

Series	Records Title and Description	Function and Use
367	**Disaster and Emergency Relief - (Duplicate) - (Retained as back-up for audit)**	
	Access Restrictions	None
	Contents	Correspondence involving funds expended
	Retention and Disposition	Destroy after audit of original file.
368	**Rural Secondary Program - (Duplicate) - (Project forms and approvals)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.
369	**Resurfacing Program - (Duplicate) - (Letters, reports, plats)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.
370	**Winter Damage Report - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Operations

Record Group Number
2760U

Series	Records Title and Description	Function and Use
371	**Bridge Maintenance Report - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.
372	**Road Embankment Dams - Inspection Report - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.
373	**Rest Areas Report - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years.
376	**County Crew Quotas - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) year.
379	**Equal Employment Opportunity File - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) year.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Operations

Record Group Number
2760U

Series	Records Title and Description	Function and Use
380	**Conservation of Energy File - (Duplicate)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) year.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Pre-Construction

Record Group Number
2760

Series	Records Title and Description	Function and Use
188	**Design File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.
189	**Bridge File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.
190	**Photogrammetry File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.
191	**Right of Way File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.
192	**Parkways File (Toll Roads)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.
193	**Parkway Reports**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional fifteen (15) years. Total retention is twenty (20) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Pre-Construction

Record Group Number
2760

Series	Records Title and Description	Function and Use
194	**Appalachian File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years for a total retention of ten (10) years.
195	**Corps of Engineers File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years for a total retention of ten (10) years.
196	**Federal Highway Administration**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years for a total retention of ten (10) years.
197	**Route Studies File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years. Total retention is ten (10) years.
198	**Interstate General File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years for a total retention of ten (10) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Assistant State Highway Engineer for Pre-Construction

Record Group Number
2760

Series	Records Title and Description	Function and Use
199	**Highway Research Reports**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years for a total retention of ten (10) years.
312	**Specification Development File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	April 1, 1981 Schedule Date
Unit	September 11, 2008 Change Date
	September 11, 2008 Date Approved By Commission

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APPROVALS

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

Agency Head	9/12/08 Date of Approval
Agency Records Officer	9/12/08 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	9/11/08 Date of Approval
Chairman, State Archives and Records Commission	9/17/08 Date of Approval

****

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

Records Analyst/Regional Adminstrator	9-11-08 Date of Approval
Appraisal Archivist	9/11/08 Date of Approval
State/Local Records Branch Manager	9/11/08 Date of Approval

****

The determination as set forth meets with my approval.

Auditor of Public Accounts	9/11/08 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Construction, Division of

Record Group Number
2760EE

Series	Records Title and Description	Function and Use
04793	**Construction Project File (V)**	This series documents state and federal construction projects. Projects can include new highway construction, reconstruction, maintenance and bridge construction. It is used to monitor all activities associated with the various projects. Audits are generally conducted during the life of the projects. After projects are completed and final state vouchers have been paid, series is transferred to the Division of Accounts.The Division of Accounts destroys duplicate records and merges the remainder into the official Construction File (series 06125, Federal Aid Project File, and series 06123, State Project Files, Division of Accounts).The series are destroyed after three years and audit.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Subcontracting data; laboratory test reports; advisement of date work began; date contract completed; federal highway inspection reports; resident engineer reports; final construction inspection reports; piling records for bridge construction; construction permits; calculations and pencil drawings; mill test reports; fabrication inspector's reports; bid documents; change orders; SSN and related correspondence.
	Retention and Disposition	Transfer to the Division of Accounts after final voucher is paid. NOTE: The Division of Accounts maintains the official record, which is destroyed after three (3) years and audit.
04794	**Project Plan File**	This series represents the design copy of proposed construction projects and is used in bid proceedings. It reflects the idea of what the design of the project should be. After the bid process is completed and a contract for construction awarded, the series is used to document original project plans. The proposed plans are completed by the Division of Design.
	Access Restrictions	None
	Contents	Series contains: Blueprints of original project design
	Retention and Disposition	Destroy after final state voucher is paid.
04795	**As-Built Plans and Profile Sheets (V)**	This series documents plans related to construction projects that involve earth work; for example, grades and drains; bridge construction; and structure replacements such as culverts. It represents "as-built" construction and documents all pay quantities, i.e., all materials used on a project. The series is used to verify that the cost of all pay quantities (materials) has been paid to the contractor by the Department of Highways, in compliance with contract plans and specifications. Audits are generally completed during the life of the projects. Original transparent "as-built" plans are received from the project engineer and forwarded to the Division of Design, after final pay quantities have been checked, which typically take 30 days. The plans are microfilmed and retained permanently by the Division of Highway Design.
	Access Restrictions	None
	Contents	Series contains: Project plan sheets
	Retention and Disposition	Transfer to the Division of Design after verification of all pay quantities. NOTE: The Division of Design retains "as-built" plans permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Construction, Division of

Record Group Number
2760EE

Series	Records Title and Description	Function and Use
04796	**Cross-Section and Structure Sheet File (V)**	This series documents the amount of earth work (grades, drains, etc.) associated with a construction project. The structure sheets show the amount of dirt and rock removed from a site in order to build a structure, such as a bridge or culvert. The cross-sections show the depth and width of rock and dirt removed from the site, in order to complete the project. Series reflects the plan of the project, as it was built. It is also used to verify that all materials costs have been paid by the Department for Highways, in compliance with contract plans and specifications. Audits are generally completed during the life of the projects. *Not all projects involve earth work.
	Access Restrictions	None
	Contents	Series contains: Project plan sheets, pipe sheets, structure sheets (drawings of actual structure), bridge plans and drawings
	Retention and Disposition	Retain Cross-Section three (3) years after voucher is paid. Retain Structure Sheet until structure is rebuilt or demolished.
04798	**Field Packet File - Major Grade and Drain Construction Projects (V)**	This series documents required information used to verify pay quantities for major construction projects. Projects may be either state funded or federally funded. It contains all records needed to comply with contract plans and specifications, such as inspector reports, which reflect what transpired on a daily basis at a construction site and that specific quantities were used in the amount and manner required. The series documents weighed quantities, such as surface materials (rock and base). Audits are generally completed during the life of the projects. Note: This series is retained at the District.
	Access Restrictions	None
	Contents	Series contains: Field books, daily work reports, and weigh tickets.
	Retention and Disposition	Destroy all funded projects three (3) years after final voucher is paid.
04799	**Radiographic Film and Ultrasonic Report File (V)**	This series documents compliance with construction project specifications related to bridge and steel fabrication. It was created to provide quality assurance documentation. Radiographic film represents an x-ray of the weld of steel beams used in bridge construction. In particular, x-rays are used for fracture-critical structures. Such structures are constructed to a higher standard and must have immediate corrective action taken, should a beam fail. Ultrasound represents another method of viewing a steel weld. Audits are generally completed during the life of the projects.
	Access Restrictions	None
	Contents	Series contains: X-rays, ultrasonic reports, beam designation, weld tested, date, by whom
	Retention and Disposition	Retain five (5) years.
04800	**Shop Drawings for Bridge Construction - (Duplicate) -**	This series documents the drawings used to build steel and concrete beams for bridge construction. It is used by inspectors inspecting the fabrication of the beams to ensure they are built to contract specifications. A permanent record of all plans is retained by the Division of Bridges. Audits are generally completed during the life of the projects.
	Access Restrictions	None
	Contents	Series contains: Drawings and designs
	Retention and Disposition	Destroy after final voucher is paid.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Construction, Division of

Record Group Number
2760EE

Series	Records Title and Description	Function and Use
05806	**Non-Plan Projects**	This series documents non-plan projects. Typically, these involve surface work, mowing, tree trimming, guardrail replacement and bridge and deck overlays.
	Access Restrictions	None
	Contents	Series may contain: Field books, weigh tickets and related documents.
	Retention and Disposition	Destroy after voucher is paid.

Electronic System With Included Records Series

Transportation Cabinet

Department of Highways

Division of Construction

System Title: **AASHTO - Trns*port - SiteManager** ***Alternate Title:*** **SiteManager - Construction**

System Description: The system allows for the management of the Kentucky Transportation Cabinet's road and bridge construction projects. The system includes contract information, daily work, change orders, payment information, material testing and contract dates. The system generates payments, change order reports, daily work reports and construction forms.

System Contents: Project information - Project #, Project Description, Approval Date, Completion Date, Contract Information - Contract ID, Project #, Contract Description, Location, Vendor Information, Bid Information, Date Let, Date Awarded, Daily Work Information/Work History, Change Orders/Change Order History, Payment Information, Material Details.

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
04793	Construction Project File	Transfer to the Division of Accounts, after final voucher is paid. NOTE: The Division of Accounts maintains the official record, which is destroyed after three years and audit	I
04794	Project Plan File	Destroy after final state voucher is paid	I
04795	As-Built Plans and Profile Sheets	Transfer to the Division of Design after verification of all pay quantities. NOTE: The Division of Design retains all "as-built" plans permanently	I
04796	Cross-Section and Structure Sheet File	Retain in Agency. Cross-Section retain 3 yrs after voucher is paid and destroy. Structure Sheet retain until structure is rebuilt or demolished and destroy.	I

Electronic System With Included Records Series

System Title: **AASHTO - Trns*port - SiteManager** ***Alternate Title:*** **SiteManager - Construction**

System Description: The system allows for the management of the Kentucky Transportation Cabinet's road and bridge construction projects. The system includes contract information, daily work, change orders, payment information, material testing and contract dates. The system generates payments, change order reports, daily work reports and construction forms.

System Contents: Project information - Project #, Project Description, Approval Date, Completion Date, Contract Information - Contract ID, Project #, Contract Description, Location, Vendor Information, Bid Information, Date Let, Date Awarded, Daily Work Information/Work History, Change Orders/Change Order History, Payment Information, Material Details.

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
04798	Field Packet File - Major Grade and Drain Construction Projects	Destroy all funded projects three years after final voucher is paid.	I
04799	Radiographic Film and Ultrasonic Report File	Retain in Agency, Destroy.	5
05806	Non-Plan Projects	Retain in Agency, Destroy after voucher is paid.	I

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

March 12, 2009
Schedule Date

Dept. of Highways/Construction Procurement Division
Unit

June 9, 2016
Change Date

June 9, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 6/1/16

Agency Records Officer — Date of Approval: 6/1/16

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

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

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

Joseph Isaac
Records Analyst/Regional Administrator — Date of Approval: June 1, 2016

Appraisal Archivist — Date of Approval: 6/9/2016

State/Local Records Branch Manager — Date of Approval: 6/8/2016

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The determination as set forth meets with my approval.

Mike Harmon
Auditor of Public Accounts — Date of Approval: 6/9/16

by Melissa Scott

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Construction Procurement, Division of

Record Group Number
2760K

Series	Records Title and Description	Function and Use
04139	**Bid Letting Data Files**	This series documents the proposals used to develop bid packets for highway construction projects. The bid packet is developed from draft proposals submitted by various divisions within Transportation. Completed proposals are sold at a cost of $10.00 per packet to interested suppliers and/or contractors approximately two to three weeks prior to bid date. After bid closure, bids are tabulated and the results are given to the Department's Awards Committee. The Committee, comprised of various Transportation Cabinet Officials, makes the final decision regarding bid awards.
	Access Restrictions	None
	Contents	Series may contain: Notice to contractors, which contains a list of all projects advertised for bid; official orders authorizing bid opening; listing of bid results; proposal sales, order blanks and project listings for each proposal sold; specimen proposals, copies of bid document; and related correspondence.
	Retention and Disposition	Retain for seven (7) years. Destroy after audit.
04140	**Unsuccessful Bid Packets**	This series documents original and valid bids submitted by all unsuccessful bidders (bidders not awarded contract) for highway construction projects.The series provides information regarding unsuccessful bids which can be of value if/when a bid process is called into question by individual contractors and/or an audit.
	Access Restrictions	None
	Contents	Series may contain: Cover sheets, bid items, incomplete work, provision pages, certificate pages, bid bond and related documents and correspondence.
	Retention and Disposition	Retain for five (5) years. Destroy after audit.
04141	**Bid Advertising File**	This series documents the Department's public notice (newspaper releases) of the invitation for bids for construction projects. Notices regarding bid openings are advertised in the major statewide newspapers.In addition to public advertising, notices of the invitation to bid are mailed to a select number of individual contractors appearing on the department's list of pre-qualified vendors. (KRS 176.070 & KRS 424.130)
	Access Restrictions	None
	Contents	Series may contain: Correspondence to newspapers, invoices for payments for advertisement and copies of the newspaper ad/release.
	Retention and Disposition	Retain for five (5) years. Destroy after audit.
05839	**Project Wage-Rate Certification Files**	This series documents Highway Projects Rate Certification. Rates are certified by various Federal Agencies (depending on funding origination) and the Kentucky Labor Cabinet and are used with Wage and Hour reviews to confirm compliance with contract specific wage rates (KRS 337.505 – 337.550)
	Access Restrictions	None
	Contents	Series may contain: Work classifications, rates of pay, fringe benefits payments, engineer's wage and hour report, related documents and correspondence.
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years. Total retention is ten (10) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Construction Procurement, Division of

Record Group Number
2760K

Series	Records Title and Description	Function and Use
05840	**Prequalification Files**	This series documents the prequalification process for contractors per 603 KAR 2:015. All contractors bidding on a construction or maintenance project or accepting a subcontract on a construction or maintenance project of the Transportation Cabinet, Department of Highways, shall be prequalified and possess a certificate of eligibility issued by the department (KRS 176.130 and KRS 176.140). The certificate shall state the maximum eligibility amount and types of work for which the contractor is qualified. The department may waive this requirement on a project not specifically involving the construction or maintenance of a public road in connection with the letting of a contract if the requirement is not mandated by KRS 176.130. The waiver shall be contained in the notice to contractors and the bid proposal for the project. The Commissioner of Highways shall appoint a construction prequalification committee composed of department employees to review each application and make a recommendation to the State Highway Engineer concerning the eligibility of a contractor to bid on a construction or maintenance contract.
	Access Restrictions	KRS 61.878(1)(a)&(c) Personal & Business Information. KRS 176.210 Contract Size.
	Contents	Series may contain: Prequalified Contractor List; Name, address, contact information, vender number and principal officers. Application for Certificate of Eligibility (TC 14-1), financial statements, Contractor's Performance Reports (TC 14-9), Certificate of Authority, Articles of Incorporation, Partnership Agreements, related documents and correspondence.
	Retention and Disposition	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years. Total retention is ten (10) years. Prequalified Contractor List may be destroyed when superseded.
05841	**Compliance Review Files**	This series documents weekly payrolls of contractors working on federally funded highway construction projects, compliance of Federal-aid construction contracts, including equal opportunity requirements, wage and hour reporting and reviews and wage and hour complaints. Payrolls are submitted electronically and stored in Projectwise for use by the Division for audit purposes, and to ensure that highway contractors are complying with state and federal labor regulations. Audits are completed to ensure compliance with prevailing wage laws and wage requirements as set forth in the contract. On-site evaluations and interviews are conducted with workers to verify that prevailing wages are being paid. If a discrepancy is noted, the contractor is advised and corrective action is required. If corrective action is not performed, payments to the contractor can be withheld, bidding privileges can be suspended, or debarment from bidding can occur. The final decisions regarding such actions are made by the contracting officer and the Director, Division of Construction Procurement. The submission of payrolls resulting from state-funded projects to the Division was discontinued in 1982. These payrolls are audited on-site.
	Access Restrictions	KRS 61.878(1)(a) Personal Information.
	Contents	Series may contain: Certified Transcripts of Weekly Payrolls; names, last four digits of employee's SSN, work classification, hourly rates of wages paid, fringe benefits, daily and weekly number of hours worked, deductions made, actual wages paid, contractor information and Statement of Compliance for each payroll. EEO contract compliance review report, supporting compliance documentation of FHWA-1273, Resident Engineer procedures, project site inspection findings and compliance status, related documents and related correspondence.
	Retention and Disposition	Destroy three (3) years after project completion and audit.
05859	**Project Contract Folders**	This series documents state and federal construction projects. Projects can include new highway construction, reconstruction, maintenance and bridge construction. It is used to monitor all activities associated with the various projects. Audits are generally conducted during the life of the projects. After projects are completed and final state vouchers have been paid, series is transferred to the Division of Accounts. The Division of Accounts destroys duplicate records and merges the remainder into the official Construction File (series 573, Federal Aid Project File, and series 574, State Project Files, Division of Accounts).
	Access Restrictions	None
	Contents	Series may contain: Contract and bonds, notice to begin work, authority to sign, project award, certificate of insurance, estimate package, original bid proposal, bid bond, guaranty, approved encumbrance form, project specific details, construction specific details, proposals, related documents and related correspondence.
	Retention and Disposition	Transfer to the Division of Accounts after final voucher is paid. NOTE: The Division of Accounts maintains the official record, which is destroyed after three (3) years and audit.

Electronic System With Included Records Series

Transportation Cabinet

Department of Highways

Division of Construction Procurement

System Description: The system allows for the management of the Kentucky Transportation Cabinet's road and bridge construction projects. The system includes contract information, daily work, change orders, payment information, material testing and contract dates. The system generates payments, change order reports, daily work reports and construction forms. SiteManger has functions that support the Division of Construction Procurement. It monitors construction and maintenance projects from design through construction completion, which includes project letting and award.

System Contents: Project information is entered in the system and stored for historical purposes. The AASHTO system is not available to the general public. Reports are produced and published to the internet. Accounting information is sent to e-Mars as well as payment and change order financial data.

General Schedule Items:

System Title: **AASHTO - Trns*port - SiteManager**

Alternate Title: **TRNS-PORT PES/LAS - SiteManager - BAMS/DSS**

Series #:	*Series Title:*	*Disposition Instructions:*
04139	Bid Letting Data Files	Retain for seven (7) years. Destroy after audit.
05839	Project Wage-Rate Certification Files	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years. Total retention is ten (10) years.
05840	Prequalification Files	Retain for five (5) years. Transfer to the State Records Center for an additional five (5) years. Total retention is ten (10) years. Prequalified Contractor List may be destroyed when superseded.
05841	Compliance Review Files	Destroy three (3) years after project completion and audit.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Deputy State Highway Engineer

Record Group Number
2760

Series	Records Title and Description	Function and Use
174	**Research Project Files**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
175	**Research Subject Files**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
176	**Research Manufacturers and Distributors**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
177	**Specifications**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
178	**Special Provisions**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Deputy State Highway Engineer

Record Group Number
2760

Series	Records Title and Description	Function and Use
179	**County Files**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years.
180	**Multi-Modal Files**	
	Access Restrictions	None
	Contents	May include air, ground, mass transit, rail, and water
	Retention and Disposition	Retain for two (2) years.
181	**Federal Files - Appalachian Regional Commission**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for two (2) years.
182	**Associations File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) years.
183	**Area Development File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for one (1) years.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

September 10, 2009
Change Date

September 10, 2009
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 9/18/09

Agency Records Officer — Date of Approval: 9/16/09

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 9/10/09

Chairman, State Archives and Records Commission — Date of Approval: 9/10/09

****

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

Records Analyst/Regional Adminstrator — Date of Approval: 9-10-09

Appraisal Archivist — Date of Approval: 9/10/09

State/Local Records Branch Manager — Date of Approval: 10 SEP 09

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 9-10-09

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
District Offices

Record Group Number
2760

Series	Records Title and Description	Function and Use
05919	**Construction/ Project Files**	This series documents all state and federal construction and maintenance projects at the district level. Included in this series are all related documents such as fiscal records, testing, labor and equipment distribution costs, studies, plans, preconstruction documents, reports, permits, logs, authorizations, estimates and contracts. Projects can include new highway construction, reconstruction, maintenance and bridge construction and bridge maintenance. These records are used to monitor all activities associated with various projects. Audits are generally conducted during the life of the projects. Original documents are transferred to the appropriate central office(s) as needed and after project completion.
	Access Restrictions	KRS 61.878(1)(a) - SSN
	Contents	Series may contain: Subcontracting data; laboratory test reports; advisement of date work began; date contract completed; federal highway inspection reports; resident engineer reports; final construction inspection reports; piling records for bridge construction; construction permits; calculations and pencil drawings; mill test reports; fabrication inspector's reports; bid documents; change orders; SSN and related correspondence.
	Retention and Disposition	Transfer complete files (original documents) to the Central Office(s) when project completed and as needed. District copies may be destroyed when administrative value has ended.
05920	**As-Built Plans**	This series documents plans related to construction projects. For example, grades and drains, bridge construction and structure replacements such as culverts. It represents "as-built" construction and documents all pay quantities, i.e., all materials used on a project. This series is used to verify that the cost of all pay quantities (materials) have been paid to the contractor by the Department of Highways in compliance with contract plans and specifications. Audits are generally completed during the life of the projects. Original transparent "as-built" plans are sent by the project engineer to the Division of Highway Design after final pay quantities have been checked. The plans are microfilmed and also retained permanently by the Division of Highway Design series 05801.
	Access Restrictions	None
	Contents	Series may contain: Plan sheets from roadway, traffic, utilities; structural plans, county project correspondence and related documents and correspondence.
	Retention and Disposition	Retain in District Office Permanently.
05921	**Right of Way Files**	This series documents road/bridge construction projects of the Transportation Cabinet. Records in this series originate when an Administrative Order (M0003) is issued to begin a project. The Division of Right of Ways and Utilities then proceeds to purchase land in the right-of-way of the construction. The state has eminent domain in the purchase of easement or right of way. The right of eminent domain is the right of the state, through its regular organization, to reassert, either temporarily or permanently, its dominion over any portion of the soil of the state on account of public exigency and for the public good. Therefore, the legislature may authorize the appropriation of same to public purposes, such as the opening of roads, construction of defenses, or providing channels for trade or travel. Once project completed and all original documents have been transferred to the Central Office(s), District copies are used for information, reference and research purposes. The Division of Right of Way and Utilities maintains these documents permanently - series 05808.
	Access Restrictions	KRS 61.878 (1)(f) Real Property
	Contents	Series may contain: Appraisal, commissioner's report, notice of excess, improvement record, relocation assistance, conceptual stage reports and estimates, relocation plan reports and inventories, individual relocation assistance, parcel file- relating to contracts, claims and payments, sign and billboard acquisitions records, appraisal summaries, comparable sale reports., authorization for expenditure of funds from the Division of Finance. Historical files: cost breakdown, order and judgments, record of negotiations, MOU, project working plan, grave removal contract file, consent and authorization agreements records and plats of disinterment and reinterment.
	Retention and Disposition	Transfer complete files (original documents) to the Central Office(s) when project completed and as needed. District copies may be destroyed when administrative value has ended.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
District Offices

Record Group Number
2760

Series	Records Title and Description	Function and Use
05922	**Permit Files**	This series documents encroachment, billboard and signage permits issued by the District Offices granting permission to work on a state highway right-of-way or close at least one lane of a state highway. Permits may be necessary for driveway installation and maintenance, highway landscaping, graffiti removal, commercial filming, special events such as parades, special event banners, signs and utilities work. Permits are completed and sent to the appropriate District office for approval. The type of encroachment is listed and the dates of the encroachment if known. Once the permit has been approved, there are agreements that are signed by the parties that dictate when, how long, and how the project is to be completed. When work has been completed, the applicants forward notice of completion of encroachment to the appropriate District office. The District office sends an inspector to inspect the worksite for proper completion. If approved, the District office will complete a notice of release.
	Access Restrictions	None
	Contents	Series may contain: Encroachment permit application, Encroachment work release, notice of completion, Encroachment permit general notes and specifications, maps and information about the projects, related correspondence and related documents.
	Retention and Disposition	Transfer to Central Office(s) as needed. Destroy two (2) years after notice of release is issued by district office.
05923	**Case Files - Condemnation for Right of Way**	This series documents the legal files that relate to the Transportation Cabinet's acquisition of real property. Under the terms of KRS 177.250, highway authorities of the state, county or city may acquire private or public property and property rights for limited access facilities and service roads, including rights of access, air, view and light, by gift, devise, purchase or condemnation, in the same manner as such units are authorized by law to acquire property or property rights in connection with highways and streets within their respective jurisdictions. District offices are required to transfer all pertinent original documents to the central office where they are maintained fifteen (15) years after case closure – series 05006.
	Access Restrictions	KRS 61.878(1)(a)(i)(j) - Personal Information, Preliminary drafts and preliminary recommendations.
	Contents	Series may contain: Pleadings, settlements, property descriptions, plan sheets, copies of deeds, working notes and related documents and related correspondence.
	Retention and Disposition	Transfer complete files (original documents) to the Central Office(s) after case closed and as needed. District copies may be destroyed when no longer needed.
05924	**General Case Files**	This series may document all general legal cases assigned to the district level. Typically, these are Encroachment, Board of Claims and Workers Compensation cases. Cases are assigned to the districts by the central office. This series captures copies of legal proceeding documents and attorney's working records/files. District offices are required to transfer all pertinent original documents to the central office where they are maintained until final judgment -series 150 and 151.
	Access Restrictions	KRS 61.878(1)(a)(i)(j) - Personal Information, Preliminary drafts and preliminary recommendations.
	Contents	Series may contain: Case assignments, pleadings, complaints, discovery documents, hearing materials, attorney/client correspondence and related documents and related correspondence.
	Retention and Disposition	Transfer complete files (original documents) to the Central Office(s) after case closed and as needed. District copies may be destroyed when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
District Offices

Record Group Number
2760

Series	Records Title and Description	Function and Use
564	**Covington and Cincinnati Bridge Company Records**	CLOSED SERIES: The Kentucky General Assembly granted a charter to the founders of the Covington & Cincinnati Bridge Company in 1846. The actual Covington & Cincinnati Suspension Bridge was formally completed on December 1, 1866. The bridge was 1,619 feet across and cost the company approximately 1.8 million dollars to construct. To help offset costs, the company established tollbooths on both ends of the bridge and charged three cents per person to walk across it. In the first three days that the bridge was open, approximately 120,000 people walked across the bridge. In 1896 and again in 1955, the bridge underwent renovation, including widening, the replacement of oak planks with metal sheets for a firmer base, and the addition of electric lights. The Covington-Cincinnati Bridge Company--a private company--operated the bridge until the Commonwealth of Kentucky purchased it in 1953 for $4.2 million. Note: Kenton County Public Library has various significant early (1847, 1876) documents in their collection.
	Access Restrictions	None
	Contents	Includes listing of names for preferred stock for which no certificates received, 1885; Board of Directors quarterly reports and minutes 1925 to 1946; Director's Meeting Book, 1856; Bridge Company accounts received ledgers, 1932
	Retention and Disposition	Transfer to the State Archives Center for Permanent retention.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Energy Program

Record Group Number
2760

Series	Records Title and Description	Function and Use
418	**Program File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for two (2) years. Transfer to the State Records Center for an additional five (5) years. Total retention is seven (7) years.
419	**Project File**	
	Access Restrictions	None
	Contents	May include project authorization and modification (TD10-1, TD10-2); memorandum assigning a project number (TD20-2); instruction; estimates for road construction for improvement; inspection report of road proposed for improvement; county map showing road location
	Retention and Disposition	Retain for two (2) years. Transfer to the State Records Center for an additional five (5) years. Total retention is seven (7) years.
420	**Survey File**	
	Access Restrictions	None
	Contents	May include contractor's estimate; maintenance reports; final construction inspection report (TD63-4); report on location survey; official order for survey and plans (TD61-409); geometric design (TD61-404); county map and photo map of road
	Retention and Disposition	Retain two (2) years. Transfer to the State Records Center for an additional five (5) years. Total retention is seven (7) years.
421	**District Conference and Recommendations - (Fiscal Court Meetings)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain two (2) years. Transfer to the State Records Center for an additional five (5) years. Total retention is seven (7) years.
422	**Estimate File - Non-Constructed Projects**	
	Access Restrictions	None
	Contents	Estimate part of project file if proposal is constructed
	Retention and Disposition	Retain two (2) years.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Engineering Agreements

Record Group Number
2760

Series	Records Title and Description	Function and Use
213	**Engineering Contract Agreements with Consulting Engineering Firm**	
	Access Restrictions	None
	Contents	May include third party agreements, supplementary agreements, extra work/stop-start orders, third party contract reports and related correspondence
	Retention and Disposition	Retain Permanently.
214	**Prequalification Committee for Consultant Engineer File**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy when no longer useful.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

September 10, 2015
Schedule Date

Dept. of Highways/Div. of Environmental Analysis
Unit

Change Date

September 10, 2015
Date Approved By Commission

****

APPROVALS

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

Agency Head — Date of Approval: 8/4/15

Agency Records Officer — Date of Approval: 8/4/15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 9/10/15

Chairman, State Archives and Records Commission — Date of Approval: 9/10/15

****

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

Records Analyst/Regional Administrator — Date of Approval: August 7, 2015

Appraisal Archivist — Date of Approval: 9/9/2015

State/Local Records Branch Manager — Date of Approval: 9/10/15

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 9/10/15

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Environmental Analysis, Division of

Record Group Number
2760DD

Series	Records Title and Description	Function and Use
06565	**Environmental Project Folder (V)**	This series represents all activities associated with the review, preparation, and oversight of environmental documents completed by the Division of Environmental Analysis and used to identify the environmental impact associated with planning, design, construction, operation, and maintenance of Transportation Cabinet (KYTC) projects. KYTC projects are subject to environmental laws, regulation, and guidance at both federal and state levels. Obtaining environmental clearance is a critical step in the federal-aid process and the environmental documents record the project decision-making process including the evaluation and selection of project alternatives through consideration of engineering, environmental, and economic factors. The environmental documents are prepared by conducting base studies across a number of environmental study areas.
	Access Restrictions	
	Contents	Series may contain: Project memoranda; Award of Contract; Plans and Specifications; Environmental Overview; Categorical Exclusion; Environmental Assessment; Finding of No Significant Impact; Draft Environmental Impact Statement; Final Environmental Impact Statement; Record of Decision; Project Impact Profile; Guidance and Accountability Forms; Field Evaluations; Traffic Noise Analysis; Air Quality Impact Analysis; Socioeconomic Impact Analysis; Ecological Impact Assessment; Cultural Resource Assessment; Underground Storage Tank and Hazardous Material Impact Assessment; Water-Related Permits; Transportation Cabinet forms and other supporting documentation; related documents and correspondence.
	Retention and Disposition	Retain completed Environmental Documents permanently in agency.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

March 12, 2009
Change Date

March 12, 2009
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3/24/09

Agency Records Officer — Date of Approval: 3/17/09

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/12/09

Chairman, State Archives and Records Commission — Date of Approval: 3/12/09

****

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

Records Analyst/Regional Administrator — Date of Approval: 3/12/09

Appraisal Archivist — Date of Approval: 3/12/09

State/Local Records Branch Manager — Date of Approval: 3/12/09

****

The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3/12/09

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Equipment, Division of

Record Group Number
2760

Series	Records Title and Description	Function and Use
05842	**Equipment History Master Files (V)**	This series documents information regarding the preparation of specifications for the purchase of the Cabinet's medium and heavy construction equipment fleet, minor equipment tools, repair services information, warehouse material distribution system information, services for sale and disposal of surplus equipment, operational cost information associated with the Cabinet's fleet of highway equipment, the Cabinet's 2-way radio communication system and all supporting documentation for services and oversight necessary to provide the Cabinet with a functional equipment fleet. This information is used daily to track fixed assets for the Cabinet.
	Access Restrictions	None
	Contents	Series may contain: Certificates of registration, Bills of Sales, Equipment serial numbers, Vehicle identification numbers, Stock inventories, Equipment location, Equipment service reports, Labor reports, Service orders, Operational costs data, Equipment transfer reports, Motor vehicle release documents and related documents and related correspondence.
	Retention and Disposition	Destroy hardcopies as information is uploaded to database. Purge database five (5) years after disposal of equipment. Retain FCC-required records for (10) ten years, destroy hardcopies and purge database.

Electronic System With Included Records Series

Transportation Cabinet

Department of Highways

Division of Equipment

System Title: **Operations Management System** ***Alternate Title:*** **OMS**

System Description: The Operations Management System (OMS) is used to assist the Kentucky Transportation Cabinet (KYTC) personnel with the purchasing, maintenance and tracking of equipment, labor and materials.

System Contents: Major Modules include Equipment, Labor, and Maintenance. KYTC personnel input information pertaining to Department of Highway equipment including: equipment descriptions and locations, history, maintenance, fueling, licensure information, labor data, leases/rentals and labor costs, purchase information, sale and disposal information.

KYTC personnel input labor data assigned to projects. They also input all records relating to materials including inventory quantities. The system is used throughout the state to place orders for equipment to the warehouse. The actual inventory is maintained by Central Office personnel.

Output records include: Financial, Maintenance, Operational and Statistical reports. Examples include: EQP 20 - Transportation Integrated Payroll System (TIPS) (will be obsolete when KHRIS is operational), LAB 10 - Work Order Validation, EQP 27 - Equipment Validation to the Agency Assigned Information System (AAVS), EQP 12.1 - Monthly Equipment Charges, EQP 13.1 - Weekly Equipment Charges, EQP 18 - Weekly Pooled Usage Charges, EQP 19.1 - Motor Pool Equipment Validation, EQP 19.2 - Motor Pool Group Code Validation.

Data in database is purged five years after the disposal of the equipment.

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
05842	Equipment History Master Files	Destroy hardcopies as information is uploaded to database. Purge database (5) five years after disposal of equipment. Retain FCC-required records for (10) ten years, destroy hardcopies and purge database.	Ind

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	April 1, 1981 Schedule Date
Unit	September 11, 2008 Change Date
	September 11, 2008 Date Approved By Commission

****

APPROVALS

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

Agency Head	9/12/08 Date of Approval
Agency Records Officer	9/12/08 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	9/11/08 Date of Approval
Chairman, State Archives and Records Commission	9/17/08 Date of Approval

****

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

Records Analyst/Regional Adminstrator	9-11-08 Date of Approval
Appraisal Archivist	9/11/08 Date of Approval
State/Local Records Branch Manager	9/11/08 Date of Approval

****

The determination as set forth meets with my approval.

Auditor of Public Accounts	9/11/08 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Highway Design, Division of

Record Group Number
2760F

Series	Records Title and Description	Function and Use
05801	**As Built Plans**	This series documents state highway projects that have been completed and state owned right-of-way and easement limits.
	Access Restrictions	None
	Contents	Series may contain: Plan sheets from roadway, traffic, utilities; structural plans, county project correspondence and related documents and correspondence.
	Retention and Disposition	Retain Permanently.
05802	**Project Files**	This series documents highway project development and all the parameters that are considered during the decision making phases of the process.
	Access Restrictions	None
	Contents	Series may contain: Design executive summary, pavement design, meeting minutes, maintenance of traffic approval, environmental documents, terrain data, geometric design sheets, public involvement documents, project progress log, project reviews, landscape design plans, related correspondence and location information on roadside parks, rest areas and information centers.
	Retention and Disposition	Retain Permanently.
05803	**Drainage Files**	This series documents water drainage analysis and water draining design for all state highway projects.
	Access Restrictions	None
	Contents	Series may contain: Drainage calculations, meeting minutes, hydraulic and structural drawings, culvert and bridge summary sheet, structure summaries, plans, construction company names, consultant names, district number, drawing number, inspection data, route number, related documents and related correspondence.
	Retention and Disposition	Retain Permanently.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

June 10, 2010
Schedule Date

Dept. of Highways/Div. of Maintenance
Unit

September 10, 2015
Change Date

September 10, 2015
Date Approved By Commission

****

APPROVALS

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

Agency Head — Date of Approval: 8/4/15

Agency Records Officer — Date of Approval: 7/30/15

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 9/10/15

Chairman, State Archives and Records Commission — Date of Approval: 9/10/15

****

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

Records Analyst/Regional Administrator — Date of Approval: August 7, 2015

Appraisal Archivist — Date of Approval: 9/9/2015

State/Local Records Branch Manager — Date of Approval: 9/10/15

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 9/10/15

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Maintenance, Division of

Record Group Number
2760L

Series	Records Title and Description	Function and Use
03115	**Bridge Maintenance History Files**	This series documents the physical characteristics, repairs and maintenance history of all bridges including drainage structures located in Kentucky where this Division has responsibilities. When this Division receives notification that a bridge has been completed, district highway engineers inspect the bridge and drainage structures and document the results. The file is updated each time the bridge and drainage structure is inspected, which generally occurs annually or semiannually. Bridges which have known defects or problems, are inspected more frequently. Also documented in this series are any alterations to the bridge's structure and subsequent repairs.
	Access Restrictions	None
	Contents	Series may contain: Location and physical characteristics of bridges; Engineering data reflecting the original design of the bridge; Status reports; Alteration history; Structural inventory and appraisal reports; Inspection reports; and related documents and correspondence.
	Retention and Disposition	Transfer to the State Record Center following closure or replacement of the bridge for an additional seven (7) years.
03118	**Annual National Bridge System Report**	The National Bridge Inspection report is an annual compilation of the data elements for all bridges accessible by the public contained in the Bridge Inventory System. It is the structural inventory of each public access bridge and culvert over 20 ft. in the state of Kentucky. This data is first collected during the initial inspection which follows a bridge's construction and is updated following periodic inspections by District engineers. While the Division of Maintenance developed the Bridge Inventory System in compliance with the 1968 Federal Highway Administration Act, this report is used primarily as a reference tool by the Division of Maintenance and the Highway District engineers. It aids these Divisions in planning for repair and replacement of bridges. This report is also used by bridge maintenance personnel to answer questions pertaining to load capacity and clearance.
	Access Restrictions	None
	Contents	Series may contain: Location, traffic patterns, structural and maintenance conditions, proposal documents for improvements, including cost estimates, related documents.
	Retention and Disposition	Destroy when superseded.
05934	**Permits Files**	This series documents encroachment, billboard and signage permits issued by the Division granting access permission to a road on the state highway system and/or to conduct any type of work activity on the right-of-way. Permits may be necessary for driveway installation and maintenance, highway landscaping, graffiti removal, commercial filming, special events such as parades, special event banners, signs and utilities work. Permit applications are completed and sent to the appropriate District office for approval. The type of encroachment is listed and the dates of the encroachment if known. Once the permit has been approved, any necessary bond arrangements are made before work begins. When work has been completed, the applicants forward notice of completion of encroachment to the appropriate District office. The District office sends an inspector to inspect the worksite for proper completion. If approved, the District office will complete a notice of release for the bond. The permit remains in effect until a predetermined date or until the encroachment is removed, released or revoked by the Cabinet.
	Access Restrictions	None
	Contents	Series may contain: encroachment permits, advertising device permits, recycler permits, airspace lease\agreements, specifications and conditions, encroachment permit bonds, general notes and specifications, plans and related correspondence and related documents.
	Retention and Disposition	Destroy seven (7) years after permit is released/removed or revoked.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Maintenance, Division of

Record Group Number
2760L

Series	Records Title and Description	Function and Use
05935	**Bridge Maintenance Contracts with Adjoining States**	This series documents the agreement that the Transportation Cabinet has with adjoining states for each bridge that connects Kentucky to that state. The agreements detail ownership, maintenance responsibilities and funding participation for each state for each bridge. The agreements stay in place until they are modified or replaced by a new agreement for the life of the bridge. Documentation will include when agreements are terminated and why.
	Access Restrictions	None
	Contents	Series may contain: the current agreement, related correspondence and related documents.
	Retention and Disposition	Retain Permanently.
05936	**Maintenance and Traffic Local Agreements**	This series documents Maintenance contracts with cities and local governments throughout Kentucky. Defines areas of responsibility for the Cabinet and the local government regarding road signs, drainage maintenance, snow removal and mowing. Contracts typically run perpetual with little or no changes over many years.
	Access Restrictions	None
	Contents	Series may contain: Signed contract, related documents and correspondence.
	Retention and Disposition	Retain current agreement, destroy superseded agreements after 8 years.
05937	**Resurfacing Program Files**	This series documents contract specifics for the FD05 resurfacing program. The Resurfacing Program is an annual program that identifies the appropriate asphalt pavement resurfacing projects based on data, engineering judgment and generates contract proposals and awards contracts to prequalified contractors. Pavement conditions generally fall into one of three categories: good, fair and poor. A resurfacing project is up to 1.5 inches of new asphalt surface. It may or may not include milling the previous surface off before laying the new surface. It addresses only the most critical of safety features, including guardrail end treatments and curb ramps. Using the pavement condition data and engineering judgment, asphalt pavements needing resurfacing are identified and prioritized. The engineering judgment weighs factors such as daily traffic or planned utility or construction work, in addition to the physical condition of the pavement. The Department's construction program administers the contracts.
	Access Restrictions	None
	Contents	Series may contain: Notes, specifications, bid items, quantities, award amount, related correspondence and related documents.
	Retention and Disposition	Destroy eight (8) years after completion, termination or expiration and audit.
05950	**Bridge Rating File**	This series documents every public bridge in Kentucky inspection which is performed at least once every two years. Under certain circumstances inspections may be more frequent. Each bridge inspection is completed using National Bridge Inspection (NBI) standards as well as some additional Kentucky-specific requirements. The data is entered into the computer software "Pontis" and appropriate photographs are attached electronically to that inspection document. If the structure is not owned by the Commonwealth, there may be correspondence between the Cabinet personnel and the agency that owns the structure documented here as well.
	Access Restrictions	None
	Contents	Series may contain: completed inspection form, notes, photographs and related correspondence and related documents.
	Retention and Disposition	Retain Permanently.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Maintenance, Division of

Record Group Number
2760L

Series	Records Title and Description	Function and Use
06617	**Roadway Viewer Photo Log File**	This series documents digital roadway imagery, gathered by Transportation Cabinet's (KYTC) Division of Maintenance, of the Commonwealth's Interstates and National Highway System roads for the purpose of sign, guardrail, and pavement evaluation. The Division of Maintenance utilizes a team of collection vehicles to travel along Interstate and National Highway System routes with data collection occurring at 26 foot increments. Photo sets are taken with corresponding Global Positioning System (GPS) data and pavement crack measurement data. KYTC staff access most recent photo data sets to prioritize locations for further evaluation. Locations are updated within a two-year time frame.
	Access Restrictions	
	Contents	Series may contain: photo set for location point; county; route type; route number; collection date; direction; RT_Unique; Mile point; annual average daily traffic (AADT); AADT year; functional class; State Highway system; session name; pavement measurements; and GPS data.
	Retention and Disposition	Retain each location's photograph sets in agency at the original format and resolution for three (3) years. Then compress file size of images for storage purposes and retain for four (4) more years. Total retention of photograph sets is seven (7) years. Retain pavement measurement data permanently in agency.

Electronic System With Included Records Series

Transportation Cabinet

Department of Highways

Division of Maintenance

System Description: The Roadway Viewer Photolog is used by the Transportation Cabinet's Division of Maintenance for the purpose of asset extraction and pavement evaluation of National Highway System roads and Interstates. Much of this data is required to fulfill FHWA reporting requirements for HPMS and MAP21. The Photolog website and pictures cover a need in the cabinet for in-office project field review. These images are also used to capture roadway assets such as signs and guardrails.

System Contents: Vehicles collect photos of Kentucky roads and right-of-way every 26.4 feet. Other items collected with this system are pavement rutting, pavement roughness, route geometry, pavement cross-slope, and pavement cracking. Database contains tables that store "sessions" tested by the vehicles, as well as condition data derived from those tests, and assets collected from those sessions. Generally this data is entered/imported by Central Office staff. Some asset information is collected by field staff or other contract employees.

General Schedule Items:

System Title: **Roadway Viewer Photolog** ***Alternate Title:*** **V4VNDTA**

Series #:	*Series Title:*	*Disposition Instructions:*
06617	Roadway Viewer Photo Log File	Retain each location's photograph sets in agency at the original format and resolution for three (3) years. Then compress file size of images for storage purposes and retain for four (4) more years. Total retention of photograph sets is seven (7) years. Retain pavement measurement data permanently in agency.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	April 1, 1981 Schedule Date
Unit	September 11, 2008 Change Date
	September 11, 2008 Date Approved By Commission

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APPROVALS

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

Agency Head	9/12/08 Date of Approval
Agency Records Officer	9/12/08 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	9/11/08 Date of Approval
Chairman, State Archives and Records Commission	9/17/08 Date of Approval

****

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

Records Analyst/Regional Adminstrator	9-11-08 Date of Approval
Appraisal Archivist	9/11/08 Date of Approval
State/Local Records Branch Manager	9/11/08 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts	9/11/08 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Materials, Division of

Record Group Number
2760M

Series	Records Title and Description	Function and Use
03917	**Soil Reports and Geologic Maps**	This series documents information on soil tests taken by engineers of the Transportation Cabinet on proposed road sites in Kentucky. The engineers take soil samples from the road area and bring them in to the Division of Materials for testing. The results are prepared by the Geotechnical Branch to aid the design engineer in evaluating soil types, rock types, and/or other geological features in the designing of proposed roads. Once the testing is completed, it is determined the kind of foundation the road is being built on. Some of the testing information is input into the MITIS system. The maps are used to view the formation of the earth under the road construction site.
	Access Restrictions	None
	Contents	Series may contain: Identification number; inspector social security number; date sampled; type of inspection; producer number/supplier number; material code; inspected quantity; lot number; sampled from; county; name; crew; sample sequence number; original indent; description; units; project number; quantity; date assigned; type of construction; pass/fail; costs; reason; physical; chemical; sieve analysis; size; Sp. gravity; remarks; copies; topographical maps
	Retention and Disposition	Retain Permanently.
03918	**Quarry Reports**	This series documents individual quarry production and aggregate performance based on test data. Quarry reports are generated from data derived from inspections and material testing. All state-approved quarries (Open Face or Mine) must have a current quarry report on file at the Division of Materials. All data collected and maintained are for the sole use of the Kentucky Transportation Cabinet for the maintenance and construction of highway projects.
	Access Restrictions	None
	Contents	Series may contain: Source/Producer Number; Source/Producer Name; Type of Operation; Geologic Age/Formation; County; Location; Last Inspected By; Date Reported; Physical and Chemical Test Data; Dates Sampled; Ledge/Bench Thickness; Geologic Description of Ledges or Benches; Remarks and Geologic Profile.
	Retention and Disposition	Destroy one (1) year after quarry is closed.
03919	**Project File (V)**	This series documents information on all materials used in state road and bridge construction in Kentucky. The Division of Materials is charged with the testing of all materials used in the construction of state roads and bridges. The quality of all materials used in each project must be checked/verified by the division. The Project File documents selected results of this testing, documents that all required sampling and testing have been performed and if all required sampling and testing have not been performed, documents that the deficiency has been addressed and what actions have been taken.
	Access Restrictions	None
	Contents	Series contains: Selected pages of the contract proposal, notice to begin work, asphalt mixture spreadsheets, copies of failing material notifications, selected test results on aggregate, concrete, chemical items, physical items, liquid asphalt, asphalt mixtures and related correspondence.
	Retention and Disposition	Destroy three (3) years after completion of project, and audit.

Electronic System With Included Records Series

Transportation Cabinet

Department of Highways

Division of Materials

System Title: **AASHTO - Trns*port - SiteManager** ***Alternate Title:*** **SiteManager - Materials**

System Description: SiteManger was modified to include functions that support the Division of Materials. It documents material testing on KYTC contracts and monitors material for conformance with specifications.

System Contents: Material information and testing data. Input includes sample information, test results, sampling and testing requirements, material information, approved materials, producers, samplers, testers, sampler qualifications and tester qualifications. Output is various business objects reports.

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
03918	Quarry Reports	Retain in Agency, Destroy one (1) year after quarry is closed.	I
03919	Project File	Retain in Agency, Destroy three (3) years after completion of project, and audit	I

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

September 9, 2010
Schedule Date

Division of Planning
Unit

March 10, 2016
Change Date

March 10, 2016
Date Approved By Commission

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APPROVALS

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

Agency Head — 11-10-15 Date of Approval

Agency Records Officer — 11/10/15 Date of Approval

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

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

****

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

Joseph Isaac
Records Analyst/Regional Administrator — November 12, 2015 Date of Approval

Appraisal Archivist — 3/10/2016 Date of Approval

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

****

The determination as set forth meets with my approval.

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

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Planning, Division of

Record Group Number
2760N

Series	Records Title and Description	Function and Use
06056	**Traffic Volume and Classification Counts**	This series documents administration of traffic data collected at more than fourteen-thousand traffic count station locations throughout the state by the Division of Planning. This data is used primarily for the Highway Performance Monitoring System (HPMS) report which is submitted annually to the Federal Highway Administration (FHWA) which subsequently uses this information to determine states federal funding disbursement levels. The HPMS is the national level highway information reporting system that includes data on the extent, condition, performance, use, and operating characteristics of the Nation's highways. In general, the HPMS contains administrative and extent of system information on all public roads, while information on other characteristics is represented in HPMS as a mix of universe and sample data for arterial and collector functional systems. Limited information on travel is included in summary form for the lowest functional systems. Reports include: Daily Vehicle Travel (Totals of Urbanized Areas, Small Urban Areas, Rural Areas, and Statewide); Daily Truck Travel (Statewide Summary - Sample Data); Mileage and Daily Vehicle Miles Traveled (by County and Functional Class). Additionally, the Division of Planning uses this data to aid state highway design, to perform needs analysis, to determine optimal time to perform construction and repairs, etc. Traffic data is also made available to the public.
	Access Restrictions	None
	Contents	Series contains: County, route mile point range for traffic volume, vehicle classifications, truck percentages, weight table, weigh-in-motion (WIM) data, etc.
	Retention and Disposition	Retain for ten (10) years.
06066	**State Maintained Roadways Mileage File**	This quarterly report documents the changing mileage maintained by the Kentucky Transportation Cabinet. The report has sections summing each of the six state primary road system classifications within each county and within each highway district. It also has statewide mileage totals for each classification. These reports are used to monitor the roadway mileage currently being maintained by the Cabinet and can be used for research purposes to verify rates of change, areas of change and other statistical information regarding state roadways to aid in making planning and funding decisions for Kentucky's highways.
	Access Restrictions	None
	Contents	Series contains quarterly reports of mileage within each State Primary Road System classification by county, by district or statewide.
	Retention and Disposition	Retain Permanently.
06067	**Roadway Maintenance File**	This series documents any time a revision is made to a state-maintained roadway from initial construction, or reconstruction through paving and bridge building, or repair. Each card or electronic file documents a single project and includes information on the county, highway district number, current and previous road names and numbers, the route length, the construction project number, the type of pavement on the section and/or the amount of pavement used to pave the road and comments as to the document by which the project was accepted into the state system and other pertinent information. This series documents changes over time, for example, showing that one sections of an 8-mile route segment was paved in 1947 and another in 1949. This data allows for analysis of roadway and pavement performance over time. Similar information is kept for every bridge on the state-maintained road system and is also used for analysis. All of the information is used to help make planning and funding decisions and to prioritize road project decisions.
	Access Restrictions	None
	Contents	Series contains: Single project and includes information on the county, highway district number, current and previous road names and numbers, the route length, the construction project number, the type of pavement on the section and/or the amount of pavement used to pave the road, comments as to the document by which the project was accepted into the state system and other related documents.
	Retention and Disposition	Retain Permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Planning, Division of

Record Group Number
2760N

Series	Records Title and Description	Function and Use
06068	**Roadway Functional Classification - (Highway Systems) -**	This series documents establishment of and revisions to, the Functional Classification of Kentucky's roadways. The classification is used for many purposes throughout the Transportation Cabinet. Through the reporting of highway performance measures (HPMS) to FHWA, it forms the basis for FHWA determination of funding allocations to Kentucky. The classification for a new road project must be determined before any design work can be accomplished since each classification requires different characteristics. Roadway functional classification is also a factor in analysis of the operation of the roadway network, in placement of traffic control devices, traffic counting devices and other informaiton regarding the performance and use of the statewide highway network.
	Access Restrictions	None
	Contents	Series contains a listing for each county by county number, route number and milepoint of the roads within that county that are classified higher than local with their functional classification code. Each record contains a description of the terminal points of the classification.
	Retention and Disposition	Retain Permanently.
06081	**Highway Performance Monitoring System (HPMS) Annual Submittal and Report**	This series documents the annual submittal and report of all roadway information collected on all state maintained routes and locally owned collectors and arterials throughout the state by the Division of Planning. This data is used primarily for the Highway Performance Monitoring System (HPMS) report which is submitted annually to the Federal Highway Administration (FHWA) which subsequently uses this information to determine states federal funding disbursement levels. The HPMS is the national level highway information reporting system that includes data on the extent, condition, performance, use, and operating characteristics of the Nation's highways. In general, the HPMS contains administrative and extent of system information on all public roads, while information on other characteristics is represented in HPMS as a mix of universe and sample data for arterial and collector functional systems. Limited information on travel is included in summary form for the lowest functional systems. Reports include: Daily Vehicle Travel (Totals of Urbanized Areas, Small Urban Areas, Rural Areas, and Statewide); Daily Truck Travel (Statewide Summary - Sample Data); Mileage and Daily Vehicle Miles Traveled (by County and Functional Class). Additionally, the Division of Planning uses this data to aid state highway design, to perform needs analysis, to determine optimal time to perform construction and repairs, etc.
	Access Restrictions	None
	Contents	Series contains: County, route and mile point range for all roadway characteristics, functional class, traffic count, evaluation sections, pavement and other relevant data.
	Retention and Disposition	Retain Permanently.
06638	**Sub-Recipient Contract Files**	This series documents the administration of contracts between the Transportation Cabinet (KYTC) and various sub-recipients of state and federal funds for planning activities and non-infrastructure projects that are administered by Division of Planning. The Division of Planning coordinates the transportation planning process between the Metropolitan Planning Organizations (MPOs), the Area Development Districts, the Highway District Offices, and other planning agencies of the Commonwealth.
	Access Restrictions	
	Contents	A signed agreement, environmental approval, programming approvals, audit, work program, performance and expenditure report, and copies of invoices; correspondence; and other supporting documentation.
	Retention and Disposition	Retain for eight (8) years after submission of final expenditure report, then destroy. If no final expenditure report is created, retain for eight (8) years after project closure, then destroy.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	December 10, 2009 Schedule Date
Unit	December 10, 2009 Change Date
	December 10, 2009 Date Approved By Commission

****

APPROVALS

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

Agency Head	12/13/09 Date of Approval
Agency Records Officer	12/11/09 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	12/10/09 Date of Approval
Chairman, State Archives and Records Commission	12/10/09 Date of Approval

****

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

Records Analyst/Regional Adminstrator	12-10-09 Date of Approval
Appraisal Archivist	12/10/09 Date of Approval
State/Local Records Branch Manager	12/10/09 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts	12/10/09 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Professional Services, Division of

Record Group Number
2760BB

Series	Records Title and Description	Function and Use
05945	**Consultant Files**	This series documents negotiating and contracting for professional engineering and engineering related services. The Transportation Cabinet follows the policies set forth in KRS 45A for the processing of contracts and contract modifications. When contracting for professional engineering and engineering related services with a firm the Cabinet prepares an estimate of the resources necessary to complete the project. Before an agreement with a professional firm is binding, a Legislative Research Commission Personal Services Contract Proof of Necessity (PON) and a contract is prepared, approved and signed by the Secretary of Transportation. Upon completion of the contract, the Cabinet reviews the work performed to determine whether it met the terms and conditions of the contract and evaluates the firm for future reference.
	Access Restrictions	None
	Contents	Series may contain: Bulletin, meeting minutes, signed agreement, notice to proceed/notice for payment, fee proposal, department estimate, signed contract modifications, receipt of approval, related documents and related correspondence.
	Retention and Disposition	Destroy four (4) years after final invoice payment and/or final audit completion.
05946	**Prequalification Files**	This series documents prequalification application and correspondence between the department and the consultant. In accordance with KRS 45A.825(1)(a)(b), engineering and engineering related services consultants must be prequalified prior to the notice of a request for proposals to which the consultant firm intends to respond. Prequalification remains in effect for twelve (12) months from the date of prequalification. To be considered for a contract to provide professional engineering and engineering related services for the Transportation Cabinet, a firm must meet the Cabinet's prequalification requirements before responding to a Cabinet advertisement for professional services. The Division of Professional Services ensures that the Cabinet has at its disposal and available for use, a current list of prequalified consulting engineering firms and other professionals. In even calendar years, prequalified firms submit qualification and performance data on or prior to their anniversary dates of prequalification. In odd calendar years, in lieu of a full application, firms may submit a letter that: 1) certifies that no substantial changes have occurred from the previously submitted application along with annual certifications; 2) includes information regarding any previously approved changes from the last update; and 3) includes a certificate of liability insurance. An officer of the firm must attest that the firm is financially solvent and has a working arrangement with financial institutions so that all outstanding financial obligations will be met. If a substantial change has occurred or if the firm is requesting prequalification for additional areas, the firm must submit a full application.
	Access Restrictions	None
	Contents	Series may contain: TC 40-1 form, Consulting Engineer and Related Services Prequalification Application, TC 66-209 form, Prequalification Requirements for Geotechnical Drilling Services, TC 66-210 form, Prequalification Requirements for Geotechnical Engineering Services, TC 66-211 form, Prequalification Requirements for Geotechnical Laboratory Services, related documents and related correspondence.
	Retention and Disposition	Destroy after new application is filed and approved and when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Professional Services, Division of

Record Group Number
2760BB

Series	Records Title and Description	Function and Use
05947	**Response Files**	This series documents consultant response submissions to announcements for specific projects. Responses include project proposals. The purpose is to select the best qualified firm to perform engineering and engineering related services for the Transportation Cabinet when state personnel cannot perform the work due to unavailability of personnel, time restrictions, or lack of specialized skills. When seeking to engage a consulting firm to perform professional engineering and/or engineering related services, the user division must request that the Division of Professional Services prepare a procurement bulletin for professional engineering and engineering related services for the announcement of projects to the general public. Prequalified firms send their responses to the announcement to the Division of Professional Services.
	Access Restrictions	None
	Contents	Series may contain: Firm name, address and contact information, Procurement Bulletin number and advertisement date, response due date, conflicts of interest potential notice, related documents and correspondence.
	Retention and Disposition	Destroy unsuccessful Response to Announcement after a contract agreement has been executed, Notice to Proceed issued and all certifications have been signed and filed with selected consultant firm. NOTE: Successful Responses are part of the Consultant Files, series 05945.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

September 11, 2008
Schedule Date

Highways/Right of Way and Utilities
Unit

December 9, 2010
Change Date

December 9, 2010
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 12/13/10

Agency Records Officer — Date of Approval: 12/10/10

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 12/9/2010

Chairman, State Archives and Records Commission — Date of Approval: 12/9/2010

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

Records Analyst/Regional Adminstrator — Date of Approval: 12/9/10

Appraisal Archivist — Date of Approval: 12/9/10

State/Local Records Branch Manager — Date of Approval: 12/9/10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 12/9/10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Right of Way and Utilities, Division of

Record Group Number
2760P

Series	Records Title and Description	Function and Use
04077	**Railway-Highway Project Files (V)**	This series documents highway construction or reconstruction activities which encroach on right of ways owned by railway companies. It provides official documentation of the purchase of railway right of ways by the Cabinet, easement agreements, and contracts with railway companies to permit the construction of highway projects. In addition, it documents railroad crossing safety projects undertaken to improve current safety measures. On average, 30-35 such projects are completed each year. Creation of the series begins after the construction plans have been approved by the Division of Design and the funding authority to begin negotiations with the railway company has been established by the Division of Accounts.
	Access Restrictions	None
	Contents	Series contains: Project authorization, correspondence, records of negotiation, cost estimates, easement agreements, deeds, final acceptance of the project by the Federal Highway Administration, inspection reports, audit reports, fiscal documents, contract agreements, signal devise agreements.
	Retention and Disposition	Transfer to the State Records Center three (3) years after final payment and audit for an additional seventeen (17) years. Total retention is twenty (20) years after project completion and audit.
05808	**Project File - Historical (Federal and State)**	This series documents the permanent records associated with road/bridge construction projects of the Transportation Cabinet. Records in this series originate when an Administrative Order (M0003) is issued to begin a project. The agency then proceeds to purchase land in the right-of-way of the construction (KRS 56.620 and KRS 177.420). The state has eminent domain in the purchase of easement or right of way. The right of eminent domain is the right of the state, through its regular organization, to reassert, either temporarily or permanently, its dominion over any portion of the soil of the state on account of public exigency and for the public good. Therefore, the legislature may authorize the appropriation of same to public purposes, such as the opening of roads, construction of defenses, or providing channels for trade or travel.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information (f) Real Property.
	Contents	Series contains: Appraisal, commissioner's report, notice of excess, MOU, grave removal contract file, consent and authorization agreement records, permits and plats of disinterment and reinterment, payment summary, records of contracts, deed and related documents and correspondence.
	Retention and Disposition	Transfer to the State Records Center when project is completed for Permanent retention.
05810	**General Project/Individual Company Project File (V)**	This series documents all transactions and activities associated with Utility Relocation Projects including all documents relating to agreements entered into by the Department with private companies. In accordance with KRS 177.035 and KRS 179.265, the costs and expenses of relocation or removal of utilities, including the costs of installing facilities in a new location, and the cost of any lands or any rights or interest in lands and any other rights, acquired to accomplish the relocation or removal, shall be ascertained and paid by the department as a part of the cost of improving or constructing highways.
	Access Restrictions	None
	Contents	Series may contain: Notification of Utility Relocation and/or Adjustment (TD-69-5); Weekly Progress Notes (TD-69-7); Statement of Charges Covering Changes in Facilities in Accordance with Executed Agreement and Official Order-Accompanies all billings and attached to final bill from company - (TD-69-8); Change Order (TD-69-4); utilities adjustment - amount of D.O.T. participation and summary of established cost and federal aid funds for utilities (V-6); contract agreements between D.O.T. and utility company with provision for future obligation, Right-of-Way utility plans, official orders; programming documents; project cost estimates; no charge letters, related documents and related correspondence.
	Retention and Disposition	Transfer to the State Records Center after final payment for an additional three (3) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Right of Way and Utilities, Division of

Record Group Number
2760P

Series	Records Title and Description	Function and Use
06106	**Relocation/Administration Files**	This series documents the administrative, short term records associated with road/bridge construction projects of the Transportation Cabinet. Records in this series originate when an Administrative Order (M0003) is issued to begin a project. The agency then proceeds to purchase land in the right-of-way of the construction (KRS 56.620 and KRS 177.420). The state has eminent domain in the purchase of easement or right of way. The right of eminent domain is the right of the state, through its regular organization, to reassert, either temporarily or permanently, its dominion over any portion of the soil of the state on account of public exigency and for the public good. Therefore, the legislature may authorize the appropriation of same to public purposes, such as the opening of roads, construction of defenses, or providing channels for trade or travel.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information (f) Real Property.
	Contents	Series contains: Improvement record, relocation assistance, conceptual stage reports and estimates, relocation plan reports and inventories, individual relocation assistance, parcel file- relating to contracts, claims and payments, sign and billboard acquisitions records, appraisal summaries, comparable sales reports, authorization for expenditure of funds from the Division of Finance, cost breakdown, order and judgments, record of negotiations, project working plan and related non-permanent documents and correspondence.
	Retention and Disposition	Destroy five (5) years after project completion.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

March 11, 2010
Schedule Date

Unit

Change Date

March 11, 2010
Date Approved By Commission

****

APPROVALS

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

Agency Head — Date of Approval: 3/17/10

Agency Records Officer — Date of Approval: 3/17/10

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/11/10

Chairman, State Archives and Records Commission — Date of Approval: 3/11/2010

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

Records Analyst/Regional Adminstrator — Date of Approval: 3/11/2010

Appraisal Archivist — Date of Approval: 3/11/2010

State/Local Records Branch Manager — Date of Approval: 11 MAR 10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3-11-10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Structural Design, Division of

Record Group Number
2760D

Series	Records Title and Description	Function and Use
03987	**Bridge Standard Drawings (V)**	CLOSED SERIES: This series was created to provide the Division with a model to be followed in the planning of structural items associated with bridge construction, such as reinforced concrete deck girder bridges, steel truss spans, reinforced concrete culverts, and bridge handrails. The standards were developed as a way to simplify the plan development process and to serve as a basis for actual construction of the various items. Although the series is no longer used in the construction of bridges, it is required when the structural items based on the standards are repaired or rehabilitated. Some of the series has been filmed in an aperture card format for in-house reference purposes. The original drawings are retained, however, to provide exact scale details. In 1983, the Division began using Computer Aided Design and Drafting (CAD) to create standards now used in bridge design and construction.
	Access Restrictions	None
	Contents	Series contains: Piers; standard steel beams (I-beams); standard culverts; revised culvert standards; simple reinforced concrete deck units; old steel trusses; abutments; handrails; continuous RCDG spans; old simple RCDG; miscellaneous: concrete and steel piles; and timber and bent caps
	Retention and Disposition	Transfer to the State Records Center for Permanent retention.
05940	**Structure Plans**	This series documents all final plans for structures designed and reviewed by the Division of Structural Design. Examples of structures Include, bridges, culverts, sign supports and retaining walls.
	Access Restrictions	None
	Contents	Series may contain: Primarily 24x36 mylar sheets which contain details and references required by the applicable agency structural design manuals and standard specification for road and bridge work and related documents and correspondence.
	Retention and Disposition	Retain Permanently.
05941	**Original Shop Detail Plans**	This series documents fabrication details of structural components returned from the steel fabricating company and filed with original bridge design plans.
	Access Restrictions	None
	Contents	Series may contain: Primarily 11x17 and 24x36 sheets, blueprints and related documents and correspondence.
	Retention and Disposition	Retain Permanently.
05942	**Calculation Files**	This series documents design calculations used in the design of structures designed and/or reviewd by the Division of Structural Design. Examples of structures include: bridges, culverts, sign supports and retaining walls.
	Access Restrictions	None
	Contents	Series may contain: 11x17 and 24x36 plan sheets and related documents and related correspondence.
	Retention and Disposition	Retain Permanently.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Structural Design, Division of

Record Group Number
2760D

Series	Records Title and Description	Function and Use
05943	**Annual Aggregated Data Reports**	This series documents reports related to bridge deck costs required annually by the Federal Highway Administration . Included are all projects letted the previous year with unit cost structure.
	Access Restrictions	None
	Contents	Series may contain: Reports and related documents and related correspondence.
	Retention and Disposition	Retain for one (1) year.
05944	**Engineering Correspondence Files**	This series documents correspondence between the Division of Structural Design, internal engineers and engineering consultants related to the design and/or review of structures by the division.
	Access Restrictions	None
	Contents	Series may contain: Reports, plan sheets and related documents.
	Retention and Disposition	Transfer to the State Records Center one (1) year after project completion for an additional fifteen (15) years. Total retention is sixteen (16) years after project completion.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

Change Date

June 10, 2010
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 6/23/10

Agency Records Officer — Date of Approval: 6/23/2010

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 6/10/2010

Chairman, State Archives and Records Commission — Date of Approval: 6/10/2010

****

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

Records Analyst/Regional Adminstrator — Date of Approval: 6/10/10

Appraisal Archivist — Date of Approval: 6/10/10

State/Local Records Branch Manager — Date of Approval: 6/10/10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 6.10.10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Traffic Operations, Division of

Record Group Number
2760S

Series	Records Title and Description	Function and Use
06036	**Speed Zone Files**	This series documents the process by which speed limits on state maintained roads and highways are changed. Generally, requests are made at the district level to reduce the speed limit of a specific portion of road or highway. The district receiving the request will respond by compiling relevant data, performing studies and compiling a summary which is then reviewed by the Division of Traffic Operations. If approved, an Official Order is issued and signed. Requests primarily come from citizens and are primarily for speed reduction, however this series also includes requests for increased limits and for statutory speed zone changes. KRS 189.390(3)(4).
	Access Restrictions	None
	Contents	Series may contain: Request for speed limit reduction, supporting documentation (including speed studies, crash summaries, etc.), and the Division's reccommedation. If approved, the file will include an Official Order signed by the Secretary which legally establishes the speed limit.
	Retention and Disposition	Retain in agency Permanently.
06037	**Lighting Files**	This series documents processes and actions regarding the installation of roadway, bridge and navigation lighting. Typically, lighting projects are part of a larger roadway/bridge project.
	Access Restrictions	None
	Contents	Series may contain: Request for lighting, supporting documentation, approval for installation, shop drawings, inspection notes, electrical plans, material review and design details for installation.
	Retention and Disposition	Retain in agency Permanently.
06038	**Electrical Traffic Control Device Installation Files**	This series documents decisions and processes regarding the installation and/or modification of traffic signals, school flashers, flashing beacons and other electrical traffic control devises. KRS 189.336-338 and 23 CFR Part 655, subpart F.
	Access Restrictions	None
	Contents	Series may contain: Request by district, traffic counts, crash analysis, other supporting documentation, official order, approval for the device and a Traffic Signal Checklist documenting features of the installation/modification.
	Retention and Disposition	Retain in agency Permanently.
06039	**Traffic Control Agreements (City and county)**	This series documents agreements between the Transportation Cabinet and city/county governments outlining traffic control responsibilities in communities across the Commonwealth.
	Access Restrictions	None
	Contents	Series may contain: Copies of signed traffic control agreements.
	Retention and Disposition	Retain current agreements. Destroy eight (8) years after contract/agreement ends.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Traffic Operations, Division of

Record Group Number
2760S

Series	Records Title and Description	Function and Use
06040	**District Files**	This series documents the Division of Traffic Operations' activities and review in response to requests made by citizens, other divisions within the cabinet and other agencies for the installation of various traffic control devices (electrical devices, signs, speed zones, etc.) across the Commonwealth. This series specifically documents when a request is not recommended by this division.
	Access Restrictions	None
	Contents	Series may contain: Request for a traffic control device (including supporting documentation), review, related documents and related correspondence.
	Retention and Disposition	Retain in agency Permanently.
06041	**Traffic Engineering General Topics File**	This series documents the Division of Traffic Operations' official position regarding Traffic Control Devices (including markings, signs, signals, etc.) and related issues which serves as guidance state-wide. This information provides broad direction and is non-site/location specific.
	Access Restrictions	None
	Contents	Series may contain: General correspondence associated with a wide variety of traffic control devices (including markings, signs, and traffic signals) and general topics associated with other Divisions/agencies.
	Retention and Disposition	Retain in agency Permanently.
06042	**Road and Bridge Naming Files**	This series documents the official naming of state roads and bridges throughout Kentucky. KRS 177.074 allows roads and bridges to be named after an individual, historic event or any other name of historical significance. A person, organization or governmental unit may petition the Transportation Cabinet to name a road segment or bridge. Additionally, roads and bridges are named through General Assembly action and the Commissioner of the Department of Kentucky State Police may request naming a road or bridge in memory and honor of state troopers killed in the line of duty. (603 KAR 5:240)
	Access Restrictions	None
	Contents	Series may contain: If road/bridge is named by legislative action, file includes a copy of the legislation and supporting documentation for sign installation. If road/bridge is named by Official Order, file includes request from petitioner, copy of local resolution in support of measure, copy of the Official Order (if approved), and supporting documentation for sign installation.
	Retention and Disposition	Retain in agency Permanently.
06043	**Highway Safety Improvement Program Files**	This series documents Kentucky's participation and administration of the Highway Safety Improvement Program (HSIP). The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), was signed into law on August 10, 2005, establishing HSIP as a core Federal-aid program. The overall purpose of this program is to achieve a significant reduction in traffic fatalities and serious injuries on all public roads through the implementation of infrastructure-related highway safety improvements.
	Access Restrictions	None
	Contents	Series may contain: Project submittals, annual reports, and related documents associated with infrastructure-related safety improvements.
	Retention and Disposition	Retain project funding documentation for eight (8) years after project close. Retain all other project documents Permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Highways, Department of
Traffic Operations, Division of

Record Group Number
2760S

Series	Records Title and Description	Function and Use
06044	**Electrical Traffic Control Design Plans**	This series documents the Division of Traffic Operations design plans for traffic signals, lighting, Intelligent Transportation Systems, beacons, school flashers, message boards and other electrical devices on highway projects.
	Access Restrictions	None
	Contents	Series may contain: Design plans for various electrical devices.
	Retention and Disposition	Retain in agency Permanently.
06045	**Shop Drawings and Inspection Notes**	This series documents the Division of Traffic Operations' approval of the type of materials used on electrical installations and the results of inspections conducted on these installations.
	Access Restrictions	None
	Contents	Series may contain: Shop drawings and inspection notes.
	Retention and Disposition	Retain for five (5) years after final inspection.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

March 11, 2010
Schedule Date

Unit

Change Date

March 11, 2010
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3/17/10

Agency Records Officer — Date of Approval: 3/17/10

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/11/10

Chairman, State Archives and Records Commission — Date of Approval: 3/11/2010

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

Records Analyst/Regional Adminstrator — Date of Approval: 3/11/2010

Appraisal Archivist — Date of Approval: 3/11/2010

State/Local Records Branch Manager — Date of Approval: 11 MAR 10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3-11-10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Inspector General, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
05949	**Case Files**	This series documents the Transportation Cabinet's, Office of Inspector General investigations of reported waste, fraud, and abuse. Investigations conducted by OIG staff include examining specific allegations, reports or other information indicating possible violation of law or regulation. Findings of criminal violation are taken before state or federal judicial authorities for prosecution. Employees of the Kentucky Transportation Cabinet (KYTC), as well as employees of other state and federal agencies and the general public are encouraged to report suspected wrongdoings occurring within the Cabinet to the OIG. Allegations may include and investigations may be conducted, but are not limited to: Contract and procurement fraud; False claims; Bribery or solicitation of bribes; Solicitation or acceptance of illegal gratuities; Kickbacks; Health, safety, or environmental violations; Ethical violations or conflicts of interest; Theft or misuse of government property; Retaliation for whistleblower complaints; and any type of corruption, fraud, waste and abuse involving KYTC employees or those doing business with KYTC.
	Access Restrictions	KRS 61.878(1)(a)(h) Personal Information and Investigation Information
	Contents	Series may contain: Complainant name and contact information; Party or entity complaint is alleged against; occurrence location (city, county), date, time; Complainant description of subject and nature of complaint; Supporting documents and information; Investigation reports; Related documents and related correspondence.
	Retention and Disposition	Case files may be destroyed after twenty-five (25) years and closure.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet	April 1981
Agency	Schedule Date
Office of General Counsel and	March 8, 2001
Unit Legislative Affairs	Change Date
	3/8/01
	Date Approved by Commission

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APPROVALS

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

Geri Angsby	March 6 2001
Agency Head	Date of Approval
Debra Gabbard	March 4 2001
Agency Records Officer	Date of Approval
Richard L. Belding	March 7, 2001
State Archivist and Records Administrator Director, Public Records Division	Date of Approval
	3/08/01
Chairman, State Archives and Records Commission	Date of Approval

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

Neaira Moser	3/7/01
Records Analyst/Regional Administrator	Date of Approval
Jim Ingle	3/7/01
Appraisal Archivist	Date of Approval
Neaira Moser	3/7/01
State/Local Records Branch Manager	Date of Approval

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The determination as set forth meets with my approval.

Ed Hatchett	3/8/01
Auditor of Public Accounts	Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Legal Services, Office of

Record Group Number
2760C

Series	Records Title and Description	Function and Use
05006	**Case File - Condemnation For Right of Way (V)**	This series documents the legal files that relate to the Cabinet's acquisition of real property. Under the terms of KRS 177.250, highway authorities of the state, county or city may acquire private or public property and property rights for limited access facilities and service roads, including rights of access, air, view and light, by gift, devise, purchase or condemnation, in the same manner as such units are authorized by law to acquire property or property rights in connection with highways and streets within their respective jurisdictions.
	Access Restrictions	KRS 61.878 (1) (i) (j)
	Contents	Series contains: Pleadings; settlements, property descriptions; plan sheets; and copies of deeds.
	Retention and Disposition	Retain for one (1) year after case closure. Transfer to the State Records Center. Total retention is fifteen (15) years after case closure.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Legal Services, Office of
General Counsel

Record Group Number
2760C

Series	Records Title and Description	Function and Use
146	**Case Docket Books - Board of Claims**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain Permanently.
148	**Workman's Compensation Action Files**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy five (5) years after final payment.
149	**Property Damage Files**	
	Access Restrictions	None
	Contents	In cases of injury or damage to state highway property by individuals, the Office of General Counsel is responsible for collection reimbursement
	Retention and Disposition	Destroy one (1) year after final payment.
150	**Case Files - Board of Claims**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy after decision becomes final.
151	**Case File - General**	
	Access Restrictions	None
	Contents	May include injunctions, encroachments, takings, contracts
	Retention and Disposition	Destroy after final judgment.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Legal Services, Office of
General Counsel

Record Group Number
2760C

Series	Records Title and Description	Function and Use
152	**Central Office Attorney's Case Files and Assigned Matters - Working Papers**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy when no longer useful.

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RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

June 11, 2009
Schedule Date

Office of Local Programs
Unit

March 8, 2012
Change Date

March 8, 2012
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3/16/12

Agency Records Officer — Date of Approval: 3/13/12

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/8/2012

Chairman, State Archives and Records Commission — Date of Approval: 3/8/2012

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

Records Analyst/Regional Adminstrator — Date of Approval: 03/08/2012

Appraisal Archivist — Date of Approval: 3/27/12

State/Local Records Branch Manager — Date of Approval: 3/8/2012

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3/8/2012

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Rural and Municipal Aid, Department of
Local Programs, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
06208	**Local Programs Files**	This series documents the administration of federally-funded Local Public Agency projects. The Office of Local Programs is the administering office for the federally-funded Transportation Enhancement (TE), Safe Routes to School (SRTS), Congestion Mitigation and Air Quality (CMAQ), Scenic Byways, and Transportation Community and Systems Preservation (TCSP) programs.
	Access Restrictions	None
	Contents	Series may contain: Application, contracts between Cabinet and project sponsor, environmental analysis and review documents, reimbursement documents, progress reports, project estimates and related correspondence.
	Retention and Disposition	Transfer to the State Records Center when project is closed. Retain for an additional three (3) years, then destroy.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	June 11, 2009 Schedule Date
Unit	June 11, 2009 Change Date
	June 11, 2009 Date Approved By Commission

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APPROVALS

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

Agency Head	6/16/09 Date of Approval
Agency Records Officer	6/11/09 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	6/11/2009 Date of Approval
Chairman, State Archives and Records Commission	6/11/2009 Date of Approval

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

Records Analyst/Regional Adminstrator	6/11/09 Date of Approval
Appraisal Archivist	6/11/09 Date of Approval
State/Local Records Branch Manager	6/11/09 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts	6-11-09 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Rural and Municipal Aid, Department of
Rural and Secondary Roads, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
03058	**Rural Secondary Program File - (Original) - (Duplicate in Commissioner's Office)**	This series documents the projects proposed under the Rural Secondary Program and is used by the Department to establish priorities for the distribution of available funds to counties during a fiscal year. Under the terms of KRS 177.320 - 177.360, 22.2% of the motor fuel tax revenues collected by the state are to be used for the construction, reconstruction and maintenance of rural and secondary roads, which may include county roads. Each fiscal year, the Department, through its district offices, consults with the county fiscal courts for the purpose of receiving recommendations for the selection of rural and secondary road or bridge projects. Each proposed project is reviewed by the Commissioner of the Department who then forwards recommendations to the Cabinet Secretary for final approval. The Cabinet has sole responsibility for the distribution of Program funds to counties based on its selection of projects.
	Access Restrictions	None
	Contents	Series may contain: Record of district meetings with fiscal courts and interested citizens regarding recommendations for projects and related correspondence. Projects recommended for rural secondary program (Form TC 20-11), marked map showing where recommended projects are located, approved program and amendment forms (TC 20-12, 20-14, 20-15), related correspondence and documents.
	Retention and Disposition	Retain for five (5) years.
03059	**Rural Secondary Project File**	This series documents the Rural Secondary Program projects approved by the Cabinet which provide for the continued maintenance, construction and reconstruction of the State's rural secondary road system, as well as may provide assistance in the construction, reconstruction and repair of county roads and bridges. In addition, this series provides supporting documentation for the expenditure of funds during a fiscal year from the Rural Secondary Program. Distribution of the funds to the counties does not automatically occur, but is controlled by the Cabinet through its approval of projects undertaken.
	Access Restrictions	None
	Contents	Series may contain: Description and location of project, estimated costs, project authorizations (form TC 10-1), inspection reports, county map of project location, screen shots of eMARS budget document, modifications to project, related correspondence and notes and agreement if project is done by the county.
	Retention and Disposition	Destroy three (3) years after close of project, and audit.
03060	**County Road Aid Cooperative Program File - (Original) - (Contains agreement and/or contract)**	This series documents the agreements entered into between counties and the Department for the receipt of County Road Aid Funds. Under the terms of KRS 179.400 -179.415, approximately 18.3% of the motor fuel taxes collected by the state are allocated to the Fund, which was established to provide revenues for the maintenance, construction and reconstruction of county roads and bridges. The series is used to plan monitor and regulate the disbursement of these revenues to the counties during the fiscal year. On August 1st of each year, the Department makes available to counties participating in the Cooperative Program 60% of projected revenues for the fiscal year. In January another 30 to 35% of the projected revenues is made available. After the end of the fiscal year, the balance of the county's allocation based on actual revenues is disbursed. Participation in the Cooperative Program is voluntary; however, if the county elects not to participate, it will receive its funds from the Department of Local Government on a monthly basis. By participating in the Program, the county will receive its allocation more timely and will be able to complete road and bridge work during peak months. Also, 3% of each participating county's allocation goes into a statewide emergency fund for unforeseen emergency projects.
	Access Restrictions	None
	Contents	Series may contain: Agreement between county and department; correspondence with County Judge Executive; application packet and project authorization for emergency projects; screenshot of budget and payment documents from eMARS; modifications to agreement or project authorizations (if applicable), related correspondence and related documents.
	Retention and Disposition	Retain for three (3) years, destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Rural and Municipal Aid, Department of
Rural and Secondary Roads, Office of

Record Group Number
2760

Series	Records Title and Description	Function and Use
03061	**Municipal Road Aid Cooperative Program File - (Original) - (Contains agreement and/or contract)**	This series documents the agreements entered into between cities or counties and the Department for the receipt of Municipal Aid Funds. In accordance to KRS 177.365 - 177.369, approximately 7.7% of the motor fuel taxes collected by the state are allocated to the Fund, which was established to provide revenues for the maintenance, construction and reconstruction of city and urban roads and bridges The series is used to plan, monitor and regulate the use of these revenues for municipal projects undertaken during the fiscal year. On August 1st of each year, the Department makes available to cities and counties participating in the Cooperative Program 60% of projected revenues for the year. In January another 30 to 35% of the projected revenues is made available. After the end of the fiscal year, the balance of the city or county's allocation based on actual revenues is disbursed. Participation in the Program is voluntary; however, if the city or county elects not to participate, it will receive its funds from the Department of Local Government on a monthly basis. By participating in the program, the city or county will receive its allocation more timely and will be able to completeroad and bridge work during peak months. Also, 3% of each participating city or county's allocation goes into a statewide emergency fund for unforeseen emergency projects.
	Access Restrictions	None
	Contents	Series may contain: Agreement between city or county and department; correspondence with Mayor or County Judge-Executive; application packet and project authorization for emergency projects; screenshot of budget and payment documents from eMARS; modifications to agreement or project authorizations (if applicable), related correspondence and related documents.
	Retention and Disposition	Retain for three (3) years, destroy after audit.
05874	**Local Road Bond Program Files**	This series documents projects approved by the Transportation Cabinet for utilization of $150,000,000 in Highway Bonds authorized by House Bill 267 during the 2005 Session of the General Assembly. Included in the Bond Funds is $100,000,000 in fiscal year 2004-2005 for the County Road Aid Program, expressly for bridges and paving and rehabilitation of existing roads. From that amount, $50,000,000 will be distributed in accordance with KRS 177.320, 179.410, 179.415 and 179.440, and $50,000,000 will be distributed by application process as determined by the Transportation Cabinet. Also included in the Bond Funds is $50,000,000 in fiscal year 2004-2005 for the Municipal Road Aid Program, expressly for bridges, paving and rehabilitation of existing roads. From that amount, $25,000,000 will be distributed in accordance with KRS 177.365, 177.366, and 177.369, and $25,000,000 will be distributed by application process as determined by the Transportation Cabinet.
	Access Restrictions	None
	Contents	This series may contain: Agreement between county or city and department; Project Authorization (Form TC 10-1) and attachment if applicable and screenshot of eMARS budget document; correspondence between city or county and department; requests for payment, invoices, and screenshots of eMARS payment document; application form (TC 20-17) and supporting documentation and spreadsheet listing project recommendations.
	Retention and Disposition	Retain in agency, destroy three (3) years after close of project and audit.

Electronic System With Included Records Series

Transportation Cabinet

Department of Rural and Municipal Aid

Office of Rural and Secondary Roads

System Description: The Rural Secondary Roads (RSR) database is used for Rural Secondary Program Item Data. The purpose of the database is to store descriptive data about each individual item approved on the annual Rural Secondary Program for each county in the state. This data is used to generate forms, illustrative maps and ad hoc reports. There are no federal or state mandates governing this system.

System Contents: The Rural Secondary Roads (RSR) database contains the county code, county name, highway district number and fiscal year the program items were approved. Each item is numbered in sequence and has descriptive data entered which includes the project (road) name, the Project Authorization number, eMARS program number, contract number (if applicable), project ID number, beginning and ending milepoints, length, type of work, route number, and estimated cost. Under the remarks section the project, temini description or location is entered.

The data is obtained from cost estimates prepared by district office field staff. The data is entered into the system from the Project Authorization (TC 10-1) form and the RS Program Forms (TC 20-12 & TC 20-14) by central office staff.

Output: The data is shared with the Transportation Enterprise Database (TED). The data is used to create RS Program maps and ad hoc reports. RS Program in tabular fomat reports (versions 2005 - 2006, 2006 - 2007) and RS Program maps (versions 2006 & 2007, 2008) can be found at the following web address: http://transportation.ky.gov/progmgmt/ruralsecondary/ruralsecondarymaps.html. The reports and maps are available to the public.

There are plans to generate the RS Program Forms (TC 20-12 & TC 20-14) from the data in the future.

Access to the database is limited to staff in the Office of Rural & Secondary Roads and others in the KYTC domain. Back-ups are done nightly via Rman. Currently there are no purges of data unless it was entered in error.

General Schedule Items: M0022 - Annual or Summary Reports
M0051 - Maps

System Title: **Rural Secondary Roads** ***Alternate Title:*** **RSR**

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
03058	Rural Secondary Program File	Retain in agency, destroy.	5

System Title: **Rural Secondary Roads** ***Alternate Title:*** **RSR**

Series #:	*Series Title:*	*Disposition Instructions:*	*Total Retention:*
03059	Rural Secondary Project File	Destroy (3) three years after close of project, and audit.	I

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

Change Date

June 10, 2010
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 6/23/10

Agency Records Officer — Date of Approval: 6/23/2010

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 6/10/2010

Chairman, State Archives and Records Commission — Date of Approval: 6/10/2010

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

Records Analyst/Regional Adminstrator — Date of Approval: 6/10/10

Appraisal Archivist — Date of Approval: 6/10/10

State/Local Records Branch Manager — Date of Approval: 6/10/10

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 6.10.10

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Support Services, Office of
Facilities Support, Division of

Record Group Number
2760

Series	Records Title and Description	Function and Use
06059	**Property Project and/or Parcel Folder**	
	Access Restrictions	None
	Contents	Series may contain: Lease agreement; lease agreement modification; inter-agency lease agreement; space request form; advice of change in order; real property permits; lease with option to purchase agreement; property easements; deeds; surveys; plats; appraisals; title reports; real property inventory forms; standard invoice; appraisal agreements; professional employment register; proof of necessity for professional employment; appraisal fee estimates; appraisal fee proposals; application for professional employment; request for service contracts; and related correspondence.
	Retention and Disposition	Transfer to the State Archives Center two (2) years after property has been sold for Permanent retention.
06060	**Building Projects Folders**	
	Access Restrictions	None
	Contents	May include Award of Contract (TD 73-138), Form San 150 Survey Sheet, Receiving Report (TD 73-124), Contractors Work Estimate (TD 14-6), Contractors Pay Estimate (TD 14-7), Advice of Change (TD 75-10), Final Release (TD 14-5), Agency Request for Quotation (TD 73-102), Sampling Form (TD 64-2), Project Authorization (TD 10-1), Specifications for Highway Buildings, Shop Drawings, Department of Finance Invoice and Receiving Report (E 102), Pay Voucher (TD 31-4), CH & TCT purchase contracts, boiler inspections, Fire Marshal and Health Department Reports, Purchase Requisitions (TD 73-101), related documents
	Retention and Disposition	Destroy five (5) years after disposal of building.
06061	**Maintenance Project Folder - (Duplicate) -**	
	Access Restrictions	None
	Contents	Series may include: Agency request for Quotation(TC73-102); Plumbing Permits and Inspections(HBC31-04); Plumbing Drawings; Electrical Inspections(OHBC EL35-02); Approved Contracts, to include Price and Emergency Contracts; Approved Master Agreements; Electronic Work Orders for all State Transportation Cabinet maintained buildings(Archibus-FM Works); Building Maintenance Costs; Boiler Inspections; Related Documents.
	Retention and Disposition	Destroy five (5) years after disposal of property.
06062	**Fixed Asset Files**	This series documents the Division Facilities Support's fixed assets purchase, tracking, and disposal per KRS Chapter 056.
	Access Restrictions	None
	Contents	Series may contain: Asset acquisition documents, asset transfer, asset disposal, physical inventory documents, and inventory year end reports for auditing purposes.
	Retention and Disposition	Retain for two (2) years.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet Agency	October 1, 1982 Schedule Date
Driver Licensing Division Unit	June 21, 2007 Change Date
	June 21, 2007 Date Approved By Commission

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APPROVALS

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

Agency Head	12/22/09 Date of Approval
Agency Records Officer	12/22/09 Date of Approval
State Archivist and Records Administrator Director, Public Records Division	6/21/07 Date of Approval
Wayne Onkst Chairman, State Archives and Records Commission	6/21/07 Date of Approval

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

Thomas Getman Records Analyst/Regional Adminstrator	June 21, 2007 Date of Approval
Appraisal Archivist	6/21/07 Date of Approval
State/Local Records Branch Manager	21 June 07 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts	6-21-07 Date of Approval

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of

Record Group Number
2760B

Series	Records Title and Description	Function and Use
03657	**Driver License Transaction Register - (KYDIS Printout)**	This series documents the driver history of licensed drivers by the Commonwealth of Kentucky. Operator's licenses are issued through circuit clerk's offices in Kentucky and are regulated through the Department of Vehicle Regulation, Division of Driver Licensing. Any changes in personal data or license status are reported weekly to Driver Licensing by the appropriate circuit clerk. This information is then entered into the Kentucky Driver Information System (KYDIS) where it is stored, tabulated, and manipulated. The information captured by this series documents any changes that have occurred to an individual's driving history. It is used to verify that the information entered and maintained in the Driving History Records (Series 05633) is current and accurate. Additionally, it identifies the person initiating the changes and it is used to investigate any discrepancies found in the driver history.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series contains: Job number, process date, transaction code, source, section, clerk, mail code, issue type, driving history request indicator, Licensee name, DLN, DOB, error message code and change codes.
	Retention and Disposition	Retain for five (5) years.
03943	**Medical Review Board Cases**	This series documents the activities of the Agency and the Medical Review Board in determining whether an applicant for, or holder of, a valid Kentucky Operator's License has physical, or mental disabilities which affect, or limit driving ability, or make it unsafe for the individual to operate a motor vehicle upon public highways. KRS 186.570 requires the Transportation Cabinet to withhold driving privileges from an individual who has a mental or physical disability that makes it unsafe for him to drive upon the highways. KRS 186.411 requires that a person with a seizure condition be seizure-free for ninety (90) days prior to licensing. 601 KAR 13:100 establishes the standards to be used by the Transportation Cabinet and Medical Review Board in determining who is unsafe to operate a motor vehicle because of a mental or physical disability. A case file is established when it is brought to the attention of the Department, in the form of a affidavit from a close relative, county attorney, or law enforcement official, that an individual's driving ability may be impaired. The individual must then submit to medical examinations, the results of which are used by the Board to make its final decision. A case is considered closed when released by the Board.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Complete medical and visual examinations; psychiatric evaluations; driving records; correspondence; referral documents; affidavits; and the findings of the Board
	Retention and Disposition	Destroy five (5) years after case is released/closed by the Medical Review Board.
04717	**Graduated License Course Roster**	This series documents participation in a Graduated Licensing Education course and is used to verify class participation. A graduated driver licensing system is a program designed to aid novice drivers become experienced motorists by exposing them to various increasingly demanding driving experiences and licensing stages. Enhanced driving skills and judgment, combined with education and tougher laws, are the tools used to reduce Kentucky's high vehicular teen-age accident and fatality rate. The Program has three phases: 1) permit; 2) provisional; and 3) adult licensing. During the permit phase, the individual must be 16 years of age and must hold the permit for a minimum of 180 days. In the provisional phase, the individual must pass a driving skills test and complete a Graduated Licensing Education course. To receive an adult license, the individual must be at least 18 years of age.
	Access Restrictions	KRS 61.878(1)(a) Personal information
	Contents	Series may contain: Name, SSN, DOB, DLN, location of class, date of class, Generation to Generation Brochure and related documents.
	Retention and Disposition	Retain for three (3) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of

Record Group Number
2760B

Series	Records Title and Description	Function and Use
05633	**Driving History Records (V)**	This series documents information relevant to the driving history record of each person who is licensed to operate a motor vehicle by the Commonwealth of Kentucky in accordance with KRS 186.018. Driving history records document moving traffic convictions, driver license issuances and suspensions, driver education courses and legal and administrative actions. KRS 186.018 (1) requires that records of moving traffic convictions more than 5 years old be destroyed and not maintained. Driving History Records are utilized by Transportation Cabinet employees, Circuit Court Clerks offices, law enforcement officials and court officials such as pre-trial service employees and Commonwealth's Attorneys, and the general public. Per KRS 186.018 (3) the Cabinet is permitted to charge a $3 fee for providing a Driving History Record. Driver histories are regularly purchased by the general public, insurance companies and employers or prospective employers.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Series may contain: Abstracts of convictions; refusal of chemical tests; affidavits; appeals; out-of-state convictions, suspended and revoked driver's license; and violations after a driver improvement clinic.
	Retention and Disposition	Retain moving traffic violations for five (5) years.
05665	**Out of State Convictions - Commercial Drivers Licenses**	The series documents violation warning letters sent to Kentucky holders of Commercial Drivers Licenses regarding possible license suspension due to convictions in out of state courts.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: DLN, name, DOB, SSN, location of court where convicted, violation, citation date, conviction date, case number, offense and state.
	Retention and Disposition	Retain for fifteen (15) years.
05666	**Medical Waiver Program**	This series documents the medical waiver process for holders of a Commercial Driver's License (CDL) to allow them to continue driving under certain conditions. Medical waivers were established in October 1991 under 601 KAR 11. The CDL section of the Vehicle Regulation Department has the responsibility to make the final decision as to whether or not to issue a medical waiver card based on the driver's condition and relevant state and federal guidelines. A medical waiver file is established when it is brought to the attention of the CDL section by a physical examination that an individual has failed to meet the federal guidelines to drive commercially. The individual must submit their physical examination results and the necessary waiver forms signed by the appropriate physicians for the CDL section to issue a medical waiver to allow the license holder to continue driving.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Series may contain: Complete medical and visual examinations, psychiatric evaluations, driving records, correspondence, referral documents, affidavits and findings of the Medical Review Board.
	Retention and Disposition	Retain for five (5) years.

Series	Records Title and Description	Function and Use
05667	**Failure to Answer Court Summons - In-State**	This series documents the process of possible suspension of driving licenses due to failure to comply with a court summons. Notice is sent to the Division of Driver Licensing from the county district courts for possible suspension for failure to comply with the courts. When the court summons notice is keyed into a driving record the driver is notified by letter giving a time period to comply and information about the court and the summons. Once the driver complies, another document is received from the court showing proof that the summons has been answered. This is a copy of the original court summons notice showing the date that the court has been satisfied. If the court summons notice is not complied with, a withdrawal letter for failure to answer summons is generated.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: DLN, DOB, SSN, home address, court location, violation and violation date, case number, failure to appear date, proof of satisfaction date, vehicle identification and employment information.
	Retention and Disposition	Retain for fifteen (15) years.
05668	**Fail to Answer Court Summons - Out-of-State**	This series documents the process of possible suspension of driving licenses due to failure to comply with summons from cooperating out of state courts. An out of state court summons notice is sent to the Division of Driver Licensing from any of the 45 states participating in the Non-Resident Violator Compact (NRVC) for possible license suspension for failure to comply with those courts. When the court summons notice is keyed into the driving record the driver is notified by letter giving a time period to comply. The original court summons with information from the court is sent along with the letter. If the driver has not complied within the allotted time, the driver license is suspended. When the driver complies, another document is received by the Division either from the out of state court, or from the driver, showing that the summons has been satisfied.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Name, DLN, DOB, SSN, home address, court location and phone number, violation and violation date, vehicle identification, proof of satisfaction date, failure to comply date, court date, fine amount and case number.
	Retention and Disposition	Retain for one (1) year.
05669	**"Valid in Kentucky Only" Applications File**	This series documents Valid in Kentucky Only operator's license applications and associated hearings that determine eligibility. A person issued a Kentucky operator's license in accordance with KRS 186.442 (3) shall be issued an operator's license marked "Valid in Kentucky Only" and shall sign a statement that the person understands that he, or she may be subject to arrest and detention if stopped by a law enforcement officer in another state while operating a motor vehicle on this restricted license. If a person granted a license under subsection (3) satisfies the requirements to have the suspension, or revocation in another state lifted, the person may apply to the circuit clerk to be issued a new license without the restrictions outlined in subsection (3).
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Applications and attachments, proof of residency, name, DOB, SSN, issuance or denial documentation and related correspondence.
	Retention and Disposition	Retain for five (5) years.
05670	**Commercial Drivers License Disqualification File**	This series documents the commercial driver license (CDL) disqualification report. This is a monthly summary report of all CDL suspensions. The report specifies what violation(s) occurred to trigger suspension and tallies total number of suspensions per month.
	Access Restrictions	None
	Contents	Series may contain: CDL suspension codes, number of suspensions in any given month.
	Retention and Disposition	Retain for five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of

Record Group Number
2760B

Series	Records Title and Description	Function and Use
05671	**Serious Violations Report File**	This series documents "serious violations" reported throughout the Commonwealth. From this data a monthly report is generated. Serious violations include, but are not limited to: DUI, Racing, Speeding 26 MPH or more over speed limit, Fleeing or Evading Police, Felony involving use of a motor vehicle, Reckless driving, Leaving the scene of a collision, Failure to stop and disclose identity, Failure to render aid and theft of a motor vehicle.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	This series may contain: Driver personal information, state-wide statistical data and related correspondence/notice to driver.
	Retention and Disposition	Retain for five (5) years.
05672	**Clearance Letter Request File**	This series documents the request for a driving record letter of clearance for a person whose driver information is not contained in the agency's electronic database. Generally, this information is absent due to a driver licensing lapse of 5 or more years after which time this information has been purged from the database. The series documents the retrieval of a person's driving history, the manual preparation of the letter of clearance, and the subsequent delivery of this information to the requester. In most cases, requesters use this information for purposes involving pre-employment/employment, auto insurance and driver licensing outside our Commonwealth.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Name, DOB, SSN, address and related correspondence.
	Retention and Disposition	Retain for one (1) year.
05673	**Court Subpoenas / Motor Vehicle Records Requests from Courts File**	This series documents subpoenas and Motor Vehicle Records (MVR) requests made by courts and the subsequent response and compliance by the agency. Generally, due to litigation, the agency is required to present testimony, produce records in court, or produce records by mail.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Subpoenas, name, address, SSN, DOB and related correspondence.
	Retention and Disposition	Retain for one (1) year.
05674	**Denial or Suspension of License Hearings File**	This series documents hearings conducted by the agency. Per KRS 186.570 (1), the agency may deny any person an operator's license, or may suspend the operator's license of any person, or in the case of a nonresident, withdraw the privilege of operating a motor vehicle in this state, subject to a hearing with, or without, receiving a record of conviction of that person of a crime. The agency shall provide any person subject to the suspension, revocation, or withdrawal of their driving privileges, under provisions of this section, an informal hearing. Upon determining that the action is warranted, the agency shall notify the person in writing by mailing the notice to the person by first-class mail to the last known address of the person. The hearing shall be automatically waived if not requested within twenty (20) days after the agency mails the notice. The hearing shall be scheduled as early as practical within twenty (20) days after receipt of the request at a time and place designated by the agency. An aggrieved party may appeal a decision rendered as a result of an informal hearing, and upon appeal an administrative hearing shall be conducted in accordance with KRS Chapter 13B.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Probation forms, driving records, name, address, DOB, SSN, related documents and related correspondence.
	Retention and Disposition	Retain for five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of

Record Group Number
2760B

Series	Records Title and Description	Function and Use
05675	**U.S. Citizenship and Immigration Services Documents File**	This series documents the process by which non-United States citizens apply for original, and in some cases, renewal driver licenses in the Commonwealth pursuant KRS 186.412 (4). If a person is not a United States citizen and has not been granted status as a permanent resident of the United States, the person's application for an original operator's license shall be submitted to either the Transportation Cabinet in Frankfort, or a Transportation Cabinet field office. The application form shall be accompanied by the person's documentation issued by the Department of Homeland Security, U.S. Citizenship and Immigration Services, authorizing the person to be in the United States and, if applicable, the person's international driving permit. If the agency determines a person may be issued an operator's license, the agency shall issue the person an official form that the person shall take to the office of the circuit clerk of the county where the person resides. The circuit clerk shall review the person's documentation and the official form issued by the Transportation Cabinet. If the documentation is verified as accurate, and if the person successfully completes the examinations required under KRS 186.480, the circuit clerk shall issue the person a Kentucky operator's license.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Copy of Visa, SSN, DOB, employment verification (pay stubs), I20, documents proving address, related documents and related correspondence.
	Retention and Disposition	Retain for five (5) years.
05676	**Commercial Driver License Master Files**	This series documents Commercial Driver Licensing (CDL) and all subsequent documentation created and maintained by the agency for this license. A CDL is a license issued to an individual in accordance with the requirements of KRS 281A, or if the license is issued by another state in accordance with the Federal Commercial Motor Vehicle Safety Act, to an individual that authorizes the individual to drive any class of commercial motor vehicle. In 1986, the United States Congress passed the Commercial Motor Vehicle Safety Act. This law requires each state to meet the same minimum standards for commercial driver licensing. The standards require commercial motor vehicle drivers to obtain a CDL. The Commercial driver's license information system (CDLIS) is the national information system established to serve as a clearinghouse for locating information related to the licensing and identification of commercial motor vehicle drivers.
	Access Restrictions	None
	Contents	Series may contain: CDL Application; Employer's Name, Address; Licensee Name, Address, DOB, SSN, DLN; CDLIS pointer information; National Driver request forms; Modify Driver Record Document; Transfer Record; Transfer Application; Insurance related documents; NDR Match Reports; Related Affidavits; Letters of Notification and Suspension; Farm Restricted Service License form; Voluntary Surrender form; Employer Certification form; related documents and related correspondence.
	Retention and Disposition	Retain for ten (10) years.
05677	**State Traffic School Roster**	This series documents attendance rosters for the State Traffic School. The goal of State Traffic School is to provide an educational program that instructs drivers regarding traffic safety and to instills a positive attitude toward highway and traffic safety by encouraging an understanding and recognition of personal driving behaviors which will result in a reduced number of deaths and injuries related to vehicular crashes and moving hazardous violations. District Courts must refer drivers to Traffic School and if the driver successfully attends, no points will be added to the driver’s history for the current citation. Once an individual is referred to Traffic School, that referral has the effect of a court order. Noncompliance will result in a license suspension until the class is completed. The Division of Driver Licensing offers three approved options for completing the State Traffic School Program: Internet, DVD/Video and Classroom.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Name, DLN, SSN and DOB.
	Retention and Disposition	Retain for five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of

Record Group Number
2760B

Series	Records Title and Description	Function and Use
05678	**Receipts for Funds Collected**	This series documents fees paid by licensees at either the Central Office, or at one of the Field Offices. Generally these payments are for, but not limited to: Motor vehicle records fees, reinstatement fees, State Traffic School Enrollment fees and Commercial Driver Licensing fees. Payment type and amount is entered into the driver's history record.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Name, DLN, payment tendered, fee amount and fee type.
	Retention and Disposition	Retain for three (3) years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Driver Licensing, Division of
Court Record Preparation

Record Group Number
2760B

Series	Records Title and Description	Function and Use
05634	**Civil Judgments - In State (V)**	This series documents civil judgments rendered in the Commonwealth of Kentucky against licensed drivers that are entered into the Driver History Record (series 05633). The types of judgments include Defaults, Agreed Orders and Bankruptcies. Civil judgments may generate a driving license suspension. This series also documents when civil judgments are satisfied and any sanctions against driving privileges removed. Driver History Records in the Kentucky Drivers License Information System (KDLIS) with civil judgments are noted, protected and retained (along with any supporting documentation) for a longer period than series 05633 retention directs. KRS 413.090 limits actions related to these judgments to (15) fifteen years.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Series may contain: Name, DLN, address, SSN, relevant case #'s, dates of accidents, types of judgments, judge's signature, issuing court and date judgement is signed.
	Retention and Disposition	Destroy fifteen (15) years after judgment is signed.
05635	**Civil Judgments - Out of State (V)**	This series documents civil judgments rendered by courts outside the Commonwealth of Kentucky against individuals who hold a valid Kentucky driver license. Out of state judgments are entered into the Driver History Record. The types of judgments include Defaults, Agreed Orders and Bankruptcies. Civil judgments may generate a driving license suspension. This series also documents when civil judgments are satisfied and any sanctions against driving privileges removed. Driver History Records in the Kentucky Drivers License Information System (KDLIS) with civil judgments are noted, protected and retained (along with any supporting documentation) for a longer period than series 05633 retention directs. KRS 413.090 limits actions related to these judgments to (15) fifteen years.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Name, DLN, address, SSN, relevant case #'s, dates of accidents, types of judgments, judge's signature, issuing court and date judgement is signed.
	Retention and Disposition	Destroy fifteen (15) years after judgment is signed.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

March 12, 2009
Change Date

March 12, 2009
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3/24/09

Agency Records Officer — Date of Approval: 3/17/09

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/12/09

Chairman, State Archives and Records Commission — Date of Approval: 3/12/09

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

Records Analyst/Regional Administrator — Date of Approval: 3/12/09

Appraisal Archivist — Date of Approval: 3/12/09

State/Local Records Branch Manager — Date of Approval: 3/12/09

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3/12/09

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Carriers, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
04047	**Kentucky Apportioned Registration Plan Files**	This series provides supporting documentation for the apportioned registration fees transmitted from states participating in the International Registration Plan (IRP) to Kentucky, as required in 601 KAR 9:135. The IRP is an agreement between Kentucky and forty-three states and one foreign jurisdiction, Alberta, Canada. This plan allows the operators of commercial vehicles to operate in more than one licensing jurisdiction. The IRP fee is based on an estimate of the mileage to be incurred by out-of-state vehicles operating in Kentucky. The fees collected by other states are forwarded to Kentucky on a monthly basis. 49 U.S.C. 31704 requires each state to participate in the International Registration Plan. KRS 186.050(13) requires the Transportation Cabinet to promulgate administrative regulations concerning the registration of commercial motor vehicles under the Articles of the International Registration Plan. 601 KAR 9:135 establishes the recordkeeping standards required for apportionable vehicles, auditing of the records by the Transportation Cabinet, and the appeal procedure when a disagreement occurs.
	Access Restrictions	KRS 61.878(1)(a) Personal Information.
	Contents	Series may contain: Kentucky IRP Apportioned Registration Application Schedule C and B; name, contact information, SSN, FIN, US DOT number, KYU number, IRP number, mileage traveled, mileage percentages, number of vehicles, vehicle identification numbers, license plate numbers, lease agreements, proof of residency, IRS form 2290. Summary fee reports, schedule A. Affidavit for replacement, application for extended weight decals, apportioned certificates, IRP Cab Cards, mileage backup records, related documents and related correspondence.
	Retention and Disposition	Retain for six (6) months. Transfer to the State Records Center for an additional four and one half (4.5) years. Destroy after audit. Total retention is five (5) years.
04544	**Application for Motor Carrier Operating Authority Hearing Files**	This series documents hearings on applications for authority to operate motor carriers, as required by 601 KAR 1:030 and KRS Chapter 281.625. It is limited to passenger carriers (buses, taxis, airport shuttles, etc.) and household goods carriers (trucking companies). For an application to be approved, there must be a need for another carrier, referred to as proof of public convenience and necessity. Applications may be denied if applicant fails to show the necessity for another carrier and current carriers prove existing services are adequate. Also, denial may result if the applicant cannot prove financial ability and that he has the proper facilities and equipment to operate as a motor carrier.The department is required to give a minimum of 30 days' written notice of all hearings to known, required and interested parties. Current carriers wishing to protest the pending applications must have written comments submitted to the department within ten days of the hearing. If the application goes unprotested, the applicant can submit his proof of public convenience and necessity by affidavit. Final order approving or denying the application is the sole responsibility of the Commissioner, Department of Vehicle Regulation. After issuance of the final order, the applicant has 20 days in which to appeal the decision to Circuit Court.The certificate to operate as a motor carrier is issued by the Division of Motor Carriers. If an applicant is denied or his certification revoked, the process must begin anew. Renewals are the responsibility of the Division of Motor Carriers.
	Access Restrictions	None
	Contents	Series contains: Application for operating authority; notice of hearing; protests from existing carriers; affidavits; hearing transcript, related documents and related correspondence.
	Retention and Disposition	Destroy three (3) years after case closure and all appeals have been exhausted and audit.
04551	**Motor Carrier Order Books**	CLOSED SERIES: This series documented the application process and administrative orders relating to certificates authorizing commercial carriers to operate throughout the state of Kentucky. This series also documented administrative orders relating to certificate sales, certificate title transfers and violations of administrative orders.
	Access Restrictions	None
	Contents	Series contains: Administrative order number, carrier company name, name of certificate holder, routes, types of material being trasported and related information.
	Retention and Disposition	Transferred to the State Archives Center January 1986 for Permanent retention.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Carriers, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
04552	**Bus History Books**	CLOSED SERIES: This series documented the application process and administrative orders relating to certificates authorizing private companies to operate city and suburban bus routes throughout the state of Kentucky. This series also documented the routes of the bus lines, the cost to consumers and certificate sales and transfers of title.
	Access Restrictions	None
	Contents	Series contains: Bus company name, name of parties involved, routes, charges and related information.
	Retention and Disposition	Transferred to the State Archives Center January 1986 for Permanent retention.
04553	**Truck History Books**	CLOSED SERIES: This series documented the application process and administrative orders relating to certificates authorizing cartage companies to carry various regulated materials throughout the state of Kentucky. This series also documented violations hearings and subsequent decisions.
	Access Restrictions	None
	Contents	Series contains: Administrative order numbers, company names, routes involved, violations and related information.
	Retention and Disposition	Transferred to the State Archives Center January 1986 for Permanent retention.
04614	**U-Drive-It Application Files**	This series documents the U-Drive-It (UDI) application/permit process per 601 KAR 1:140. The term "U-Drive-It" means any person who leases or rents a motor vehicle for a consideration to be used for the transportation of persons or property, but for which no driver is furnished, and the use of which motor vehicle is not for the transportation of persons or property for hire by the lessee or rentee (KRS 281.014). UDI is an alternative method for the payment of Usage Tax as prescribed by KRS 138.460. UDI allows for deferment of this tax at the time of registration. Payment will be made based on rental and lease receipts generated by use of the vehicle (KRS 138.463).
	Access Restrictions	KRS 61.878(1)(a)(c) Personal Information & Business Financial Information.
	Contents	Series may contain: Application Form TC 96-16; articles of state of incorporation, affidavit for business, financial data, history and business type, renewal forms, fees paid verification, vehicles, name, contact information, fee information, tax ID information, assigned number by agency, officer information, certificate of motor vehicle lease forms, related documentation and related correspondence.
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
05846	**Fuel Tax Reporting Files**	This series documents Fuel Tax Reporting. Every motor carrier, excluding charter bus operators registered pursuant to KRS Chapter 281, shall pay a tax at the rate levied in KRS 138.220(1) and (2) on the amount of gasoline and special fuels used in operations on the public highways of this state. In addition to the tax imposed, if the motor carrier is a heavy equipment motor carrier as defined in KRS 138.655, he shall pay a surtax at the rate of two percent (2%) of the average wholesale price, on the amount of gasoline and at the rate of four and seven-tenths percent (4.7%) on the amount of special fuels used in operations on public highways of this state. Every motor carrier shall pay for every motor vehicle operated upon the public highways of this state with a combined licensed weight in excess of fifty-nine thousand nine hundred and ninety-nine (59,999) pounds a weight distance tax computed at the rate of two and eighty-five hundredths cents ($0.0285) per mile. Those taxes levied under this section shall be computed and paid as provided in KRS 138.685 and 138.690.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Name, SSN, FIN, contact information, license number, mileage, fuel purchases, related documents and related correspondence.
	Retention and Disposition	Destroy hardcopies ninety (90) days after uploaded to database. Purge database after five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Carriers, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05847	**Application for Annual Overweight/Overdimensional Permit Files**	This series documents the application and issuance of special use annual overweight/overdimensional permits for nondivisible steel and farm loads. Pursuant to KRS 189.270, 189.271, 189.2715, and 189.2717 the Transportation Cabinet may issue permits for the movement of motor vehicles with divisible or nondivisible loads exceeding legal weights or dimensions. 601 KAR 1:018 establishes the procedures and requirements for the issuance of an overweight or overdimensional permit. It exempts certain farm implement movements from the requirements of obtaining an overdimensional permit, but retains the associated safety requirements.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Applicant name, contact information, equipment information, vehicle numbers, plate numbers, officer information, federal ID numbers, fax, SSN, US DOT numbers, KYU numbers, route details, date issued and expiration information, limitations of routes, verification of fees paid, employee of agency listed on forms, renewal forms, request for modifications documents, additional information request, worksheets, copy of permit issued, change of company information, related documents and related correspondence.
	Retention and Disposition	Destroy after audit or five (5) years after inactive status date.
05848	**Kentucky Intrastate Tax & International Fuel Tax Agreement License Files**	This series documents the International Fuel Tax Agreement License (IFTA) and the Kentucky Intrastate Tax License (KIT). IFTA is an agreement among states and Canadian provinces to simplify the reporting of fuel used by interstate/interjurisdictional motor carriers. Upon application, the carrier's base jurisdiction will issue credentials which will allow the IFTA license to travel in all IFTA member jurisdictions. An IFTA license is required for interstate carriers with a gross registered weight exceeding 26,000 lbs., or vehicles with 3 or more axles regardless of weight to report fuel use tax. Kentucky currently exempts farm plated vehicles, buses and government vehicles. A KIT license is required for intrastate carriers with a gross registered weight exceeding 26,000 lbs. or vehicles with 3 or more axles regardless of weight to report fuel use tax. (KRS 138.655-138.7291) (601 KAR 1:200 & 1:201)
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Renewal forms, name, SSN, FIN, contact information, US DOT Number, IRP number, KIT Number, IFTA number, previous year number of decals, current year number of decals, related documents and related correspondence.
	Retention and Disposition	Destroy after audit or five (5) years after issue date or cease of operations.
05849	**Application for Kentucky Vehicle Identification**	This series documents the addition and/or deletion of vehicle inventory subject to the Kentucky Weight Distance Tax (KYU) pursuant to KRS 138.660(3). Every motor carrier shall pay for every motor vehicle operated upon the public highways of this state with a combined licensed weight in excess of fifty-nine thousand nine hundred and ninety-nine (59,999) pounds a weight distance tax computed at the rate of two and eighty-five hundredths cents ($0.0285) per mile.
	Access Restrictions	None
	Contents	Series may contain: Name, contact information US DOT number, VIN number, plate number, weight, unit number, related documents and related correspondence.
	Retention and Disposition	Destroy hardcopies as information is uploaded to database. Purge database five (5) years after inactive status date.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Carriers, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05850	**Application for License to Operate Municipal Solid Waste**	This series documents the application and license process for operating a municipal solid waste transportation vehicle(s). Per KRS 174.450, no person shall operate a municipal solid waste transportation vehicle within the Commonwealth without first having obtained a license from the Transportation Cabinet to do so pursuant to regulations promulgated by the cabinet. A license shall be amended annually if the number of municipal solid waste transportation vehicles operated by the applicant increases.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Application Form TC 95-18 and TC 95-41, supplemental documents such as statements, consent to serve and articles of state of incorporation, Name, contact information, SSN, FIN, notarized forms, vehicle plate, vehicle vin number, year, weight, Kentucky Highway Use Number, US DOT number, officer information, lessor information, copy of authority issued, company print out of all vehicles operated and a solid waste number, related documents and related correspondence.
	Retention and Disposition	Destroy after audit or five (5) years after inactive status.
05851	**Extended Weight Application Files**	This series documents the Extended Weight Permit/Decal process. Per KRS 177.977 (2), every person, producer or processor shipping or transporting coal over the public highways, roads, bridges, and streets, shall file with the Transportation Cabinet information at intervals as the cabinet shall designate by administrative regulation for the purpose of identifying those highways, roads, and streets comprising the coal road system and the quantities of coal transported thereon, in order that the cabinet can accurately calculate total ton-miles within each coal impact and coal producing county. KRS 177.9771 permits a decal to be purchased for a coal truck to allow the vehicle to operate in excess of the legal maximum weight limit on roads and road segments designated as part of the extended weight coal haul road system. 601 KAR 35:060 sets forth the procedures to be followed in applying for and placement of this decal.
	Access Restrictions	None
	Contents	Series may contain: Name and contact information of the vehicle owner; name of registrant if other than the owner (applies to International Registration Plan registrants only), Vehicle identification number, Axle arrangement of the vehicle, Signature of the applicant, Current registration license plate number of the vehicle, current registration receipt or other proof of current registration, related documents and related correspondence.
	Retention and Disposition	Retain for six (6) months. Transfer to State Records Center for an additional four and one half (4.5) years. Destroy after audit. Total retention is five (5) years.
05852	**Drive-A-Way Plate Application Files**	This series documents the application and permit process for the Drive-A-Way Plate. The term "Drive-A-Way" means the transporting and delivering of motor vehicles, except semitrailers, and trailers, whether destined to be used in either a private or for-hire capacity, under their own power or by means of a full mount method, saddle mount method, the tow bar method, or any combination of them over the highways of this state from any point of origin to any point of destination for-hire. The transportation of such vehicles by the full mount method on trailers or semitrailers shall not be included in the term. Every motor carrier engaged in the Drive-A-Way business as defined by KRS 281.014(4) shall pay to the Department of Vehicle Regulation an annual license fee. In addition to the annual license fee imposed, each motor carrier operating as a Drive-A-Way shall procure from the Department of Vehicle Regulation a license tag to be prominently displayed on each unit transported by this method. The tag may be transferred from one transported unit to another for reuse.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Application and renewal form, name, contact information, SSN, federal ID numbers, company legal name, operation type, US DOT Number, KYU Number, IFTA Number, for hire authorities, related documents and related correspondence.
	Retention and Disposition	Destroy after audit or ten (10) years after issue date or ten (10) years after inactive status.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Carriers, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05853	**Passenger Plate Transfer Affidavit Files**	This series documents passenger plate transfers, sales and/or destruction. Per 601 KAR 1:040, an application for operating authority to engage in Kentucky intrastate commerce relating to the transportation of persons except for charter bus transportation or household goods shall be made to the Transportation Cabinet. An affidavit must be completed and sent to the Department of Vehicle Regulation 1) when a passenger vehicle covered under a certification authorized by 601 KAR 1:040 is sold, 2) when the plate is transferred to another fleet vehicle, or 3) when the plate has been destroyed or 4) when the plate will not be further used by the affiant or the affiant's company on the highways of Kentucky during the current license period in a for-hire operation.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Application (form TC 95-37), insurance verification, vehicle registration, equipment lease (form TC 95-15), inspection form, name, SSN, FIN, contact information, certificate number, make of vehicle, year of vehicle, plate number, seating capacity, lessor information, renewal form, inspection records, copy of fee receipt cards, copy of certificate, certificate of motor vehicle lease, amounts paid verification, related documents and related correspondence.
	Retention and Disposition	Destroy five (5) years after processed date.
05854	**House Moving Application Files**	This series documents the application and permit for House Moving. The department may issue permits for the operation of motor vehicles, manufactured homes, recreational vehicles, boats, or any other vehicle transporting a nondivisible load, whose gross weight including load, height, width, or length exceeds the limits prescribed by KRS 189.00 or which in other respects fail to comply with the requirements of said chapter. Permits may be issued by the department for stated periods, special purposes, and unusual conditions, and upon terms in the interest of public safety and the preservation of the highways as the department may require (KRS 189.270).
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Application (form TC 95-310), company name, address of existing home and proposed address, contact information, SSN, FIN, vehicle information including VIN and plate, time of move, from and to exact locations and routes of intended travel, US DOT number, KIT/IFTA/KYU/ numbers, for hire authority information, related documentation and related correspondence.
	Retention and Disposition	Destroy ten (10) years after issuance.
05855	**Kentucky Trucking Application Files**	This series documents the application processes for Motor Carrier Licenses and Authorities. It provides evidence that specific taxes have been paid and specific statutory requirements have been met by authorized carriers. An authorized carrier is a person duly qualified with the cabinet to engage in the transportation of persons or property for hire in either interstate commerce or intrastate commerce in Kentucky or both. The following licenses are included in this series: Kentucky Highway Use License (KYU), International Fuel Tax Agreement License (IFTA) and Kentucky Intrastate Tax License (KIT). The following authorities are included in this series: Intrastate Authority, Kentucky Regulated Authority, ICC Exempt Authority, ICC Authority, International Registration Plan (IRP) and US D.O.T. Number. (KRS 138.655-138.727, KRS 281.650, 601 KAR 1:101)
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	Series may contain: Application (form TC 95-1), POA., License/authority application(s), US DOT number , bond, tax return, billings, latest audit, lien documents, bankruptcy, qualification folder and observation reports, renewal printouts, name, contact information, license numbers, insurance information, SSN, FIN, vehicle usage information, states of operation information, officer information, audit documents, letters of failure to file, address change forms, appeal documents, auditor notations, tax filing reports, application for Kentucky Vehicle Identification forms. Authorization Agreement for preauthorized payments including voucher payment request. Vehicle add on forms for Kentucky For-hires, related documentation and related correspondence.
	Retention and Disposition	Destroy after audit or (5) years after inactive status.

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

April 1, 1981
Schedule Date

Unit

September 10, 2009
Change Date

September 10, 2009
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 9/18/09

Agency Records Officer — Date of Approval: 9/16/09

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 9/10/09

Chairman, State Archives and Records Commission — Date of Approval: 9/10/09

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

Records Analyst/Regional Adminstrator — Date of Approval: 9-10-09

Appraisal Archivist — Date of Approval: 9/10/09

State/Local Records Branch Manager — Date of Approval: 10 SEP 09

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 9-10-09

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Commission

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05885	**Dealer License Files**	This series documents all motor vehicle dealer and dealer sales person licenses issued and regulated by the Kentucky Motor Vehicle Commission in accordance with KRS Chapter 190 and KAR Title 605 Chapter 1. All motor vehicle dealers including: new or used, auction motor vehicle dealers, motor vehicle leasing dealers, restricted motor vehicle dealers, motorcycle dealers, brokers, wholesalers, automotive recycling dealers and motor vehicle salespersons must be licensed by the Kentucky Motor Vehicle Commission in order to engage in business in Kentucky. Dealer/Salesperson licenses are location specific, therefore additional locations require additional licenses. This series documents all active and inactive records/files applicable to the licensing process including, initial applications, financial statements, insurance requirements, complaints formalized against dealers/salespersons, investigations regarding complaints/violations, administrative orders and citations issued by the Commission. Dealer and salesperson licenses expire December 31, annually.
	Access Restrictions	KRS 61.878(1)(a) - SSN and 61.878(1)(c)(2d) - license to do business disclosure.
	Contents	Series contains: Application for Motor Vehicle Dealer's License: financial statement; property and signage photos; personal data form; waiver release form; applicant(s) photo(s); applicant's employment history; applicant's SSN; detailed drawing of property including nearest roadway; certificates to do business under an assumed name (if applicable); property lease agreement (if applicable); zoning and other land use regulatory compliance certification; insurance documentation; dealer license(s); salesperson license(s); Ky sales tax permit number; banking account numbers, and related correspondence and documentation.
	Retention and Disposition	Maintain active files permanently. Destroy inactive files five (5) years after non-renewal and/or inactive status.
05886	**Manufacturer and Distributor License Files**	This series documents all motor vehicle manufacturers and distributors licenses issued and regulated by the Kentucky Motor Vehicle Commission in accordance with KRS Chapter 190 and KAR Title 605 Chapter 1. All manufacturers of motor vehicles, factory representatives, factory branches, distributors, distributors representatives, distributor branches or wholesalers must be licensed by the Kentucky Motor Vehicle Commission in order to engage in business in Kentucky. This series documents all active and inactive records/files applicable to the licensing process including: initial applications, financial statements, insurance requirements, complaints formalized against manufacturers/distributors, investigations regarding complaints/violations, administrative orders and citations issued by the Commission. Manufacturers/distributors licenses expire December 31, annually.
	Access Restrictions	KRS 61.878(1)(c)(2d) - license to do business disclosure.
	Contents	This series contains: Application for Motor Vehicle Manufacturer / Distributor License: type of license(s); name and address of business; articles of incorporation (if applicable); name and address of owner(s) and/or, majority shareholders; financial statement; compensation schedule for parts, repairs, etc.; notary certification; related documents and correspondence.
	Retention and Disposition	Maintain active files permanently. Destroy inactive files five (5) years after non-renewal and/or inactive status.

Electronic System With Included Records Series

Transportation Cabinet

Department of Vehicle Regulation

Motor Vehicle Commission

System Description: All motor vehicle dealers including: new or used, auction motor vehicle dealers, motor vehicle leasing dealers, restricted motor vehicle dealers, motorcycle dealers, wholesalers, automotive recycling dealers and motor vehicle salespersons must be licensed by the Kentucky Motor Vehicle Commission (MVC) in order to engage in business in Kentucky.

The Administrative Dealer Database stores information about licensed dealers, salepersons, manufacturers, distributors and their representatives. The MVC uses the information from the system to issue the dealer licenses, manufacturer\distributor licenses and manufacturer\distributor representative licenses.

System Contents: The following information is found in the database:

For dealers: dealer number, dealership name, address, contact telephone, license types held, number of vehicles sold for the current year, date the dealer went into business, date of the last inspection and the names of owners up to two indivduals.

For manufacturers and distributors: license number, name of business, address, contact telephone number, license type held and a list of the manufacturer's/distributor's representatives.

Dealer licenses , manufacturer and distributor licenses and manufacturer and distributor representative licenses are printed from the system.

Data from the database is uploaded on a nightly basis to Transportation Cabinet's motor vehicle licensing system. The data is used by the County Clerk's to issue dealer plates.

Access to the database is restricted. The Executive Director of the MVC and MVC staff have entry/update capability.

Data from the database is used to provide public access to listings of currently licensed dealers, manufacturers/distributors and representatives. The web address is http://www.mvc.ky.gov/licensee/.

General Schedule Items:

System Title: **Administrative Dealer Database** ***Alternate Title:***

System Title: **Administrative Dealer Database** ***Alternate Title:***

Series #:	***Series Title:***	***Disposition Instructions:***	***Total Retention:***
05885	Dealer License Files	Maintain active files permanently. Destroy inactive files five (5) years after non-renewal and/or inactive status.	I
05886	Manufacturer and Distributor License Files	Maintain active files permanently. Destroy inactive files five (5) years after non-renewal and/or inactive status.	I

RECORDS RETENTION SCHEDULE

Signature Page

Transportation Cabinet
Agency

September 10, 2009
Schedule Date

Division of Motor Vehicle Licensing
Unit

March 13, 2014
Change Date

March 13, 2014
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval: 3-6-14

Agency Records Officer — Date of Approval: 2/25/14

State Archivist and Records Administrator
Director, Public Records Division — Date of Approval: 3/12/14

Chairman, State Archives and Records Commission — Date of Approval: 3/13/14

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

Records Analyst/Regional Administrator — Date of Approval: 3/12/14

Appraisal Archivist — Date of Approval: 3/12/14

State/Local Records Branch Manager — Date of Approval: 3/12/14

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The determination as set forth meets with my approval.

Auditor of Public Accounts — Date of Approval: 3-12-14

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
03478	**Title Application for Rebuilt Motor Vehicles**	This series documents the title application process required to license rebuilt vehicles. (KRS 186.115 & 601 KAR 9:200) It may also document that the vehicles involved carry a "salvage designation". If the vehicle to be licensed carries that designation, the applicant must prove that the vehicle is now repaired and safe for the highway. This is accomplished through the notarized labor statements that must be attached to the application. Once this information is accepted by Transportation personnel, a letter authorizing the County Clerk to remove the salvage designation and create a new title is issued. County Clerk enters information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-215 & 96-182) affiant name and address, statement regarding where affiant obtained parts from; vehicle description (VIN, make, model, year); motorcycle motor number (if applicable); boat description (if applicable); notary certification; supporting documents.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after five (5) years.
03479	**Application for Motor or Vehicle Identification Number**	This series documents the application for a motor vehicle identification number. Pursuant to KRS 186.160 and KRS 186.1911, all motor vehicles must have a vehicle identification number and this number must be legible in order for the motor vehicle to be titled and/or registered. Routinely, this application is used when titling/registering salvaged motor vehicles and home-made motor vehicles such as, dune buggies, boats and rail buggies. County Clerk enters information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-169) Name, county of residence and address of owner; vehicle kind, make, year, model, body style and motive power; last date of licensed by current owner if known and license number; name and address of previous owner if known; date of purchase and notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after five (5) years.
03480	**Authorization for Removal and Reattachment of Vehicle Identification Number**	This series is used to document that a person has taken main car body parts (at least 75%) off of a vehicle and placed them on another vehicle. Under the terms of KRS 186A.315, the person must ask for permission to remove the vehicle identification number (VIN) from one vehicle and place it on another. Notarized statements as to the actions are submitted to the Title Branch and after verification of the VINs involved (check for stolen status), this action is allowed to occur. The Title Branch sends this authorization to the County Clerk involved so that a new title can be issued. County Clerk enters information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: Notarized statement from individual or business; copies of titles; receipts for replacement parts
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
03945	**Title Application (V)**	This series documents the activities which result in the issuance of Certificates of Title (03946) to vehicles, motor homes, and trailers, as required in KRS 186A.010-990. Applications for titles are made to the County Clerk in the county of residence of the purchaser or in the county of purchase, within 15 days of purchase. Application information is entered by the Clerk into the Automated Vehicle Information System (AVIS). AVIS, implemented in September 1983, automates the registration and titling process. The application for title and any other supporting documentation is then forwarded to the Department for review and issuance of the title. All titles are to be issued within five days of receipt by the Department, unless discrepancies are noted.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-182) One or more title applications; one or more previous titles; assignment forms; powers of attorney; court orders; affidavits; out-of-state titles; and support documents.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after five (5) years.
03946	**Certificate of Title**	This series is created when an owner of a vehicle, mobile home, trailer or boat completes the titling requirements for proof of ownership, as set forth in KRS 186A.010-990. In addition to first-time ownership, a certificate of title is required when ownership of a vehicle is transferred, a vehicle is salvaged or a rebuilt vehicle is purchased (treated as first-time new). Application for title must be made to the county clerk in the county of residence or county of business of the dealer, within 15 days of purchase. Information is entered into the Automated Vehicle Information System (AVIS) by the Clerk. All supporting documentation, along with the title application, is forwarded to the Department for processing. A Certificate of Title, pursuant to KRS 186A.170, must be issued to the owner by the Department within five days of receipt, unless discrepancies are noted. All Certificates of Title result from AVIS and are not issued until the vehicle identification number has been checked against the system's listing of stolen vehicles.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-180) Title number; year, make, vehicle identification number, title type, model name, model number, type body, color, number of cylinders, odometer reading, motor number, weight; usage tax paid; previous title number/state; owner's name; date of issue; first lienholder; second lienholder; remarks; and brands
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after five (5) years.
04037	**Motor Vehicle Title and Registration County Clerk Fee and Tax Remittance Report - (AVIS Printout)**	This series documents all vehicles titled and registered by the County Clerk's Offices during each week. In addition, it documents all fees (state and county clerk's) and usage tax for each type of title and registration transaction, and reflects all inventory (plates, decals, and title numbers) issued during the report week. The report is produced from the Automated Vehicle Information System (AVIS) and may be printed by generated control number, plate number, decal number and title number. The report has four components: Report #1 is the detail report; Report #2 is the summary of all fees by week; Report #3 is the Clerk's manual corrections; and Report #4 is the state and clerk's fees totaled by registration type and total fee paid to the State.
	Access Restrictions	None
	Contents	Series may contain: Report #1 - lists each transaction by generated control number, associated plate number, decal number (if applicable), title number (if applicable), state fees collected, clerk's fees collected, usage tax collected, plates, decals, and titles sold during the report week; Report #2 - contains a summary of all fees collected by week; Report #3 - contains a rundown of the clerk's manual corrections; Report #4 - contains state and clerk fees totaled by registration type and the total fee paid to the State
	Retention and Disposition	Retain for one (1) month. Transfer to the State Records Center for and additional two (2) years and eleven (11) months. Destroy after audit. Total retention is three (3) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05765	**Motorboat Registration Certificate (V)**	This series documents motorboat registration process pursuant KRS 235.040. This series will include an attached bill of sale if it represents the original sale, an endorsed license if it represents a transfer, and a registration if it represents a renewal.
	Access Restrictions	None
	Contents	This series may contain: Certificate, bill of sale, endorsed license and registration.
	Retention and Disposition	Retain for five (5) years.
05766	**County Clerk's Daily Sale of Boat Licenses Report**	This series documents the County Clerk's Daily Sale of Boat Licenses. All original, renewal and duplicate licenses for the operation of motorboats shall be issued by the county clerk in the county in which the motorboat is registered pursuant KRS 235.060.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for five (5) years. Destroy after audit.
05767	**Boat Number Assignment List (V)**	This series documents the boat number that is assigned by the circuit court clerk the first time that a boat is licensed in the State of Kentucky pursuant KRS 235.030. The same boat number is used throughout the life of the boat.
	Access Restrictions	None
	Contents	This series contains: Name and address of owner, detailed description of boat, fees paid and boat number.
	Retention and Disposition	Retain Permanently.
05768	**Record of Boat Registration by Month**	This series documents the number of registrations, transfers and duplicate registrations issued each month by county.
	Access Restrictions	None
	Contents	This series contains: County, total registrations, total transfers and duplicates created by county
	Retention and Disposition	Retain for five (5) years.

Series	Records Title and Description	Function and Use
05887	**Mandatory Kentucky Insurance Reporting Enrollment**	This series documents mandatory Kentucky insurance reporting. This is a joint venture of the Office of Insurance and the Department of Vehicle Regulation (DVR). The regulation is a part of the Insurance Code as it sets forth the responsibilities of insurance companies to report information regarding vehicle insurance to the DVR which is responsible for enforcement of Kentucky's mandatory motor vehicle insurance laws. Pursuant to KRS 304.39-087 and in conjunction with KRS 186A.042, As of January 1, 2006, any insurance company that writes liability insurance on personal motor vehicles in Kentucky, must each month, send to DVR a list of the vehicle identification numbers (VINs) of each personal motor vehicle covered by liability insurance issued by the insurer as of the last day of the preceding month, along with the name of each personal motor vehicle insurance policyholder.This information is uploaded into the Automated Vehicle Information System (AVIS) and updated regularly.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-323) company name, address, contact person and National Association of Insurance Commissioners (NAIC) number.
	Retention and Disposition	Update files as necessary. Destroy and/or Purge superseded information as needed.
05888	**Application for Special License Plate**	This series documents the application of special license plates issued under the terms of KRS 186.162 and 186.164. KRS 186.162 defines a special license plate as a unique license plate issued to a group or organization that readily identifies the operator of the motor vehicle or motorcycle bearing the plate, as a member of a group or organization, or a supporter of the work, goals, or mission of a group or organization. Initial and renewal fees are divided and dedicated by statute to the Transportation Cabinet, the applicable county clerk and the organization. In some cases, a portion of the initial and renewal fees are dedicated to the organization by virtue of a voluntary donation that the applicant may opt out of at the time of payment. At least 900 applications must be received for a particular plate within one (1) year, for the plate to be created. County clerks enter licensing information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-15) Applicant name and address; name of organization and address; plate requested and fee amount included; supporting documentation.
	Retention and Disposition	Destroy after application approved or after one (1) year.
05889	**Title Lien Statements**	This series documents the original filing, continuation and/or the termination of motor vehicle, boat, trailer and manufactured home title liens as specifically indicated on the Title Lien Statement. Pursuant to KRS 186A.190, a title lien statement is submitted by the secured party to the county clerk and upon submission, the county clerk will note the security interest on the certificate of title. In noting a security interest, the county clerk is required to ensure that the lienholder's name and address, the date the lien is noted, the notation number and the county in which the security interest was noted, all appear on the certificate of title. A copy of the application, certified by the county clerk, indicating the lien on the certificate of title, will be forwarded to the lienholder. When lien is paid in full, a termination statement is completed and the county clerk will remove the noted security lien on the certificate of title in accordance with KRS 186.045 and KRS 186A.210. Additionally, pursuant to KRS 186A.190(1), the notation of the security interest on the certificate of title will remain effective from the date of notation for a period of seven (7) years or in the case of manufactured homes thirty (30) years or until discharged. Filing a title lien statement continuation within six (6) months of expiration extends the notation date for seven (7) years or until otherwise discharged.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-187) Indication as to original, continuation or termination statement; vehicle make, model, VIN and additional description if applicable; authentication of debtor; authentication of secured party and supporting documents.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or Destroy after lapse (7 years) or if manufactured home (30 years) or after termination and/or discharge of lien.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05890	**Claim for Refund of Truck License Fee**	This series documents claims for refund of truck license fee. Pursuant to KRS 186. 056 (1), when the ownership of a registered motor vehicle weighing in excess of 18, 000 pounds (as provided under KRS 186.050) has changed, a refund of a portion of the license fee may be claimed. The amount of refund is determined based on the remainder of the unexpired period for which the license fee was originally paid.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-170) Name and address of seller; make and model year of vehicle and VIN; license fee paid and license fee year; license plate number; date of transfer; name and address of purchaser; notary certification.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after one (1) year.
05891	**Claim for Refund of Motor Vehicle License Fee**	This series documents claims for refund of motor vehicle license fee and supporting affidavit. Pursuant to KRS 186.120, when a registered motor vehicle is completely destroyed by fire or accident and rendered useless, a refund for a portion of the license fee may be claimed by the owner. Pursuant to KRS 186.120(3), the claimant must submit his/her affidavit and the affidavits of two reputable persons attesting to to the fact that the vehicle has been destroyed and unfit for service. The amount of refund is determined based on the remainder of the unexpired period for which the license fee was paid.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-171) Name, signature and address of owner; make, model and year of vehicle; license fee year and amount paid; details of fire or accident and date occurred; statement and signatures of “two other reputable persons”; notary certification.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after one (1) year.
05892	**Request for Motor Vehicle or Boat Record with Personal Information**	This series documents requests for motor vehicle records, which include personal information. Pursuant to the Federal Driver Protection Act (18 U.S.C. 2721), P.L. 103-322, 601 KAR 2:020 and KRS 187.310, under certain conditions individuals/organizations may request a motor vehicle history, which includes owner(s) personal information. Requests are typically in connection with title transfers, traffic incidents(hit and run), creditor in possession, court proceeding and abandoned vehicles. Insurance companies also purchase this information regularly.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-16) Name, signature and address of requester, name of agency/company if applicable, specific exception to Privacy Act, notary certification, title number, VIN number, license plate number, vehicle history and vehicle owner(s) information.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after two (2) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05893	**Dealer/Manufacturer Plate Usage Authorization Register**	This series documents dealers/manufacturers dealer plate usage authorization registers. Pursuant to KRS 186.070 and 601 KAR 9:220, every manufacturer of, or dealer in, motor vehicles must register with the county clerk and pay an annual registration fee. A dealer plate is issued with registration and for additional fees, additional plates may be issued. The authorization register is a list of individuals that are authorized to operate motor vehicles bearing dealer plates. The register is used to certify that the names listed qualify per statutes and regulations as "bonafide" salespersons or employees entitled to use dealer plates. Registers must be updated quarterly with the county clerk (unless additions and/or deletions of employees warrant higher frequency). Additionally, dealers are required to file with the county clerk an updated supplemental register, listing only new or terminated employee(s) within seven (7) calendar days of the employment or termination of qualifing employee(s). The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	KRS 61.878 (1)(a) Personal Information - SSN
	Contents	Series may contain: (Form TC 95-10) Dealership/Manufacturer's name, address, phone, SSN, signature, dealer license number, employee names, addresses, SSNs and employment status.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.
05894	**Certificate of Registration**	This series documents the initial and renewal of motor vehicle registrations and tax collection transactions performed by the applicable county clerk. Pursuant to KRS 186.020, motor vehicles must be registered in Kentucky and registrations must be renewed annually. Motor vehicle registration acts as receipt for licensing fees and ad valorem taxes collected by the county clerk. When a motor vehicle is initially titled and registered in Kentucky, the county clerk collects taxes and fees and enters this information along with vehicle and owner information into the Automated Vehicle Information System (AVIS) and a certificate of registration is generated. When a motor vehicle registration is renewed, the county clerk collects taxes and fees and enters this information and applicable updated vehicle and owner information into AVIS and a renewal certificate of registration is generated.
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: Owner name, address, SSN; decal number; plate number; expiration date; previous plate number; previous decal number; vehicle type; VIN; vehicle year; body style; make; title number; date of issue; title fees; registration fees; taxes paid; related documents.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.
05895	**Affidavit Supporting Application for License Plates for Manufacturers and Dealers**	This series documents the affidavit supporting applications for dealer and manufacturer's "dealer" license plates. Pursuant to KRS 186.070 (2), all manufacturers and/or dealers making application for dealers plates must state by affidavit, that dealer plates will only be used by authorized and registered employees of the dealership and/or manufacturer for purposes reasonably connected with the sale or demonstration for sale and delivery of motor vehicles, or a dealer or manufacturer licensed in transporting motor vehicles to his/her place of retail business from a manufacturer or wholesale dealer in motor vehicles. The county clerk enters this informaton into the Automated Vehicle Information System(AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96 153) Owner or authorized official's name, name of manufacturer or dealer, business address, make(s) of vehicles produced and/or sold, federal ID number, month of incorporation, number of plates desired, name and phone number of one officer/agent; names, titles and address of members of business authorized to use dealer plates; and notary certification.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05896	**Notice to County Clerk of Vehicle Acquisition (Dealers)**	This series documents the notice to county clerks of dealers acquisition of motor vehicles. Pursuant to KRS 186A.220, when a licensed dealer purchases or accepts in trade a motor vehicle, which has been previously registered or titled in this state or another state, and which the dealer intends to hold the vehicle for resale, the dealer must notify the county clerk within fifteen (15) days of acquiring motor vehicle of the assignment of the vehicle (KRS186A.230) to the dealership and pay the transferor fee. The dealer, however, is not required to obtain a certificate of title for the vehicle. The county clerk enters the assignment into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-183) Name, and address of dealer; Ky dealer number; federal identification number; vehicle make, model, year, mileage and VIN; current title number, current plate number and decal number; name and address of previous owner.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.
05897	**Affidavit Supporting Vehicle License Application**	This series documents affidavits supporting vehicle license applications. This record is used to document that either a vehicle was not operated upon the public highways of Kentucky during a specific year(s) or was licensed in another state during a specific year(s). Moreover, this affidavit is used to support the waiver/deletion of pending registration and license fees and penalties for the applicable year(s).The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-191) county; name and address of affiant; vehicle make, model, body style, year and VIN; year(s) vehicle not operated on Ky roadways and/or year(s) vehicle licensed out of state; notary certification.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.
05898	**Application for Disabled Persons Special Parking Permit**	This series documents the application for disabled persons special parking permit placard. Pursuant to KRS 189.456, any person with a severe visual, audio, or physical impairment which limits or impairs a person's mobility or ability to walk may make application to the county clerk for an accessible parking placard. Additionally, any organization which transports persons with disability as part of the service provided by the organization may make application to the county clerk for each vehicle used in transporting disabled persons. County clerks are instructed to issue placards at no cost to applicant as statute requires the Transportation Cabinet to bear printing expense. Placards are valid for two (2) years with a maximum of two (2) renewals.
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-204) applicant's name, address and SSN; county clerk's attestation (if applicable); Physician's name, license number and certification (if applicable); notary certification (if applicable).
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05899	**Application for Special Registration Plate for Disabled Persons**	This series documents the application for special registration plates for disabled persons. Pursuant to KRS 186.042 and KRS 186.0425, any person with disabilities which limit or impair the ability to walk, who has lost the use of one or both arms, or who is blind or any organization which transports persons with a disability as part of the service provided by the organization, my make application to the county clerk for an accessible parking registration plate or renewal decal designating the vehicle as being owned by a person with a disability or an organization that transports persons with a disability. The fee for disabled licenses plates and renewals are established by KRS 186.162. The county clerk enters information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-205) name of applicant or organization name and address; vehicle identification number; physician's name and certification; registration number issued.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge/Destroy after two (2) years.
05900	**Application for Disabled Veterans free Certificate of Registration and License Plates**	This series documents applications for disabled veterans free certificate of registration and license plates. Pursuant to KRS 186.041, 186.042 and 186.162(2)(a), a resident of Kentucky who is a disabled veteran and who has been issued a motor vehicle or has been provided assistance to purchase a motor vehicle by the Veterans Administration under the provisions of 38 USC 901, may make application for special disabled veterans license plates and registration and renewal of said vehicle is at no cost to the applicant. The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-217) applicants name, age, SSN, address; vehicle identification number, make, year and previous Ky license number (if applicable); issued license number and date; notary certification; supporting documents.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after two (2) years.
05901	**Statement of Current Service in Kentucky National Guard**	This series documents the statement of current service in the Kentucky National Guard. Pursuant to KRS 186.041(a), current members of the Kentucky National Guard may make application for the distinctive National Guard license plate while actively serving if application is accompanied with a certifying statement from applicant's unit commander. This information is entered into the Automated Vehicle Information System (AVIS).
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-216) name, rank and SSN of applicant; signature of unit commander, KNG unit and address.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after two (2) years.
05902	**Application for Personalized License Plates**	This series documents applications for personalized motor vehicle and motorcycle license plates. Pursuant to KRS 186.174 and 186.164(9)(c-g), any owner or lessee of a motor vehicle or motorcycle may make application for a personalized license plate at the office of county clerk. A personalized license plate may not conflict with or duplicate the alpha-numeric system used for regular license plates, nor contain a combination of more than six (6) letters of the alphabet and Arabic numerals, including spaces. Personalized license plates may not be obscene as determined by the cabinet. This county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-218) name and address of applicant; requested plate year; first-fourth choice of 6 numeric and/or alpha characters.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after two (2) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05903	**Application for National Guard Retiree Plate**	This series documents applications for the National Guard Retiree motor vehicle license Plates. Pursuant to KRS 186.041 and 601 KAR 9:130(8)(2), a retiree of the Kentucky National Guard may make application with the required county clerk for a distinctive National Guard Retiree license plate. In addition to the application, a certification by the custodian of military records, Department of Military Affairs must be provided for plate to be issued. The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-227) applicant name, rank and SSN; name of manager of military records for the Department of Military Affairs and certification.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after two (2) years.
05904	**Application for Disaster and Emergency Services Plate**	This series documents applications for disaster and emergency motor vehicle license plates. Pursuant to KRS 186.162, special license plates may be issued to certain groups and organizations. Applications for this special motor vehicle license plate must be accompanied by a certification by a Mayor, County Judge Executive or a Disaster and Emergency Services (DES) Coordinator that the applicant is a member of either a DES organization or a volunteer rescue squad. This information is entered into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-228) name and address of applicant; certification by mayor, county judge/executive or DES coordinator.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after two (2) years.
05905	**Motor Vehicle Insurance Agent Binder Cancellation**	This series documents the cancellation of motor vehicle insurance agent insurance binders. Insurance binders are the equivalent of temporary insurance until a formal policy is issued. Pursuant to KRS 304.39-083, when an owner of a motor vehicle is issued a binder or other contract for temporary insurance and subsequently cancels the binder before the issuing agent has forwarded the person's application for a binder or other contract for temporary insurance to the insurance company, the agent must notify the Department of Motor Vehicle Regulation immediately that the owner has cancelled the binder for motor vehicle security.
	Access Restrictions	KRS 61.878(1)(a) Personal Information-SSN
	Contents	Series may contain: (TC 96-30) Insurance agency name, address, agent name, signature, agent number; insurance company name, Ky assigned company code; Insured name, address, DOB, DLN, SSN; vehicle year, make and VIN; binder/policy number, effective date, cancellation date.
	Retention and Disposition	Copies may be destroyed once information is uploaded into electronic database. Purge and/or Destroy after five (5) years.
05906	**Odometer Disclosure Statement**	This series documents vehicle odometer disclosure statements. In accordance with KRS 190.300 and P.L. 99-579 (Truth in Mileage Act of 1986), transferors are required to disclose vehicle mileage in connection with the transfer of vehicle ownership. Beginning in 1985, Kentucky motor vehicle titles have an odometer statement included on the back. County clerks enter this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-5) Transferor's name, address, signature; Vehicle's make, model, VIN, year, mileage; Transferee's name, address; and notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05907	**Affidavit of Incomplete Transfer**	This series documents an incomplete motor vehicle title transfer (incomplete transfer of interest in vehicle). Pursuant to KRS 186A.215(4), when/if it comes to the attention of the transferor that a transferee has not submitedt the necessary title transfer documents within fifteen (15) days to the appropriate county clerk, as required by KRS 186A.215(1) in order to complete the transfer transaction, a transferor must submit to the county clerk, in his county of residence, an affidavit that he has transferred his interest in a specific vehicle. The county clerk then enters the appropriate data into the Automated Vehicle Information System (AVIS) which restricts any registration transactions from occurring on that vehicle until the title transfer has been completed.
	Access Restrictions	KRS 61.878(1)(a) Personal Information-SSN
	Contents	Series may contain: (TC 96-3) Transferor's name, address, SSN, signature, vehicle year, make, VIN, transferee's name and notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
05908	**Affidavit of Creditor In Possession**	This series documents the affidavit of creditor in possession. Pursuant to KRS 186A.190 (4) and KRS 376.480, a county clerk is required to issue a new title to a motor vehicle, boat or mobile home, clear of all prior liens, to a creditor in possession after he/she provides a completed affidavit attesting that certain conditions exist and certain conditions have been met. Examples of conditions include, but are not limited to: Creditor possesses vehicle; a debt was owed to creditor for more than thirty (30) days (for abandoned mobile homes debt must be for more than sixty (60) days) prior to required notices being published; more than fourteen (14) days prior to presenting affidavit to county clerk, creditor attempted to notify owner and all known lienholders, by certified mail, of creditor's intention to obtain a new title, clear of all prior liens, unless objected to in writing; legal notice has been published stating creditor's intention to obtain a new title.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-157) Date affidavit presented to county clerk; year, make, model and last license number and state of vehicle; date vehicle has been in creditor's possession; date debt has existed from and for what the debt was/is for; name and address of owner; name and address of lienholders; date of legal notice and name of publication; notary certification; affiant name, signature and address.
	Retention and Disposition	Original may be destroyed once microfilming and/or electronic imaging has been completed. Purge and/or destroy after fifteen (15) years.
05909	**Odometer Disclosure Statement (Leased Vehicle)**	This series documents leased vehicle odometer disclosure statements. In accordance with KRS 190.300 and P.L. 99-579 (Truth in Mileage ACT of 1986), lessees are required to disclose the mileage to the lessors in connection with the transfer of vehicle ownership. Beginning in 1985, Kentucky vehicle titles have an odometer statement included, therefore generally, this record documents when discrepancies occur and mileage corrections must be made. County clerks enter this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (Form TC 96-4) Odometer reading statement, name of person making disclosure, year/make/model/VIN of vehicle, lessee's name, address and signature, lessor's name, address and signature and date.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.

Series	Records Title and Description	Function and Use
05910	**Affidavit of Motor Vehicle Sale**	This series documents the affidavit of motor vehicle sale. Pursuant to KRS 376.275, when a motor vehicle has been involuntarily towed or transported, by order of police, public authority, private person or business, they must attempt to ascertain the identity of the registered owner from the Transportation Cabinet and within ten (10) business days of removal, attempt to contact the owner by registered mail to provide the location of the vehicle and the requirements to secure release of the vehicle. If the vehicle is placed in a garage or other storage facility, the owner of the facility must attempt to provide notice to the owner by certified mail within ten (10) business days. If the owner of the facility fails to attempt to contact vehicle owner within this time frame he/she forfeits all storage fees accrued after ten (10) business days from the date of tow. If the storage and/or towing facility owner substantially complies with these requirements, he/she will have lien on the motor vehicle for the reasonable storing and/or towing charges as long as the vehicle remains in his/her possession. If after a period of forty-five (45) days, the charges have not been paid, the motor vehicle may be sold to recover charges after the owner has been notified as to the time and place of sale. Pursuant to KRS 82.605, the aforesaid provisions do not apply when a local or state government causes vehicle to be removed.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-159) Make, year, VIN, last license state and license number; length of time vehicle has been in possession, reason for removal, location of removal; name and address of registered owner; name of publisher, dates ad ran; date of sale, sale price, name and address of purchaser; affiant's name, signature and address; notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
05911	**Affidavit for Replacement/Non-Exchange**	This series documents the affidavit for the replacement of certificates of title, certificates of registrations, registration plates and registration decals. Pursuant to KRS 186.180, if a person applies for any of the above mentioned items due to loss, theft, destruction, county change, etc., an affidavit must be completed and submitted to the local county clerk's office for a replacement to be issued. Additionally, pursuant to KRS 186.023, when a motor vehicle is sold out of state, an affidavit must be completed to cancel Kentucky title and registration. If not completed at the time of sell, Kentucky title and registration will be cancelled thirty (30) days after notification from another jurisdiction that the Kentucky title, registration and or plate have been surrendered.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-167) Name, signature, SSN, DLN and address of owner; title, registration and decal number; notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
05912	**KY Self-Service Storage Act (To satisfy lien)**	This series documents the enforcement of lien by the selling of property stored in a leased space at a self-service storage facility (KRS 359.220), thereby causing motor vehicle or boat titling and registration events. Pursuant to KRS 359.230, the operator of a self-service storage facility may sell a lessee's property (motor vehicle or boat) which is in lessor's possession, when lessee is in default for more than forty-five (45) days and conditions of KRS 359 have been satisfied, to enforce a lien on said property.
	Access Restrictions	None
	Contents	Series may contain: (TC 96-179) Make, model, year, cylinder, body style, last license number and vehicle or hull identification number; date of default; length of time vehicle has been in possession of lessor; date of sale; name and address of buyer, name and address of owner of record; notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.

Series	Records Title and Description	Function and Use
05913	**Affidavit Supporting Repossession and Disposition of Vehicle**	This series documents the affidavit supporting repossession and disposition of a vehicle by secured parties. Pursuant to KRS 186.045(6) and KRS 355.9, when a secured party repossesses a vehicle titled in Kentucky, where a security interest is in existence at the time of repossession and then disposes of the vehicle, he/she must present within fifteen (15) days an affidavit affirming repossession and disposition and a termination statement, or proof that a termination statement has been previously filed. Once these documents are received, the lien on the vehicle is removed and the new owner may make application for title. The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-192) affiant name, secured party name and address; year, make, model and VIN of vehicle; financing statement file number and county clerk office where filed; purchaser name and address; secured party (if applicable); last Ky license number and year; notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
05915	**KY Motor Vehicle Inspection Performed In Another State**	This series documents Kentucky motor vehicle inspections performed in another state. Pursuant to KRS 186A.115(e)(f), motor vehicles purchased in another state by residents of Kentucky, but who are temporarily residing out of state for a minimum of thirty (30) days, but no more than nine (9) months or motor vehicles located in another state, but which require inspection in order to issue a corrected Kentucky title due to an error in the vehicle identification or serial numbers, may have their vehicle inspected by the state police, a local law enforcement agency or the vehicle inspection program of another state. A person using an inspector in another state must transmit the registration application and this affidavit to the Kentucky county clerk of residence and upon receipt of this affidavit and the appropriate documentation, the county clerk will complete the registration and/or title correction of the vehicle. This information is entered into the Automated Vehicle Identification System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-229) name and DL number of vehicle owner; odometer reading; notary certification; vehicle year, make, VIN, current license number, current state of registration, current title number, odometer reading by inspector, state where inspection took place, inspector's name, title and agency.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
05916	**Affidavit of Mileage Correction**	This series documents the affidavit of mileage correction. Pursuant to KRS 190.300 and PL 99-579, transferors must give written disclosure to the transferee in connection with the transfer of ownership of a motor vehicle. And, must disclose the cumulative mileage registered on the odometer or disclose that the actual mileage is unknown, if the odometer reading is known to be different than the actual miles traveled. Since 1985, included on Kentucky titles is the odometer statement. This series documents corrections to original incorrect odometer statements. The county clerk enters this information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	None
	Contents	Series may contain: (TC 96-322) name of previous owner and current owner; vehicle title number and VIN; corrected mileage; notary certification.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet
Vehicle Regulation, Department of
Motor Vehicle Licensing, Division of

Record Group Number
2760V

Series	Records Title and Description	Function and Use
05917	**Motor Boat Transaction Record - Application for Title/Registration**	This series documents motorboat application for title and or registration. Pursuant to the State Boating Act (KRS 235.00) and KRS 186A.015, motor boat owners are required to apply for title and registration to the county clerk of the county in which the owner resides, except, if the motor boat is to be operated principally in a county other than the county of the owner's residence, the owner may apply for title and registration to the county clerk of the county in which the motorboat is to be principally operated. Motor boats are registered annually. County clerk enters information into the Automated Vehicle Information System (AVIS).
	Access Restrictions	KRS 61.878(1)(a) Personal Information - SSN
	Contents	Series may contain: (TC 96-184) Names and addresses of buyer and seller; buyer's SSN/FIN; motorboat identification specifics (Ky. Number, type, make, year, etc); notary certification and supporting documents.
	Retention and Disposition	Original may be destroyed once microfilming and/or imaging completed. Purge and/or destroy after fifteen (15) years.
06082	**Temporary Tag Log (Dealer Issued)**	This series documents the dealer issued temporary tag log sheet. Per KRS 186A.105 dealers who issue, or whose agents issue, temporary tags must maintain a log of each temporary tag obtained and each tag issued, showing all information entered by the dealer or dealer's agent on forms supplied by the cabinet (TC96-210), and make such log available for inspection by any law enforcement officer upon request. The log must be retained by the dealer for a period of at least two (2) years following the date of issuance of the last dated tags whose issuance is indicated on any individual temporary tag log sheet. Currently, this log is maintained by individual dealers and this information is not maintained, nor included in any database maintained by the Cabinet, however planned system changes would include this information, thereby making this information readily available to all law enforcement agencies.
	Access Restrictions	None
	Contents	Series contains: Dealer name, dealer location, dealer contact information, temporary tag number, date delivered, expiration date, purchaser's name, vehicle identification number, vehicle make and year.
	Retention and Disposition	Retain for two (2) years.
06294	**Historic Motor Vehicle Registration**	This series documents the registration of historic vehicles. Pursuant to KRS 186.043, the registration and license plates of historic motor vehicles are valid without renewal as long as the vehicle is in existence. If the historic motor vehicle is sold, the registration and license must be assigned and transferred to the new owner on the records of the Transportation Cabinet
	Access Restrictions	None
	Contents	Series contains: Application and related documents.
	Retention and Disposition	Retain registration until notified that vehicle no longer exists.