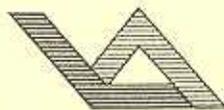




RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

GENERAL SCHEDULE FOR STATE AGENCIES

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

The *General Schedule* has four sections:

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

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

While the *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies, agency-specific retention schedules apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* along with a Commission-approved agency-specific retention schedule should cover all records for a given state agency.

Electronic Records

The widespread use of computers and computer systems raises the question of how government agencies should apply records management standards to electronic records and electronic record-keeping systems. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that electronic records fall under the definition of public records. Records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium in which the records are created and/or stored.

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

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

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

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

Copies of Records

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

An Explanation of Selected General Records

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

Correspondence

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

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

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

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

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

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

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

Publications and Reports

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

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

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

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

Minutes of Meetings

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

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

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

Fiscal Records

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

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

enhanced Management Administrative Reporting System (eMARS) Source Documentation

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

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

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

Personnel Records

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

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

Informational and Reference Materials

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

Public Records Division Forms

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

Records Retention and Disposition Terminology Used in the Schedule

Permanent Records

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

Fixed Retention Records

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

Indefinite Records

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

Auditable Records

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

Unless otherwise supported by Kentucky Revised Statutes or federal regulations specifying a longer period, the retention requirement for records subject to audit, as approved by the Auditor of Public Accounts, generally is **three** years. If an agency is aware of the need to maintain records longer than the standard three year period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records which have been identified as subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements. If an agency's fiscal records have not been audited, the audit for the appropriate fiscal year is considered closed upon release of Single Statewide Audit of Kentucky (SSWAK) by the Auditor of Public Accounts for that fiscal year.

Vital Records

Vital records are defined as those records that are essential to the continued functioning of an agency during and after an emergency, as well as those records that are essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V) and, generally, comprise less than 5% of an agency's total records.

Confidential Records

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

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



RECORDS RETENTION SCHEDULE

GENERAL SCHEDULE FOR STATE AGENCIES
Fiscal Records Section
Schedule Date: December 2003



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

Printed with State Funds

RECORDS RETENTION SCHEDULE

Signature Page

General Schedule for State Agencies
Agency

December 11, 2003
Schedule Date

Fiscal Records Section
Unit

Change Date

12/11/03

Date Approved by Commission

APPROVALS

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

Agency Head

Date of Approval

Agency Records Officer
State Archivist and Records Administrator
Director, Public Records Division

Date of Approval
1/5/04
Date of Approval

Chairman, State Archives and Records Commission

Date of Approval

12/11/03

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

Riana Moses
Records Analyst/Regional Administrator

12/3/03
Date of Approval

Jim Juffe
Appraisal Archivist

12/15/03
Date of Approval

Riana Moses
State/Local Records Branch Manager

12/3/03
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12.11.03
Date of Approval

**STATE AGENCY RECORDS
 RETENTION SCHEDULE**

General Schedule for State Agencies
 Fiscal Records

**Record Group
 Number**

Series	Records Title and Description	Function and Use
F0001	Annual Financial Report File - (Provides an annual accounting of the financial status of an agency) Contents	This series documents the annual accounting of the financial status of an agency.
	Retention and Disposition	Retain permanently in agency.
F0002	Operating Budget - (An agency's budget for a biennium, which has been approved by the General Assembly) Contents	This series documents the budget under which an agency operates for a biennium, and which has been approved by the legislature.
	Retention and Disposition	Series may contain: Organizational units; revisions; requested items - next two years; General Fund, regular appropriations, salary equity allotments, projections from tax rates; total General Fund; federal funds, balance forward, current receipts, non-revenue receipts, total restricted receipts; total funds; expenditures by class, personnel costs, operating expenses, grants, capital outlay, total expenditures; expenditures by unit, policy statements with divisions, grand totals of finances Retain permanently in agency.
F0003	Budget Request File - (Documents requests for agency funding to be included in final, approved budget) Contents	This series documents funds requested by agencies for inclusion in the final budget.
	Retention and Disposition	Series may contain: Date; fiscal year; administrative unit; total amount requested for agency for each year; principal budget classes of financial requirements; capital outlay items; debt service items; grants or loans; personnel costs; federal funds requested, anticipated receipts; funding sources Retain five (5) years, then destroy.
F0004	Budget Workpapers Contents	This series represents documentation/tabulations used in the calculation of budget requests, by line item.
	Retention and Disposition	Series may contain: Date; fiscal year; administrative unit; total amount requested of budget unit per fiscal year; principal budget classes of needed expenses; capital outlay items; debt service item; grants or loans; personnel costs; anticipated receipts; funding sources Retain five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0005	Audit Report File	This series documents the financial audits completed by the Auditor of Public Accounts, under the Single Audit Act. Audits may also be compliance or programmatic in nature. The series also includes state agencies' internal audit reports, audit reports of agencies prepared by private accounting/auditing firms, as well as those audits of agencies completed by the Finance and Administration Cabinet.
	Contents	Series may contain: Date; agency name; table of contents; introduction; independent auditor's report; financial statements; balance sheets; statements of income and retained earnings; statements of cash flows; schedules of federal financial assistance; report on internal controls; report on compliance; notes; recommendations; statistics
	Retention and Disposition	Retain permanently in agency.
F0006	Journals and Ledgers - (Documents financial journals and ledgers that are maintained outside of the Advantage accounting system, a component of the Management Administrative Reporting System (MARS) - (Can be in a manual or an automated format not associated with MARS)	This series documents financial journals and ledgers that are maintained outside of the Advantage accounting system which is a component of the Management Administrative Reporting System (MARS). MARS was implemented July 1, 1999, and replaced the former Statewide Tracking and Reporting System. It also includes journals and ledgers created prior to the implementation of MARS and which may be in either a manual or an automated format. NOTE: Journals and ledgers created prior to the implementation of MARS may, at the discretion of the State Archivist, be retained permanently.
	Contents	Series may contain: Date; administrative unit; credit columns for receipts; expenditure columns; transaction entries; account codes; account categories; grand total expenses for month and year; remarks
	Retention and Disposition	Destroy journals and ledgers created after July 1, 1999 eight (8) years after the year-end financial close out, and audit. NOTE: Those created prior to July 1999 may be retained or destroyed upon determination of the State Archivist.
F0007	Contracts, Leases and Agreements - (Non-construction)	This series documents the contracts, leases and agreements (financial or otherwise) entered into with public or private agencies or individuals. All proposed personal service contracts and memoranda of agreement received by the Legislative Research Commission are submitted to the Government Contract Review Committee to examine the stated need for the services, examine whether the service could or should be performed by state personnel, examine the amount and duration of the contract or agreement, and examine the appropriateness of any exchange of resources or responsibilities, as required in KRS 45A.705 (4). Upon receipt of the Committee's disapproval or objection to a personal service contract or agreement, the Secretary of the Finance and Administration Cabinet will determine whether they should be revised to comply with the objections of the Committee, be canceled, or remain in effect as originally approved. (See KRS 45A.705 (6)).
	Contents	Series may contain: Date of filing; duration of service; name, address, and phone number of contracting agency; name, address, and phone number of vendor; payment dates; request for proposal/need for service; cancellation clause; required signatures of parties in agreement; date signed; approval by subcommittee of Legislative Research Commission; final approval by Secretary of Finance; notice of amendment to personal service contract; notice of extension of personal service contract; proof of necessity form
	Retention and Disposition	Destroy eight (8) years after completion, termination, or expiration, and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0010	<p>Capital Projects Progress Payment Report File - (Records listing of payments to contractors during a capital construction project)</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series a listing of payments made to a contractor during a construction project.</p> <p>Series may contain: Date of progress payment; capital construction project number; location; agency/department; account type; amount of payment; account balance</p> <p>Destroy eight (8) years after termination of contract, and audit.</p>
F0011	<p>Memorandum to Establish/Delete Accounts Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: This series documented a brief statement from a department or division head regarding changes in account status related to business operations in an agency.</p> <p>Series contains: Date of memorandum; department; division; accounts; description of operations; offices affected; account number established; account number deleted</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0012	<p>Authorization to Acquire Investments Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: No information was available regarding this series.</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0013	<p>Inter-Bank Transfers Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: No information is available regarding this series.</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0022	<p>Departmental Authorization for Payment and Receiving Report Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: This series documented approval from administrators for payment of an outstanding bill in the agency. Fiscal staff in the agency added other account information to the record for reference.</p> <p>Series may contain: Date; purchase order number; purchase requisition number; name/address of vendor; unit price; grand total; buying entity (agency); shipping address; invoice to; item description</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>

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General Schedule for State Agencies
Fiscal Records

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Number

Series	Records Title and Description	Function and Use
F0026	<p>Warrants - (Documents the order for issuance of checks for distribution to appropriate vendors) Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: This series documented the order for issuance of compensation checks from the Finance and Administration Cabinet back to state agencies for distribution to appropriate vendors. The series also was used to track a lost or missing check, by check number, and to stop its payment.</p> <p>Series contains: Fiscal year; warrant number; date; vendor number; name/address of vendor; document number; account number; grand total; adjusted amount</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0027	<p>Sales Receipt/Cash Register, Tape/Sales, Ticket/Sales, Slip/Invoice, Agency-to-Agency Sales File</p> <p>Contents</p>	<p>This series documents records provided by state agencies at point-of-purchase to purchasers of products and services offered by the agencies.</p> <p>Series contains: sales receipts; cash register tapes; sales tickets; sales slips; and invoices</p>
	Retention and Disposition	Destroy eight (8) years after transaction date, and audit.
F0028	<p>Request and Authorization for Refund - (Documents the issuance of a refund to a payee to correct a payment made in error) Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: This series documented the issuance of a refund to a payee to correct a payment made in error.</p> <p>Series contains: Date; department; division; payee name; address; fund number; refund amount; description; authorization by division director</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0029	<p>Loss Claim File - (Documents that a loss or damage has occurred to property owned or leased by the Commonwealth) Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: This series documented that a loss or damage had occurred to property owned or leased by the Commonwealth. It provided that authorization has been made for payments to an agency from the State Fire and Tornado Insurance Fund for losses, such as to buildings, computers or vehicles. Each agency set aside annual finances to be insured for damages that might occur. There was a limited fund liability of \$300,000 for any one loss.</p> <p>Series may contain: Date; loss claim number; fund; amount of loss claim; agency suffering loss; description and location of disaster; description of damaged items and extent of loss; certificate or premium number; settlement approved; signature of agency representatives; signature of Department of Insurance representative; signature of Finance official</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
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Record Group
Number

Series	Records Title and Description	Function and Use
F0031	Multi-Program Cost Distribution File - (Documents funds circulated within an agency to pay vendor charges utilized by several organizational units) Closed Date: 7/1/1999	Closed Series: This series documented funds circulated within an agency to pay vendor charges utilized by several organizational units.
	Contents	Series may contain: Date; document number; obligation number; vendor name/number; organizational unit; funds distributed; invoice number; vendor; total
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0032	Agency Allotment Adjustment Request File - (Documents the formal request to adjust the amount of an agency's scheduled allotment)	This series documents the formal request by agencies to the Governor's Office for Policy and Management to adjust the amount of the agency's scheduled allotment.
	Contents	Series may contain: date; fiscal year; department; division; balance of allocated receipts; authorized spending limit per quarter; yearly allotment total
	Retention and Disposition	Retain in agency two (2) years. Transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years or after audit, whichever is longer.
F0034	Inter-Account Bill - (Documents billing for or payment to agencies for services or goods received) Closed Date: 7/1/1999	Closed Series: This series documented the invoice used to pay, or receive payment from, another state agency for services or goods received.
	Contents	Series contains: Date; inter-account number; charge agency/supplied to department/division; delivery type; fund; fiscal year; credit agency/supplied by department/division; fund; item number; description of goods or services; quantity; unit price; amount; grand total; signatures of credit/charge department; signature of Division Director of Accounts
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0035	Request for Delivery on Contract Closed Date: 7/1/1999	Closed series: No information was available for this series.
	Contents	
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.

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General Schedule for State Agencies
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Series	Records Title and Description	Function and Use
F0036	<p>Agency Request for Quotation - (Documents the request for price quotations for supplies or equipment, prior to ordering) Closed Date: 7/1/2003</p> <p>Contents</p>	<p>Closed series: This series documented the request for price appraisal of supplies or equipment from an agency to prospective vendors before orders were made.</p> <p>Series contains: Quotation number; agency requisition number; date issued delivery required; number for information; to be opened date; freight prepaid to agency; vendor requests - one to three; specifications; quantity; unit; unit price; total; grand total</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0041	<p>Central Stores Requisition - (Documents requests for supplies) Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed series: This series documented the agency request to a central state warehouse for specified office supplies or larger items such as furniture. This function is now performed by Cardinal Office Systems.</p> <p>Series may contain: Name/address/phone number of vendor; date of order; department; division; order number; ; placed by; agency phone and fax numbers; shipping and billing information-attention, building/floor/room, and street/city/zip; item number; catalog number; description; quantity; unit price; grand total; and signature of division director</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0042	<p>Central Stores Order and Voucher Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: This series documented the order execution and delivery of office supplies or furniture requested from the central warehouse to agencies. It also served as evidence of the procurement transaction. Central Stores supply operations were discontinued and replaced with Cardinal Office Systems.</p> <p>Series contains: Central Stores; address of provider; date of order; department/division order number; purchasing agency; completed by; address of agency; ordered by; phone number of purchasing agency; shipping and billing information-attention to; shipping address; item number; catalog number; description; quantity; unit price; grand total</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0043	<p>Out-of-State Travel Authorization File - (Documents approval to travel out of state)</p> <p>Contents</p>	<p>This series documents the written approval for out-of-state travel for employees. Approval is generally given at the Cabinet level.</p> <p>Series contains: Department; date; name of employee; position; amount; total not to exceed; from/to destination; date of trip; purpose of trip; expenses; rationale for more than three employees participating; state use of registration fee; method of conveyance; signature of Department Head</p> <p>Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.</p>

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Number

Series	Records Title and Description	Function and Use
F0044	<p>Travel Voucher File - (MARS 34, MARS 34B, MARS 35, MARS 36 and MARS 37, if original hard copy is used as source document) - (In-state and out-of-state travel)</p> <p>Contents Series contains: Date; original travel voucher number (TR); out-of-state authorization number (if applicable); department; division; employee name and address; date; departure/return dates; auto mileage; location of travel; employee's signature; supervisor's signature; department head signature; subsistence; lodging; other expenses-may include registration fees or car rental; social security number; purpose; totals; grand total of reimbursement; continuation page (if applicable)</p> <p>Retention and Disposition Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.</p>	<p>This series documents a state employee's travel expenses while performing agency related business, whether in-state or out-of-state. The form reflects the expenses incurred and is used to reimburse the employee. Includes MARS 34, MARS 34B, MARS 35, MARS 36 and MARS 37, if original hard copy form is used as the source document.</p>
F0045	<p>Travel Report - Monthly Closed Date: 7/1/1999</p> <p>Contents Series may contain: Date; department/division numbers; travel expense voucher numbers; out-of-state travel authorization numbers; employee names; addresses; amounts expended for travel; grand total expended; dates of travel; locations; purposes; mileage; subsistence; lodging; other expenses-may include registration fees or car rental; continuation page (if applicable)</p> <p>Retention and Disposition Destroy after three (3) years or audit, whichever is longer.</p>	<p>Closed series: This series documented a summary for the previous month of travel expenses, such as mileage or lodging, that employees incurred while performing agency functions in Kentucky or out-of-state.</p>
F0046	<p>Receiving/Inspection Records - (Documents receipt and inspection of goods and services purchased by agencies)</p> <p>Contents Series may contain: invoice; invoice number; expected date of delivery; date ordered; shipping address; vendor name/address; agency; purchase amount; freight company</p> <p>Retention and Disposition Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.</p>	<p>This series documents the receipt and inspection of goods and services purchased by state agencies.</p>
F0047	<p>Equipment Inventory - (Annual listing) Closed Date: 7/1/1999</p> <p>Contents Series may contain: Department; fiscal year; date; identification number; code location; item; location; description; model number; serial number; vendor; fixed assets items</p> <p>Retention and Disposition Destroy after three (3) years or audit, whichever is longer.</p>	<p>Closed Series: This series documented an annual listing that was conducted to maintain an updated description of property or equipment in the custody of an agency.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0048	Request for Disposal of Equipment Closed Date: 7/1/1999	Closed Series: This series documented state agency requests to dispose of equipment which had become unsuitable or outdated. Arrangements were made to sell the items at public auctions conducted by the Finance and Administration Cabinet or to discard them.
	Contents	Series contains: Date; account number; number of department; department; division; location of property; D.S. number; item number; description; serial number; quantity; original cost; internal consumption; other disposition; approximate value; authorized signatures
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0049	State-Owned Property - (Declared surplus)	This series documents the open claim which identifies outdated property as surplus, or below the requirement for what is needed to provide effective service in a particular agency.
	Contents	Series contains: Date; account number; number of department; department; division; location of property; item number; description; serial number; quantity; original cost; internal consumption; other disposition; approximate value; authorized signatures
	Retention and Disposition	Destroy after eight (8) years or audit, whichever is longer.
F0050	Fixed Asset Transfer File - (Documents the transfer of fixed assets between agencies)	This series documents the transfer of fixed asset ownership between state agencies.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of property ownership, and audit.
F0051	Order/Requisition - Stockroom Supplies Closed Date: 7/1/1999	Closed Series: This series documented the order/request by agencies for routine office materials from internal stockrooms. The supplies were maintained by Central Stores, in the Finance and Administration Cabinet.
	Contents	Series contains: District; requested by; date; itemized list of items by title; quantity each; items supplied only to Frankfort offices; supply for offices outside the Frankfort office
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0056	Warrant on State Treasury - (Daily printout) Closed Date: 7/1/1999	Closed Series: This series documented the evidence of indebtedness incurred in an agency as reported in a daily activity printout. The warrant also recorded authorization for disbursement of moneys from the State Treasury to pay the specified financial obligations.
	Contents	Series may contain: Warrant number; date; fund; division; department; signature of Secretary of Finance and Administration Cabinet; accounts affected
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0057	<p>Warrant - Voucher Register - (Monthly printout) Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: This series documented a monthly list of all the warrant - vouchers which showed evidence of authorizations for payment of money from the State Treasury, to cover obligations in the agency.</p> <p>Series may contain: Month; fiscal year; transaction amounts; corresponding voucher accounts; name/address of payee; account numbers; monthly total of warrant - vouchers</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0058	<p>Outstanding Encumbrance Report - (Monthly printout) Closed Date: 7/1/1999</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>Closed Series: This series documented the allocated funds in an agency which had not yet been identified as encumbered or reserved for spending in contracts or lease agreements with vendors. It also functioned as an aid to balance a current budget, or to assist in preparing future budgets in relation to contracts.</p> <p>Series contains: Date; account number; contract or document number; vendor number; amount of contract/agreement; amount encumbered; total liquidated; total outstanding; payment (date, number and amount)</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>
F0059	<p>Availability of Funds Report - (Daily run - printout) - (Documents the total balance of funds available for agency use as of a given date)</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents the total balance of funds available for agency use as of a given date. Fiscal staff verify that an item has been posted. In addition, the series aids in the later reconciliation of funds at the end of the month.</p> <p>Series contains: Fiscal year; date; account numbers; document voucher number; explanation (name of employees); individual amounts paid to employees; cash increase; cash decrease; totals; available balance</p> <p>Retain two (2) months, then destroy.</p>
F0060	<p>Expenditure Detail Report - (Monthly printout) - (Documents a summary of all expenditures which have been spent from allotted funds)</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents a monthly summary, in detail, of all expenditures which have been spent from allotted funds by a state agency. It records a balance forward of funds paid for organizational units by separate categories. It is useful in providing information related to agency accounts, creating other ledgers, or furnishing records for audit purposes.</p> <p>Series may contain: Fiscal year; account codes; month; document number; voucher number; explanation; allotment total for agency; expenditures; allotment balance of accounts</p> <p>Destroy after three (3) years or audit, whichever is longer.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0061	<p>Expenditure Analysis Report - (Monthly printout) - (Documents a monthly analysis of departmental expenditures)</p> <p>Contents</p>	<p>This series documents a monthly analysis of departmental expenditures broken down by subprograms, with category summaries and net totals for the month. It may include an account breakdown of multiple expense summaries, such as time and attendance, printing costs, and salaries, or an individual analysis such as telephone charges. Agencies utilize this series as a tool to produce budget analyses, determine expenditure totals up to that month, or produce a year-end report as an accumulation of the entire year.</p> <p>Series contains: Fiscal year; fund; department; agency; account number; expense categories; expenditure codes for transactions; description of accounts; I/A charge; I/A credit; monthly expense summary; balance forward</p>
	Retention and Disposition	Destroy July-May reports after two (2) months. Destroy June report after three (3) years, and audit.
F0062	<p>Imprest/Petty Cash Records - (Documents all petty cash records including: authorities, vouchers, summaries, reconciliation statements, encumbrances, journals and ledgers, and bank books)</p> <p>Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: This series combines the following: Imprest/Petty Cash Authority; Imprest/Petty Cash Voucher; Summary of Imprest Cash Disbursements and Request for Reimbursements; Imprest/Petty Case Reconciliation Statement; Imprest Cash Collateral Security Encumbrance Document; Imprest Cash Journals and Ledgers; Imprest Cash Bank Book; and Imprest Cash Encumbrance.</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0070	<p>Request for Approval of Bank Account</p> <p>Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed series: This series documented the request for approval of a financial account at a bank to record subsequent financial transactions which were credited to an agency. It also functioned to change a bank account number, because of policy or program changes.</p> <p>Series may contain: Date; name of agency; name of account; purpose of account; name/address of bank; custodian; date for starting account; estimated monthly balance; new/existing account; name of old account; signature of agency head; approved by State Treasurer; approved by Finance and Administration Cabinet</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0071	<p>Authorization for Inter-Bank Transfer</p> <p>Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed series: No information is available for this series.</p>
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0072	<p>Banking Record File - (Includes all records related to banking transactions, including deposit records, bank reconciliations, bank statements, cancelled checks, check registers, check stop payment memoranda)</p> <p>Contents</p>	<p>This series combines all records related to banking transactions, including deposit records, bank reconciliations, bank statements, cancelled checks, check registers, check stop payment memoranda</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0074	<p>Uniform State Financial Records - (Duplicate) - (Additional hard copies of fiscal records maintained in administrative units other than the Fiscal Office of record)</p> <p>Contents</p>	<p>This series represents subunit hard copies of fiscal records listed in the Fiscal Records Section of the General Schedule. The original documentation is maintained by the appropriate fiscal office in the various state agencies. The subunit copies are not subject to audit.</p>
	Retention and Disposition	Retain for two (2) years, then destroy.
F0075	<p>Proof of Necessity Closed Date: 7/1/1999</p> <p>Contents</p>	<p>Closed Series: Information is not available for this series.</p>
	Retention and Disposition	Destroy three (3) years after completion, termination or expiration, and audit.
F0076	<p>Finance Closing Package - (Records used in the preparation of line items within the closing package) - (Includes real property)</p> <p>Contents</p>	<p>This series documents the end-of-year financial activity of each state agency as required by the Finance and Administration Cabinet. It is used in the preparation of line items within the closing package. The series represents a detailed financial statement of funds received and spent by agencies and reflects their financial status for a fiscal year. Information from the series is used to compile the Annual Financial Report (F0001). NOTE: The series includes real property.</p>
	Retention and Disposition	Series contains: Expenditures; cash receipts; revenue; goods received; accounts payable; cash on hand; liabilities; accounts receivable; agency; date Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0077	Trip Ticket - (White copy) Closed Date: 7/1/1999	Closed Series: This series documented information required by the Transportation Cabinet from all state agencies using a vehicle from the State Motor Pool. The form was completed by each agency and taken to the Motor Pool when the car was picked up. The white copy was returned to the agency with the bill attached.
	Contents	Series contains: Ticket number; state number; type; pool number; month/year; crew; odometer in; odometer out; mileage; departure date; return date; destination; number of passengers; department or cost center; division; division code; driver; title; driver's signature; authorized by; title; social security number
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.
F0078	Work Order File - (All types) - (Approved requests for services to be provided to an agency by internal personnel, another state agency, or by external vendors)	This series documents all approved requests by state agencies for services to be provided to the agency by internal personnel, another state agency, or by external vendors.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0079	Vendor File Maintenance Form - (DOA-58) Closed Date: 7/1/2003	Closed Series: This series documented the information necessary to process payment to a vendor for an agency. After completion, the form was sent to the Finance and Administration Cabinet, Division of Accounts, for processing. Every vendor had to have a federal employer identification number to participate in the state's purchasing process. The document was submitted to the Cabinet where it was processed and input into the Vendor Table in the Statewide Accounting and Reporting System (STARS). Checks were not issued to vendors who were not in the Vendor Table. The series represented the only way a vendor could be added to the list.
	Contents	Series contains: Date; agency address; vendor/state employee box; table type; vendor/number/employee social security number; vendor suffix; Department function; owner department; inactive indicator; vendor type; contract type; minority business indicator; small business indicator; 1099 type report; name, date, address; bank account number; Federal employer Identification number or social security number; Kentucky business tax account number; signature of personnel in Finance completing this report
	Retention and Disposition	Retain for three (3) years, then destroy.
F0080	Agency Insurance Coverage Files - (Insurance policies for all real and personal property owned by the Commonwealth)	This series documents the bonds or insurance coverage in effect within an agency for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). This is a commercial policy created upon request of an agency. The policy provides additional liability coverage that the agency elects to purchase. Liability protects the agency from an outside party electing to sue an agency. Types of liability coverage include professional liability, business income (interruption), boiler and machinery, auto, aviation, crime (against employee dishonesty, disappearance, destruction, forgery, or theft), or marine, among others. Bonds are required by office holders for at least the minimum periods reflected in KRS 62.160 to protect the agency against losses brought about by the misconduct or mishandling of affairs of the officer for whom the bond is executed, or because of an unwise decision in the performance of his duties that causes the state to be out an expense. KRS 62.160 identifies the minimum sum of bonds of state officers as determined by the governor (excludes the Governor, Lt. Governor).
	Contents	Series contains: Copy of policy; amount of coverage/bond; premium; policy terms; agent and insurance company; expiration date; correspondence
	Retention and Disposition	Destroy eight (8) years after term of ownership ends, and audit.
F0081	Monthly Report Permanently Assigned Vehicles Form	This series documents the usage of vehicles, which are permanently assigned to agencies. It is used to track mileage, minor maintenance, and purchases made with the credit card assigned to the vehicle.
	Contents	Series contains: Department; division; branch; location assigned; vehicle number; type of vehicle; and primary driver
	Retention and Disposition	Destroy after three (3) years or audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0082	Vendor File - Agency Copy	Closed series: This series documented information on each vendor doing business with state government. It was completed by the processing agency to add a vendor to the master file listing or to change data on an existing vendor. The record was also used to place a vendor on hold until more information is received and the vendor is approved. Once completed, it was sent to the Finance and Administration, Division of Accounts where the master list is updated. If a vendor did not appear on the master listing, checks were not issued to that vendor. This series was the only way vendor information was received by the Division of Accounts.
	Contents	Series contains: Date; agency address; vendor box; table type; vendor social security number; vendor suffix; department function; owner department; inactive indicator; vendor type; contract type; minority business indicator; small business indicator; 1099 type report; vendor name, date, address, city, state, zip code, bank account number; Federal employer identification number or social security number; Kentucky business tax account number; signature of personnel in the Division of Accounts completing this report
	Retention and Disposition	Retain for six (6) months, then destroy.
F0084	Procurement Card Program Documentation File - (Contains supporting documentation generated as a result of the program)	This series documents the supporting records generated as a result of the Procurement Card Program. The program is targeted toward improving the small purchase process by enabling agencies to procure goods and services from any vendor that accepts the MasterCard credit card, and is designed to streamline the process by elimination of vendor invoices, payments and checks for small purchases. The use of a procurement card is authorized as another payment option to the Finance and Administration Cabinet's One Price Quotation procedure (B0-111-55-00). Purchases cannot exceed an agency's small purchase limit. Limits can vary from agency to agency, depending on purchase needs. Higher limits can only be authorized by the Finance and Administration Cabinet, under the terms of KRS 45A.100 (1). The card also may be used to purchase from a price contract. Cards are issued to designated staff within agencies who must authorize purchase transactions. Both the cardholder and the agency must sign and agree to the terms of the Procurement Card Agency Agreement and the Cardholder Agreement (F0096), respectively. All transactions must be approved and released by the respective agency and are processed through the Procurement Desktop (PD) component of the Management Administrative Reporting System (MARS).
	Contents	Series may contain: Agency receipts; invoices; supporting documentation such as original cashier or card receipt, vendor invoice, packing slip or service report, copy of order form or application, if order is placed using the Internet; Bank One statements; report from Bank One, which shows account information for each billing cycle; MARS reports include the Settlement Report, Monthly Cardholder Statement Account, and the Monthly Transaction Status Report; reporting hierarchy worksheet; purchasing card authorized signer form; procurement card document; and the statement of questionable item form
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0085	<p>Management Administrative Reporting System (eMARS) Supporting Documentation File - (Documents the supporting records (print screens) related to the pre-audit functions on eMARS transactions. These records are created for internal verification, validation, and reference purposes and are duplications of information captured electronically in the system)</p>	<p>This series documents the supporting records (print screens) related to the pre-audit functions on eMARS (Electronic Management Administrative Reporting System) transactions. These records are created for internal verification, validation, and reference purposes and are duplications of information captured electronically in the system. The pre-audit function provides agencies with the authority to make approvals on transactions utilizing agency appropriations and requires agencies to monitor transactions entered into the system to verify that they accurately reflect agency activity. Participating agencies are guided by a Pre-Audit Delegation Agreement executed between the agency head and the Secretary of the Finance and Administration Cabinet. Only agencies that do not have the technical capability for electronic workflow are exempted from the pre-audit delegation. Previously, many transactions required some form of central approval from the Division of Statewide Accounting, Finance and Administration Cabinet, or the Governor's Office for Policy and Management; with pre-audit delegation that is no longer required. Pre-audit delegation requires three agency-level approvals for transactions that were previously routed to the Finance and Administration Cabinet. eMARS is an enterprise-wide system that is designed to, among other things, reduce duplicate data entry and reconciliation between systems. It replaces the state's former financial and procurement systems. Business functions affected by eMARS include procurement, cash receipts, accounts payable, accounts receivable, intra-governmental transactions, and budget preparation.</p>
	Contents	<p>Series is made up of screen prints of the various eMARS input screens and printouts of eMARS forms and reports. This may include: Journal voucher correction; internal vouchers; inter-account billing information; personal services contract information; travel authorization; manual warrant; payroll distribution summaries; close-out reports; monthly detail of expenditures; budget/expenditure reports by category; purchase information; receiving reports; and imprest cash records. The listing of contents is not comprehensive as there could be any number of supporting documents that could be a part of this manual file.</p>
	Retention and Disposition	<p>Destroy after three (3) years or audit, whichever is longer.</p>
F0086	<p>Capital Construction Contract File - (Original, signed contract)</p>	<p>This series documents agency contracts for capital construction projects. As defined by KRS 7A.010 (1), capital project means (a) any undertaking which is to be financed or funded through an appropriation by the General Assembly of general fund, road fund, bond fund, trust and agency fund, or federal funds; (b) any undertaking which is to be financed by a capital expenditure for use by state government or one of its departments or agencies; (c) any capital construction item, or combination of items necessary to make a building or utility installation complete, estimated to cost \$400,000 or more, or any item of movable equipment estimated to cost \$100,000 or more, regardless of the source of funds; (d) any lease of real property whose value is \$200,000 or more; or (e) any lease of an item of movable equipment if the total cost of the lease, or lease-purchase, or lease with an option to purchase is \$100,000 or more. Under the terms of KRS 7A.100, the Capital Planning Advisory Board of the General Assembly prepares a state capital improvement plan and makes funding recommendations to each branch head as to state spending for capital projects.</p>
	Contents	<p>Series contains: Contract and modifications</p>
	Retention and Disposition	<p>Destroy eight (8) years after completion of project, and audit.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0087	<p>Capital Construction Form SAS 5 - (Is used for the financial documentation of capital construction projects) - (Governor's Office for Policy and Management receives the original after processing by either the Finance and Administration Cabinet or individual agencies)</p>	<p>This series provides financial documentation of capital construction projects. The original documents are ultimately received by the Governor's Office for Policy and Management, but are processed either by the Finance and Administration Cabinet or individual state agencies.</p>
	<p>Contents</p>	
	<p>Retention and Disposition</p>	<p>Destroy eight (8) years after completion of project, and audit.</p>
F0088	<p>Capital Construction Specification File - (Architect/engineer's description and background of a project)</p>	<p>This series documents the architect/engineer's description of the definition, design and production of the components of a capital construction project's deliverables, and assembly into a satisfactory working whole. It also provides a brief background of the project or component and the general objectives. The series may include as-built drawings.</p>
	<p>Contents</p>	
	<p>Retention and Disposition</p>	<p>Destroy eight (8) years after term of ownership ends.</p>
F0089	<p>Purchase Requisition/Order File - (Includes Request for Purchase, Purchase Requisition, Automated Purchase Requisition, Purchase Order, Notice of Agency Purchase, Advice of Change in Order, Advice of Emergency Purchase, and Miscellaneous Encumbrance Requisition)</p>	<p>This series documents requests made by state agencies for the purchase of supplies and equipment. Series includes Request for Purchase, Purchase Requisition, Automated Purchase Requisition, Purchase Order, Notice of Agency Purchase, Advice of Change in Order, Advice of Emergency Purchase, and Miscellaneous Encumbrance Requisition.</p>
	<p>Contents</p>	
	<p>Retention and Disposition</p>	<p>Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0090	Voucher File - (Includes journal, pay-in and special vouchers)	This series incorporates all vouchers, including journal vouchers, which document the transfer of funds in an agency by the crediting of funds from one account and the charging of finances into another account; pay-in vouchers, which provide evidence of receipts that agencies bring in for deposit with the Department of the Treasury, and which are used by fiscal staff to reconcile deposit statements and accounts and to correct inaccurate account disbursements or payments made previously; and special vouchers, which provide evidence of the funds that an agency forwards for deposit in the general fund.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0091	Journal Voucher Workpapers	This series documents the records used to substantiate line item preparation of journal vouchers. Journal vouchers document the transfer of funds in an agency by the crediting of funds from one account and the charging of finances into another account.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0092	Out-of-Country Travel Authorization File - (DOA 28A)	This series documents the approval for an employee to travel outside the United States.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0093	Fixed Asset Donated/Confiscated Acquisition File - (Provides an explanation of the acquisition of donated and confiscated assets)	This series documents an explanation of the acquisition of donated and confiscated assets by a state agency.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of ownership of property, and audit.
F0094	Fixed Asset Inventory Listings Above \$500 - (Listing of assets valued above \$500 that are not accounted for in the Advantage Accounting System)	This series documents the inventory listings of assets of an agency valued above \$500 and that not accounted for in the Advantage Accounting System, a component of the Management Administrative Reporting System (MARS).
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of ownership of property, and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0095	<p>Fixed Asset Lost/Stolen Property File - (Documents value and status of lost or stolen property)</p> <p>Contents</p>	<p>This series documents the value and status of stolen state government property.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0096	<p>Procurement Card Holder Agreement - (Agreement signed between agency cardholder personnel and the bank administering the Procurement Card Program)</p> <p>Contents</p>	<p>This series documents the agreement signed between the agency Procurement cardholder personnel and the bank administering the program. The program is targeted toward improving the small purchase process by enabling agencies to procure goods and services from any vendor that accepts the MasterCard credit card, and is designed to streamline the process by elimination of vendor invoices, payments and checks for small purchases. The use of a procurement card is authorized as another payment option to the Finance and Administration Cabinet's One Price Quotation procedure (B0-111-55-00).</p>
	Retention and Disposition	Destroy eight (8) years after agreement has been superseded, and audit.
F0097	<p>Accounts Payable/Purchases - Adjustment File - (Documents the justification for adjustments to amounts owed by state agencies)</p> <p>Contents</p>	<p>This series documents the reasons for adjustments made to amounts owed by state agencies.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0098	Accounts Receivable/ Revenue/Fees - Adjustment/Write Off File - (Documents the records that indicate the causes for adjustments and documentation of collection efforts made to amounts owed to state agencies)	This series documents the records that indicate the causes for adjustments and documentation of collection efforts made to amounts owed to state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0099	Agency Appropriation Adjustment Request Memoranda - (Documents the formal request submitted by state agencies for an adjustment of an appropriation enacted by the General Assembly)	This series documents the formal request submitted by state agencies through the Governor's Office for Policy and Management to the Legislative Research Commission for an adjustment of an appropriation enacted by the General Assembly. NOTE: The original is received by the Governor's Office for Policy and Management and is forwarded by that office to the Legislative Research Commission.
	Contents	
	Retention and Disposition	Retain two (2) years in agency. Transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years or after audit, whichever is longer.
F0100	Agency Price Lists/Catalogs for Agency Sales File - (Documents price lists and catalogs for all state agency sales activities)	This series documents the price lists and catalogs for all sales activities conducted by state agencies.
	Contents	
	Retention and Disposition	Destroy eight (8) years after lists/catalogs are updated, or expire.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0101	Appraisals/Fair Market Documentation File - (Documents the formal written estimates of the value of real and personal property owned by state agencies)	This series documents the formal written estimates of the value of real and personal property owned by state agencies.
	Contents	
	Retention and Disposition	Destroy eight (8) years after term of ownership of the assets has ended.
F0102	Bid Score Sheet File - (Provides evidence of the bid scoring used in competitive solicitations by state agencies)	This series provides evidence of the bid scoring used in competitive solicitations by state agencies.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination or award of contract, and audit.
F0103	Bills of Lading - (Documents a listing of the receipt of property for transport)	This series documents a listing of the receipt of property for transport.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0104	Bills of Sale - (Documents the records that attest to the transfer of property to or by a state agency)	This series documents the records that attest to the transfer of property to or by a state agency.
	Contents	
	Retention and Disposition	Destroy eight (8) years after the term of ownership has ended, and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0105	Campaign Finance Law Affidavit File - (Affidavits provided to state agencies that declare vendors do not have a campaign finance law violation)	This series documents the affidavits that are provided to state agencies that declare vendors do not have a campaign finance law violation.
	Contents	
	Retention and Disposition	Destroy eight (8) years after expiration or termination of contract, and audit.
F0106	Credit Memoranda - (Substantiates the issuance and adjustment of credit memoranda issued by vendors or state agencies, and includes interagency credits)	This series documents the records that substantiate the issuance and adjustment of credit memoranda issued by vendors or state agencies. It is inclusive of all credit memoranda, including interagency credits.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0107	Customer Order/Remittance Forms/Advices File - (Consists of forms that accompany payments sent to state agencies)	This series consists of forms that accompany payments sent to state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0108	Daily Remittance Lists/Cash Receipt Log - (Documents incoming currency and checks from payers to state agencies)	This series documents incoming currency and checks from payers to state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0109	Deed File - (Documents property owned by the Commonwealth)	This series documents property owned by the Commonwealth.
	Contents	
	Retention and Disposition	Retain permanently in agency.
F0110	Fiscal Agent Statement File - (Documents periodic statements of financial activities carried out by fiscal agents on behalf of state agencies)	This series documents the periodic statements of financial activities carried out by fiscal agents on behalf of state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0111	Agency Grant Project File - Federal and State - (Includes grant authorization records, which provide evidence of the award of grants; grant draw down requests submitted to grantors requesting an electronic transfer of grant funds; and grant/project financial or performance reports)	This series documents the state and federal grant project files administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant draw down requests submitted by agencies to grantors requesting an electronic transfer of grant funds; and grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0112	<p>Investment Record File - (Includes broker confirmations, which are investment broker issued confirmations of the receipt and execution of orders to buy and sell investments; broker statements, which are periodic summaries of investment activities provided by investment brokers; and investment trade tickets, which are copies of orders to buy and sell investment securities issued to investment brokers)</p> <p style="text-align: center;">Contents</p>	<p>This series documents the investments made by agencies and includes: broker confirmations, which are investment broker issued confirmations of the receipt and execution of orders to buy and sell investments; broker statements, which are periodic summaries of investment activities provided by investment brokers; and investment trade tickets, which are copies of orders to buy and sell investment securities issued to investment brokers.</p>
	<p>Retention and Disposition</p>	<p>Destroy eight (8) years after the term of investment ends, and audit.</p>
F0113	<p>Legal Claim File - (Documents the monetary claims made in court against individuals or organizations that are made by state agencies)</p> <p style="text-align: center;">Contents</p>	<p>This series documents the monetary claims made in court against individuals or organizations that are made by state agencies.</p>
	<p>Retention and Disposition</p>	<p>Destroy eight (8) years after settlement closure, and audit.</p>
F0114	<p>License Fee Documentation File - (A record of fees generated by issuance of licenses by state agencies)</p> <p style="text-align: center;">Contents</p>	<p>This series represents a record of fees generated by issuance of licenses by state agencies having licensing authority, as provided for in statute.</p>
	<p>Retention and Disposition</p>	<p>Destroy after eight (8) years or audit, whichever is longer.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0115	Warrant Fed Wire - Transfer - (Manual) - (Documents requests sent to the Department of the Treasury for the issuance of checks that are not processed through the regular payroll system)	This series documents the requests sent to the Department of the Treasury for the issuance of checks that are not processed through the regular payroll system.
	Contents	
	Retention and Disposition	Destroy after eight (8) years or audit, whichever is longer.
F0116	Name and Address Entry/Change Record File - (Documents the source records used to provide the name and address of vendors of and payers to state agencies)	This series documents the source records used to provide the name and address of vendors of and payers to state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0117	Notes Payable - (A written promise by a purchaser to pay a stated amount at an agreed upon time)	This series consists of a written promise by a purchaser to pay a stated amount to an agency at an agreed upon time.
	Contents	
	Retention and Disposition	Destroy eight (8) years after term of liability ends, and audit.
F0118	Packing Slips - (Documents specific products delivered by vendors, internal and external, to agencies)	This series documents the records provided by vendors, internal or external, regarding specific products being delivered to state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0119	<p>Lost Check Replacement Request File - (Documents requests to Department of the Treasury to produce check replacements)</p> <p>Contents</p>	<p>This series documents the requests by state agencies to the Department of the Treasury to produce check replacements.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0120	<p>Performance Bond Documentation File - (Documents that a vendor holds a performance bond when dealing with an agency)</p> <p>Contents</p>	<p>This series documents the records that indicate that a vendor to a state agency holds a performance bond, when dealing with that agency.</p>
	Retention and Disposition	Destroy eight (8) years after the project with the vendor has ended, and audit.
F0122	<p>Project/Grant Indirect Cost Charges Record File - (Establishes the basis for charging indirect expenditures to projects/grants or obtaining reimbursement for the expenditures from grantors)</p> <p>Contents</p>	<p>This series provides documentation that establishes the basis for charging indirect expenditures to projects/grants, or otherwise obtaining reimbursement for such expenditures from grantors.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0123	<p>Project/Grant Third Party Financial Report File - (Reports that establish fair market value for "in-kind" goods or services)</p> <p>Contents</p>	<p>This series consists of financial reports from non-state subgrantees or reports from private sector providers that establish fair market value of contributed "in-kind" goods or services.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0124	<p>Property Condemnation Record File - (Pursuant to the Eminent Domain Act of Kentucky)</p> <p>Contents</p>	<p>This series consists of all documents and documentation described in or implied by the Eminent Domain Act of Kentucky (see KRS 416.540 - .680). Eminent domain means the right of the Commonwealth to take for a public purpose and includes the right of private persons, corporations or business entities to do so under authority of law.</p>
	Retention and Disposition	Destroy eight (8) years after condemnation hearing or eight (8) years after state ownership has ended, whichever is longer, and audit.
F0125	<p>Sealed Bid Solicitation Record File - (Issued by vendors in response to solicitations from agencies)</p> <p>Contents</p>	<p>This series documents sealed bids issued by vendors in response to solicitations issued by state agencies.</p>
	Retention and Disposition	Destroy eight (8) years after termination of contract/award, and audit.
F0126	<p>Shipping Order File - (Indicates the shipping status of goods purchased by agencies)</p> <p>Contents</p>	<p>This series consists of records indicating the shipping status of goods purchased by state agencies.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0127	<p>Special Purchase Authority Approval File - (Documents the agency authority to purchase goods otherwise purchased by the Finance and Administration Cabinet)</p> <p>Contents</p>	<p>This series documents the approvals by the Finance and Administration Cabinet to allow state agencies to purchase goods that would otherwise be purchased by the Cabinet.</p>
	Retention and Disposition	Destroy eight (8) years after expiration of authority to purchase, and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0128	Statement of Securities File - (Documents the external-custodian-provided periodic statements of investment securities held on behalf of state agencies)	This series documents the external-custodian-provided periodic statements of the investment securities held on behalf of state agencies.
	Contents	
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0129	Surplus Property Delegation File - (Documents the authorization granted by the Finance and Administration Cabinet to state agencies to regularly dispose of surplus property)	This series documents the authorization granted by the Finance and Administration Cabinet to state agencies to regularly dispose of their surplus property.
	Contents	
	Retention and Disposition	Retain current authority, destroy all others when superseded.
F0130	Tax Exemption Authorization File - (Documents the authorization for sales and use tax exemption issued to state agencies by the Revenue Cabinet)	This series documents the authorization for sales and use tax exemption issued to state agencies by the Revenue Cabinet.
	Contents	
	Retention and Disposition	Retain permanently in agency.
F0131	Title File - (Documents ownership of property by an agency)	This series documents the ownership of property by a state agency.
	Contents	
	Retention and Disposition	Destroy eight (8) years after disposal of property.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0132	<p>Transmittal Form File - (Documents the form that accompanies the currency and checks that are remitted to the Department of the Treasury for deposit in state depositories)</p> <p>Contents</p>	Series documents the form that accompanies the currency and checks that are remitted to the Department of the Treasury for deposit in state depositories.
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0133	<p>Vendor Complaint File - (Written complaint received regarding vendor products or behavior)</p> <p>Contents</p>	This series documents the written complaints about vendors received by an agency regarding their products or behavior.
	Retention and Disposition	Destroy eight (8) years after transaction date or termination of contract.
F0134	<p>Vendor Payment Offset Justification File - (Documents the justification for offset actions to vendors or organizations)</p> <p>Contents</p>	This series documents the justification for the offset of payments to vendors or organizations by state agencies.
	Retention and Disposition	Destroy after eight (8) years or audit, whichever is longer.
F0135	<p>Vendor Proposal/Price Quote File - (Documents vendor response to requests by agencies for goods and services)</p> <p>Contents</p>	This series documents the proposals and price quotes by vendors in response to requests by state agencies.
	Retention and Disposition	Destroy eight (8) years after termination of award or contract, and audit. Destroy those not awarded after contract has been awarded.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

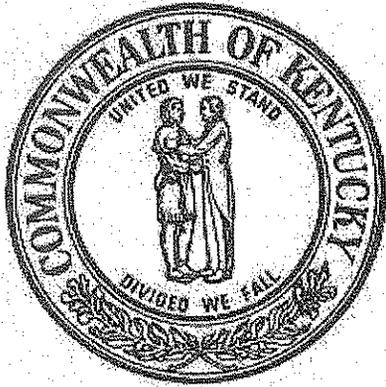
Series	Records Title and Description	Function and Use
F0136	<p>Vendor Sales Receipts/Sales Tickets/Invoices/Sales Slips - (Records provided by vendors to agencies at point-of-purchase)</p> <p>Contents</p>	<p>This series documents the records provided by vendors to state agencies at point-of-purchase.</p>
	Retention and Disposition	Destroy eight (8) years after transaction date, and audit.
F0137	<p>Vendor Order Form for Goods or Services - (Consists of documents that are the basis for the generation of purchase orders)</p> <p>Contents</p>	<p>This series consists of documents that are the basis for agencies to generate purchase orders.</p>
	Retention and Disposition	Retain in agency three (3) years. Transfer to State Records Center for an additional five (5) years. Total retention is eight (8) years or after audit, whichever is longer.
F0138	<p>Vendor Price Lists/Sales Catalogs - (Documents the sales price of products sold to agencies)</p> <p>Contents</p>	<p>This series documents the sales price of any products sold by vendors to state agencies.</p>
	Retention and Disposition	Retain in agency for three (3) years. Transfer to the State Records Center for an additional five (5) years. Total retention is eight (8) years.
F0139	<p>Warranty Record File - (Written assurances and guarantees related to the purchase of goods and services)</p> <p>Contents</p>	<p>This series documents the assurance by the seller that goods or services purchased by agencies are as represented or will be as promised. It also documents the written guarantee given to the purchaser that a product is reliable and free from defect, or that the seller will, without charge, repair or replace it within a given timeframe.</p>
	Retention and Disposition	Destroy three (3) years after end of warranty period.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Fiscal Records

Record Group
Number

Series	Records Title and Description	Function and Use
F0140	Data Transfer Files Change Date: 3/13/2008	This series documents the transfer of financial data between a state agency's electronic system and the eMARS Advantage Financial accounting system. The series is made up of various templates, available through eMARS, into which state agency personnel enter data. That data is then uploaded into the eMARS system, allowing agencies to remain current in their accounting and reporting. These templates allow the user to enter data into eMARS in bulk rather than having to enter it one transaction at a time. These files are mainly used with the Checkwriter system, though they are used with other programs. The templates employ eXtensible Markup Language (XML), which facilitates the transfer of information from one computer system to another.
	Contents	May include: Header information; vendor name; other accounting information.
	Retention and Disposition	Destroy after completion of audit for the fiscal year in which the file is created.



RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Miscellaneous Records Section

Schedule Date: December 11, 2003
Change Date: December 10, 2009

Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

General Schedule for State Agencies
Agency

December 11, 2003
Schedule Date

Miscellaneous Records Section
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

Date of Approval

Agency Records Officer

Date of Approval

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

12/10/09
Date of Approval

Wayne Onket
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 Administrator

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

The determination as set forth meets with my approval.

Jiffany D. Welch
Auditor of Public Accounts

12/10/09
Date of Approval

**STATE AGENCY RECORDS
 RETENTION SCHEDULE**

General Schedule for State Agencies
 Miscellaneous Records

**Record Group
 Number**

Series	Records Title and Description	Function and Use
M0001	Official Correspondence (May be in a paper or electronic format) Change Date: 9/13/2007	<p>This series documents the major activities, organizational functions, history and programs of an agency and the events involving the formulation, evolution, and ultimate announcement of agency policy. Official correspondence is typically created by the upper-level administrative staff of an agency (director or above), or the general counsel. It can be in paper or electronic form.</p> <p>Contents Official correspondence is incoming and outgoing correspondence that may consist of: letters, notes, memoranda, directives, policy statements, and other information commonly found in the body of an e-mail message and/or any attachments to the message. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file.</p> <p>Retention and Disposition Transfer to the State Archives Center for permanent retention when administrative value has ceased.</p>
M0002	Routine Correspondence (May be in paper or electronic format) Change Date: 9/13/2007	<p>This series documents implementation of the agency policy espoused in Series M0001, Official Correspondence. Typically, Routine Correspondence includes documents relating to day-to-day activities such as procurement, organizational structure, personnel, customer service, etc. It can be in paper or electronic format.</p> <p>Contents Routine correspondence is incoming and outgoing correspondence that may consist of: letters, notes, postcards, memoranda, announcements, or other information commonly found in the body of an e-mail message and/or any attachments. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Routine correspondence does not include: non-business related messages, spam and junk mail.</p> <p>Retention and Disposition Retain no longer than two (2) years.</p>
M0003	Policies and Procedures - (Framework for the management of agencies and the administration of programs) - (May be in a manual or electronic format)	<p>This series documents upper level plans of an agency that include its general goals and mission. These plans provide a framework for the management of agencies and the administration of programs. Policies and procedures are developed to help agencies manage their programs and to assist staff in their administration. Policies derive from the authority of the agency, as established by the laws under which it operates. They are an authoritative communication that sets a definite course or method of action. Policies guide and help determine present and future decisions. Procedures reflect the steps resulting from policies to be followed in providing services or activities.</p> <p>Contents Series may contain but is not limited to: Year; date; department; division; branch; organization chart; index; introduction; mission statements; policy statements; responsibilities of division; services; program objectives; employee requirements; procedural actions; glossary of terms; sample forms; disaster or emergency plans.</p> <p>Retention and Disposition Retain (1) one copy permanently in the office of origin. Destroy copies when superseded.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0005	Administrative Orders	This series documents the directives issued by the chief administrative officer or executive officer within an agency. Orders designate that certain actions are to occur. The orders give direction on various policy issues that may be either internal or external to the agency.
	Contents	Series may contain: Date of order; order number; agency head; action taken
	Retention and Disposition	Retain one (1) copy permanently in the office of origin. Destroy copies when superseded.
M0007	Publications Created By or For Agency (May be in manual or electronic format) Administrative Change Date: 12/11/2008	This series consists of any publication or report that is published, regardless of format, that documents agency history, agency-related functions or agency activities, and is for general public distribution. It does not include materials issued for internal administrative use, such as manuals of operation. Publications and reports contain important facts and statistics about the operation of the agency and its policies. They provide information, often in summarized form, which aids in understanding the history or administrative functioning of an agency.
	Contents	Series contains publications and reports.
	Retention and Disposition	Record copies of publications should be retained permanently. Forward three (3) copies of publications issued in paper to the Department for Libraries and Archives when issued. Forward one (1) copy of publications held in electronic format or issued for general public distribution on the agency's web site. Retain one (1) copy in agency. Destroy excess copies when no longer needed.
M0008	Minutes of Meetings (May be in manual or electronic format)	This series documents the official record of proceedings of meetings. It provides information about the activities of the entity, the actions it took in regard to the issues brought before it, and the decisions rendered. Minutes of meetings constitute adequate and proper documentation of essential agency transactions and organizational functions, as required in KRS 171.640. Boards, commissions, councils, task forces, etc, which were established by statute or executive order, or those entities which establish or administer policy are examples for which minutes should be created.
	Contents	Series contains: Date of meeting; time of meeting; location of meeting; name of board members or authorized proxies present; identification of those not present; decisions rendered; issued discussed; record of votes. May also include agendas and materials distributed for discussion and approval
	Retention and Disposition	Forward one (1) copy to the State Archives Center for permanent retention after each set of minutes has been approved. Retain one (1) copy permanently in the agency. Destroy excess copies when no longer needed.
M0009	Minutes - Agency Staff Meetings	This series documents the record of proceedings of internal meetings. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas.
	Contents	Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable
	Retention and Disposition	Retain three (3) years then destroy.
M0010	Speeches by Administrative Heads	This series documents the public addresses to assemblies by administrative heads when written or recorded and given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency.
	Contents	Series contains: Date; duration; location; administrative head; text of speech
	Retention and Disposition	Retain permanently in agency.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0011	Organizational Charts - (Record copy)	This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within the agency and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time.
	Contents	Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities
	Retention and Disposition	Retain one (1) copy of each revision permanently in agency. Destroy excess copies when no longer needed.
M0014	Mission Statements - (Record copy)	This series documents the fundamental and global reason for the existence of a state agency. A mission is brief, clear and broad enough to allow flexibility in implementation. The series is a means by which managers and others can make decisions both internally and externally. It reflects the values, beliefs, philosophy, and culture of an organization.
	Contents	Series contains: Date; agency identification; text
	Retention and Disposition	Retain one (1) copy permanently in agency. Destroy excess copies when no longer needed.
M0016	Request to Inspect Public Records - (Open records request) - (May be in either paper or electronic format) Change Date: 3/8/2007	This series documents the requests to inspect, research, or review public records created within an agency of government. In 1976, the General Assembly enacted the Open Records Act, KRS 61.870 to 61.884, which established a right of access to public records. All public records, regardless of format, must be open for inspection unless the records are exempted by one or more of the exemptions found in KRS 61.878, or are specifically exempted by another statute. All public agencies are required to make nonexempt public records available to any requester, and to provide suitable facilities for the exercise of the right of inspection. Each agency must adopt rules and regulations which conform to the Act. Those include: identification of the principal office of the agency and its regular work hours; title and address of the official custodian of record; fees charged for copies; and the procedures to be followed in requesting public records.
	Contents	Series contains: Name of agency; date; records requested to inspect; number of copies of each document; cost; signature of requestor, company, address, phone; disposition of the request; signature of custodian, name of agency, amount received, date.
	Retention and Disposition	Retain three (3) years, then destroy.
M0017	Open Records Register	This series documents the individuals who have requested to inspect public records of an agency and the records they requested. It provides a reference point should agencies need to review the number and type of records requested, as well as who requested them.
	Contents	Series may contain: administrative unit; date of inspection; name of person inspecting records; agency or group affiliated with; address of person
	Retention and Disposition	Retain five (5) years, then destroy.
M0018	Informational and Reference Material - Does not apply to correspondence Change Date: 9/13/2007	This series documents materials of a non-technical or technical nature which may aid in or support the conduct of official agency business, but which are not critical to continued operations. This series may also include material used in the professional enhancement of agency employees or duplicate copies of material maintained for solely for reference purposes by the agency or individual employees. Informational and reference material may appear in paper or electronic format and may be as formal as a publication or brochure (usually external to the agency) or as informal as a news clipping. Records in this series may be destroyed when they become obsolete or no longer useful to the agency. This series should not be applied to correspondence. (See Series M0001, Official Correspondence; Series M0002, Routine Correspondence; and Series M0050, Nonbusiness Related Correspondence.)
	Contents	Informational and reference material may include published and/or non-published material (usually external to the agency) such as: Periodicals; books; brochures; reports; some logs and other tracking tools; professional literature not related to day-to-day activities; and duplicate copies of other records retained for reference purposes only. This series does not include correspondence (See Series M0002, Routine Correspondence).
	Retention and Disposition	Destroy when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0019	Legislative File	This series documents a working file which may be a review of actions taken by the General Assembly. It is maintained by agency officials to allow for available reference of legislative activity which relates to specific programs. The series may also contain information tracking proposed legislation, proposed administrative regulations from agencies, or changes brought before the General Assembly.
	Contents	Series may contain: Date of session; proposed legislative actions or proposed administrative regulations
	Retention and Disposition	Destroy when no longer needed.
M0020	Newspaper Clipping File	This series documents various articles or news items clipped from newspapers related to the conduct of agency business. It is most usually used for reference purposes.
	Contents	Series may contain: date; names of newspapers; articles related to agency function
	Retention and Disposition	Destroy when no longer needed.
M0021	Itinerary File	This series documents the travel plans for agency heads. The purpose of an itinerary is to advise others, including the press in many cases, of the date, time, place, and purpose of the activity. Many itineraries are created days, weeks, or months in advance so that interested parties can monitor external activities of the administrator. The series is subject to change on a daily basis and has limited informational value.
	Contents	Series contains: Department; name of administrator; date; week or month of itinerary; list of destinations and organizations; dates and times of travel; topics of remarks; activities
	Retention and Disposition	Retain two (2) months, then destroy.
M0022	Annual or Summary Reports (May be in a manual or electronic format)	This series functions as a comprehensive summary of agency activities, services, and results of the past year. Staff report initiatives, objectives, changes in responsibilities, or accomplishments to convey the mission of the agency. Summary reports condense the main points of programs or projects in the agency. The reports are usually published and are for general public distribution. The series provides essential and adequate documentation of agency transactions (KRS 171.640) and, as such, is crucial to an understanding of the administrative history of an organization.
	Contents	Series may contain: Date; statement from chief administrative officer; programs administered; who was served; photographs; staff support; program accomplishments with comparison to previous years; financial information; project statistics; supporting materials
	Retention and Disposition	Record copies of reports should be retained permanently. Forward two (2) copies to the Department for Libraries and Archives, Public Records Division when issued. Retain one (1) copy in agency. Destroy excess copies when no longer needed.
M0029	Activity Report	This series documents a periodic summary of activities and operations at all levels of administration within an agency. Activity reports may be used by the agency to compile annual or other reports and document results of programs at regular intervals.
	Contents	Series may contain: Date; addressee; administrative unit; activities; statistical information
	Retention and Disposition	Retain two (2) years, then destroy.
M0030	Time and Attendance Report - (Duplicate)	This series documents the daily attendance of employees, as well as leave taken and type of leave taken. The report may be retained within an administrative unit or given to the employee.
	Contents	Series contains: pay period ending date; employee name; social security number; date of activity; hours worked-regular, overtime; leave taken/hours- annual, compensatory, sick, holiday, without pay; total hours worked; total leave taken; employee signature; signature of supervisor
	Retention and Disposition	Retain one (1) year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

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

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0035	Microfilm Quality Evaluation Form - (Duplicate) - (Original - Public Records Division) - (Documents that microfilm has met quality control requirements and archival standards, as required by the Department for Libraries and Archives)	This series documents the quality control process used to determine whether microfilm produced either by the Public Records Division, private certified vendors, or state and local government agencies has met quality control requirements and archival standards as set forth by the Department for Libraries and Archives. The form provides for the destruction of the hard copy records, providing all requirements and standards have been met. It is used to advise agencies that the records can be destroyed or that they must be retained, due to the film not having met all requirements. If the film passes all requirements and the hard copy is destroyed, it then becomes the original record and is used in lieu of the paper records. The silver master of all film where the retention of the record is seven years or greater must be stored in the Division's vault, as security backup to the records.
	Contents	Series contains: Agency; unit; date; roll number; schedule date; series number; title of records on schedule; inclusive dates; test roll number; density; resolution; reduction ratio; targets; security copy stored at Public Records Division; tested by; date; records destruction approved/disapproved; signature of agency records officer; signature of State Archivist; comments
	Retention and Disposition	Retain permanently in agency.
M0040	Records Destruction Certificate File - (Agency copy) - (Original - Public Records Division) - (Documents that the destruction of records is in accordance with approved records retention schedules)	This series documents that destruction of records has been carried out by state and local government agencies, in accordance with approved records retention schedules. The series identifies the records being destroyed, the date span and amount, usually expressed in cubic feet, and the method of destruction. Records officers are responsible for ensuring that destruction requirements established by the Department are appropriately carried out by their agencies. The series documents that retention schedules are being implemented and that records that have ceased to have value are disposed of. The timely destruction of records whose retention periods have been met result in a savings to government. Agencies can incur liabilities if records are destroyed that have not had a retention period approved for them by the State Archives and Records Commission.
	Contents	Series contains: Planned destruction date; administrative units; schedule date; date of destruction; accession number; series number; title; security microfilm; confidential records; date span; cubic feet/rolls; unit number; location at state facility; signature of records officer
	Retention and Disposition	Retain permanently in agency.
M0041	Request for Leave - (Documents employee requests to be absent from work, using annual, sick or compensatory leave time)	This series documents the request by employees to be absent from work using annual, sick or compensatory leave. The request is submitted to the appropriate supervisor for approval. Where known, leave should be approved in advance.
	Contents	Series includes: Department; employee; division; pay period ending; types of leave, sick, annual, compensatory, other; date of requested leave; total hours; signature of applicant and date; signature of approving officer; approval date
	Retention and Disposition	Retain two (2) months, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0042	Special Studies and Reports - (Unpublished studies and reports that can provide useful information about the organization, policies and procedures of an agency)	This series documents unpublished compilations of information related to agency activities or events. The studies or reports contain important facts and statistics about the organization, policies and operations of an agency. Information from the series can aid in long range planning by the agency.
	Contents	Series may contain: Date of report; administrative unit; authors; title; purpose of study; summary; recommendations; appendices; definitions; table of contents; text; associated publications; bibliography
	Retention and Disposition	Special Studies and Reports should be retained permanently. Transfer one (1) copy to the State Archives Center after completion. Retain one (1) copy in agency. Destroy excess copies when no longer needed.
M0043	Information Resource Plan File - (Documented current and projected agency information resources needs and expenditures) Closed Date: 7/1/1999	Closed Series: This series documented current and projected information resources needs and expenditures for constitutional offices and agencies within the three branches of government. The plans were coordinated by the Governor's Office for Technology (formerly the Department of Information Systems). The plans provided an understanding of why an agency exists and helped to establish a link between the agency's strategy for carrying out its mission and its strategy for managing and utilizing information resources in the long term. The requirement to complete plans was discontinued shortly after the creation of the Governor's Office for Technology.
	Contents	Series contains: Executive summary; planning methodology; mission and objectives; addenda; records management; critical issues; situation assessment; projects; information resource management
	Retention and Disposition	Retain for six (6) years, then destroy.
M0045	Press Releases - (Documents agency events and activities that may be of interest to the public)	This series represents the official release of information to the media informing the public of agency events and actions. The events or actions may be of special interest to the general public. The public information officer or similar staff person in each agency prepares the press release and sends it to the Governor's Office for approval. It is then released to the public through the media.
	Contents	Series contains: Agency name; date; phone number; contact person; lead; dateline; page number; description of information released
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0046	<p>Audio/Video Recordings - State Agency Activities (Does not include records scheduled according to content such as audio or video recordings of meetings, which are used to create meeting minutes. See Series M0049, Recordings of Meetings.) Administrative Change Date: 9/11/2008 Added references to audio recordings</p>	<p>This series documents state agency activities and functions in audio or video format. Such activities may document the administrative functioning of an agency, its programs and operations. Information in this format (if determined to be archival), often replaces or supplements more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in these formats, agency personnel should properly identify the event being recorded and the participants. Additionally, each recording should be titled and properly dated and maintained in its original order, to facilitate transfer to the State Archives, where appropriate. This series does not include records scheduled according to content, such as Series M0049, Recordings of Meetings. Series M0049 includes audio or video recordings of meetings, which are used to create meeting minutes.</p>
	Contents	Series contains: Audio or video recordings; may also contain: events, date, scripts, contracts, releases, finding aids
	Retention and Disposition	Transfer to the State Archives Center when administrative value has ceased. NOTE: All videos should be transferred. The permanent retention of the information will be determined by the State Archivist.
M0047	<p>Photographic File - State Agency Activities - (Documents state agency activities and functions and when deemed to be archival, provides for an understanding of the administrative history of an organization)</p>	<p>This series documents state agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.</p>
	Contents	Series contains: Photographs and accompanying explanatory materials and finding aids.
	Retention and Disposition	Transfer to the State Archives Center when administrative value has ceased. NOTE: All photographs should be transferred. The permanent retention of the information will be determined by the State Archivist.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0049	Recordings of Meetings - (May be audio or video) - (Recordings of boards, commissions, task forces established by statute or executive order, or those entities that establish or administer policy) (V)	This series documents the mechanical recording of meetings of boards, commissions, task forces that were established by statute or executive order, or other entities that establish or administer policy, and from which minutes of the meetings are prepared.
	Contents	Series contains recordings in either audio or video format
	Retention and Disposition	Destroy thirty (30) days after minutes have been transcribed and approved, unless challenged. NOTE: If minutes are challenged, recordings should be retained until final resolution.
M0050	Non Business-Related Correspondence Change Date: 12/14/2006	This series represents email and other correspondence that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: Spam and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related e-mail, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the state's e-mail and Internet acceptable use policy (see CIO-060, Internet and Electronic Mail Acceptable Use Policy). Given the nature of e-mail, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence.
	Contents	Non-business related correspondence is incoming and outgoing correspondence that may consist of: Personal messages - While a certain amount of personal material maybe acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (See "Internet and Electronic Mail Acceptable Use Policy, CIO-060") Spam is the term for electronic junk mail. It is completely unsolicited and unwanted. Spam mail can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations. Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related e-mail from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.
	Retention and Disposition	Delete all non-business related email as soon as possible. Agencies are encouraged to train all employees with email access to properly use the system for work-related activities and to remove all non-business-related records immediately.
M0051	Maps Change Date: 3/12/2009	This series represents maps, intended for public distribution, which consist of images and/or data plotted to show geographic points at which various objects, incidents or phenomena occur across the Commonwealth. Examples of these include highways, topographical or geological features, recreational trails, stockyards or public hunting areas in Kentucky. These maps may be printed and maintained in paper or maintained in electronic format. Electronic maps may be static images or dynamic packages produced by a Geographic Information System (GIS). Some of this information is made available through the KYGEONET, Kentucky's enterprise geographic information system. The KYGEONET is Series 05431, scheduled under the Division of Geographic Information.
	Contents	Series contains: spatial coordinates; plotted images and/or data. May contain: appropriate metadata
	Retention and Disposition	Retain permanently. Agencies should capture one (1) copy of static maps or take periodic snapshots of GIS data not captured in the KYGEONET. Data should be updated when superseded. To help determine rate and methods of capture, please contact Public Records Division staff. Duplicate copies and copies made for internal reference may be destroyed when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Miscellaneous Records

Record Group
Number

Series	Records Title and Description	Function and Use
M0052	Surveillance Video/Audio Recordings Change Date: 12/10/2009	This record series is used to document the activities in public areas of state government facilities. State agencies may contract with private companies to provide surveillance services, in which case the agency would still be responsible for maintaining the recordings. The cameras usually run 24 hours a day and record all activities in specific areas. These cameras or recording devices may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, state government offices and anywhere the public has access. These recordings are used as a security measure in the identification of persons who cause disturbances or violate laws. This series does not apply to inmate intake or booking videos at law enforcement or correctional facilities.
	Contents	Video of a certain area of the facility or the outside of the facility.
	Retention and Disposition	Destroy or re-use after thirty (30) days if no investigation or litigation is taking place or pending.



RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Personnel and Payroll Records Section

Schedule Date: December 10, 2009

Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

General Schedule for State Agencies
Agency

December 10, 2009
Schedule Date

Personnel/Payroll Records
Unit

June 10, 2010
Change Date

June 10, 2010
Date Approved By Commission

APPROVALS

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

Agency Head

Date of Approval

Agency Records Officer

Date of Approval

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

6/10/2010
Date of Approval

Wayne Orbit
Chairman, State Archives and Records Commission

6/10/2010
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

6/10/10
Date of Approval

[Signature]
Appraisal Archivist

6/10/10
Date of Approval

[Signature]
State/Local Records Branch Manager

6/10/10
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

6-10-10
Date of Approval

**STATE AGENCY RECORDS
 RETENTION SCHEDULE**

General Schedule for State Agencies
 Personnel and Payroll Records

**Record Group
 Number**

Series	Records Title and Description	Function and Use
P0001	Personnel Folder -- Agency Copy (Official copy in Personnel Cabinet) (C) KRS 61.878 (1) (a) [See description]	This series documents the employment history of each individual employee. This series may be used to verify employment and positions held; determine eligibility for promotions, reclassification, or awards; tuition assistance; or salary adjustments; or training. The personnel file is an open record with exceptions supported by KRS 61.878(1)(a). These exceptions include an employee's, resume, test score(s), social security number, transcript(s), military record, home address and phone number(s). This file may contain payroll information or agencies may maintain a separate employee payroll file.
	Contents	Per KRS 18A.020, this series is required to contain: employee's name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, layoffs, transfers, disciplinary actions and employee responses to those actions, commendations, awards, and preliminary and other supporting documentation for each action; the complete record and supporting documentation for each personnel action. The series may include: orientation checklist, education/training verification, payroll deduction authorization, test scores, resume, military records correspondence. The series should not include medical records, worker's compensation materials or grievances (unless the grievances support an employment action).
	Retention and Disposition	Destroy five (5) years after termination of employment. Should an employee transfer to another state agency, the Personnel Folder will transfer, as well, to the new agency. NOTE: Termination is defined as "no longer an employee of state government".
P0002	Personnel Record -- Division and/or Subunit Duplicate (C) KRS 61.878 (1) (a)	This series is the division or subunit duplicate of the personnel file, which is maintained as a working record while the employee is a current member of the staff. The official record is the agency file (P0001). These files are maintained at the discretion of the agency.
	Contents	Series may contain: Employment application; Copy of P-1 (personnel actions); orientation checklist; letters of reprimand and/or disciplinary report; supervisory report; yearly evaluations; letters of achievement; content regarding employee performance; exempt/non-exempt form; qualifying classification; position description; service record; education authorization; test scores; resume; military records; related correspondence
	Retention and Disposition	Retain no longer than two (2) years after termination of employment in the division or subunit. Agencies should set a definite retention period for these files.
P0003	Application File -- Non-Merit Positions	This series documents applications submitted by job applicants for unclassified positions, that is, those not covered by the Merit System.
	Contents	Series may contain: completed state employment application form; non-merit information sheet; resume.
	Retention and Disposition	Destroy after three (3) years if applicant is not hired. NOTE: If hired, place in Personnel Folder (P0001).
P0004	Merit System Registers	This series documents a list of applicants who have made application to a position posted on the Personnel Cabinet's Career Opportunity System and certify by nominating themselves to the position that they meet the minimum requirements of the position. The list includes re-employment candidates; internal mobility candidates (current state employees); and, if the posting is "competitive," individuals outside of state government who have applied for the position.
	Contents	Series contains: requisition number; certification number; class title; number of vacancies; agency request number; indication of whether this is the second register after REMs; EEO data if included; candidate name; candidate type; ranking value; REM/STL months of service; veterans' preference; date generated.
	Retention and Disposition	Retain as part of Series P0039, Selection Process File -- Merit Positions.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Personnel and Payroll Records

Record Group
Number

Series	Records Title and Description	Function and Use
P0005	Annual Employee Performance Evaluation File	This series is used to document employees' performance evaluations, as set out in KRS 18A.110(1)(1) and (7); and 101 KAR 280. The series consists of the performance plan developed for an employee by the first line supervisor with the assigned duties, supervisor's expectations related to those duties and the points assigned to each duty; the April and August interim reviews; and the final evaluation scores. The interim reviews and any supporting documentation such as a Performance Improvement Plan are used to document the employee's performance throughout the year and to support the final rating.
	Contents	This series contains the performance evaluation form prescribed by the Personnel Cabinet and incorporated by reference in 101 KAR 2:180; and may also contain performance improvement plans, counseling notes, copies of commendations, and other supporting documentation relating to the performance evaluation.
	Retention and Disposition	Supervisor maintains the evaluation file for the current year until the final evaluation is completed. Then the evaluation process is complete, the evaluation and any supporting documentation is transferred to the employee's agency personnel file (Series P0001).
P0009	Request for Refund on Payroll	This series documents instances in which an agency employee is overpaid or if a check is cancelled, and an agency requests reimbursement. This series may ultimately become part of an employee's payroll file.
	Contents	Series Contains: Date; Agency Name; Organization Name; Organization Code; Payment Type; Checks made payable to; Check Number and date; Pay period; employee last name and initials; Social Security Number; Employee ID; Amount of gross pay; amounts and types of deductions; amount of net pay; Preparer's Signature, phone and date; and Authorized agency signature and date.
	Retention and Disposition	Retain in agency for three (3) years. Transfer to the State Records Center for five (5) years. Destroy after a total retention of eight (8) years and audit.
P0011	Time and Attendance Report	This series documents the time reported on a daily basis which is used to produce the salary of an employee during one pay period for work performed. Time and attendance reports also identify the leave time away from work that is charged to the employee. It is signed by the supervisor and forwarded to the agency's personnel and payroll section, to be entered into the appropriate payroll system.
	Contents	Series contains: Pay period ending date; number of administrative unit; employee name; social security number; dates of activity; hours worked-regular hours, any overtime hours; type of leave - sick, compensatory, annual, family, without pay; leave totals; signature of employee; signature of supervisor
	Retention and Disposition	Retain in agency for three (3) years. Destroy after audit.
P0013	Overtime Compensation Declaration	This series documents a non-exempt employee's selection to receive compensatory leave for hours worked in excess of 40 hours per work week. The agency may retain these as part of the employee's payroll file.
	Contents	Series contains: Compensatory time designation; time and-one-half designation; employee signature; social security number; date signed
	Retention and Disposition	Retain three (3) years then destroy.
P0014	Sick Leave Sharing File (C) KRS 61.878(1)(a)	This series documents an employee's participation in the state's sick leave sharing program and the documentation necessary to verify eligibility for the program. It is used to provide supporting documentation for the approval or denial of the request and for the transfer of sick leave from one employee to another. If sick leave is donated/received between agencies, the donor's agency may retain a copy of the donor form as supporting documentation for reduction of the employee's sick leave balance. The file, which contains confidential medical information, must be maintained in a secure, confidential file, separate from the employee's personnel file.
	Contents	File contains sick leave sharing application; medical documentation verifying eligibility signature of appointing authority; sick leave donation forms; documentation which tracks the amount of sick leave requested, donated, used, and returned to donors; any related correspondence.
	Retention and Disposition	Retain three (3) years then destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Personnel and Payroll Records

Record Group
Number

Series	Records Title and Description	Function and Use
P0025	Payroll Voucher and Certification (Forms SAS-27 and SAS 27b)	This series represents requests for the production of paychecks that cannot be processed within the standard time limits of the state payroll, or that are processed outside the state's Uniform Personnel and Payroll System. Agencies may maintain these in the employee's payroll file. This series also contains the Payroll Voucher Certification Form certifying that the person listed on the SAS27 has not previously received this pay through UPPS.
	Contents	Series contains: Payroll Voucher (Form SAS 27): Date; Agency Name; Org. Name/Code; Company Number; Reference Number; Employee status; Total Disbursement Amount; Hours Paid; Employment Date; Rate; Employee last name and initials; Social Security Number; Employee ID; Category and amount of funds; totals and total net pay; comments; name of employee preparing payroll; authorized agency signature; signature of Personnel Cabinet Secretary. Certification Form (Form SAS 27b): Employee name and ID#; Pay period; Semi-monthly Salary; Gross Amount Due; Explanation; Signature of certifying individual.
	Retention and Disposition	Retain three (3) years in agency then transfer to the State Records Center for five (5) years. Destroy after a total of eight (8) years and audit.
P0028	Employee Medical/Health File (C) KRS 61.878 (1) (a) Medical information	This series provides documentation of an employee's illness, injuries and treatment. This information is considered confidential and must be maintained separately from the personnel file in a secure file to ensure access is granted on a strictly need-to-know basis. May be used to verify eligibility for sick leave, sick leave sharing, workers' compensation benefits, FMLA, ADA accommodation requests; supporting medical documentation.
	Contents	Series may contain: Medical certifications to support requests for sick leave; FMLA application/certification; SLS application & supporting documentation; workers' compensation first report of injury; medical statements from healthcare providers; test results.
	Retention and Disposition	Destroy five (5) years after termination of employment in the agency.
P0029	Bloodborne Pathogens File - State Employee (C) 29 CFR 1910.1030; KRS 61.878(1)(a) (V)	This series documents, as required by 29 CFR 1910.1030, an employee's occupational exposure to blood or other potentially infectious materials. The series provides evidence that the agency followed the requirements of the bloodborne pathogens regulations in the treatment, reporting and follow-up relating to an exposure.
	Contents	Series contains: name and social security number of the employee; a detailed account of the exposure; documentation of: employee's hepatitis B vaccination status, dates of all the hepatitis B vaccinations and any medical records relative to the employee's ability to receive vaccination; results of examinations, medical testing, and follow-up procedures; a copy of the healthcare professional's written opinion; information provided to the healthcare professional.
	Retention and Disposition	Transfer to the State Records Center five (5) years after termination of employment in the agency. Retain at Records Center for twenty-five (25) years, for a total retention of thirty (30) years after employment. NOTE: Should an employee transfer to another state agency, this series will transfer, as well, to the new agency. Termination is defined as "no longer an employee of state government".
P0030	Workplace Injury and Illness Reporting Forms	This series documents employees' injuries and illnesses sustained in work-related incidents. It includes OSHA Form 300 -- Log of Work-Related Injuries and Illnesses; OSHA Form 300A -- Summary of Work-Related Injuries and Illnesses; and the Injury and Illness Incident Report (state agency may substitute the Workers' Compensation First Report of Injury Form IA-1). The log series is used to record and classify reportable work-related injuries and illnesses and to document the severity of each case. It must be kept current and be presented to officials of the USDOL on request. The summary shows the total reportable injuries and illnesses for an establishment for a year and is required to be posted from February 1 through April 20 of the following year so employees are aware of the injuries and illnesses occurring in their workplace.
	Contents	Series contains: OSHA Form 300; OSHA Form 300A; supporting documentation, either OSHA Injury and Illness Incident Report or Workers Compensation First Report of Injury and Lost Time/Return to Work form. The log contains the case #, Employee's name (or notation of privacy); job title; date of injury or illness; where the injury/illness occurred; description of injury/illness; classification of the case; number of lost work days or days of modified duty; indication of injury or type of illness. The summary records the total number of deaths, cases with days away from work, total number of cases with job transfer or restricted duty; number of other recordable cases; total number of days away from work; total number of days of job transfer or restricted activity; the numbers of the various types of injuries & illnesses.
	Retention and Disposition	Retain for five (5) years following the year to which each form pertains.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Personnel and Payroll Records

Record Group
Number

Series	Records Title and Description	Function and Use
P0031	Tuition Assistance Authorization File (C) KRS 61.878 (1) (a) - Grades	This series documents an employee's request to receive tuition assistance from the employing state agency and the agency's approval or denial of the request. The tuition assistance form documents the list of courses to be taken, the cost of the courses and of any related expenses. The form contains a contract between the agency and the employee and provides that the employee must attain a required grade and specifies the length of service required post-coursework; otherwise the agency may require reimbursement of funds paid. Some agencies maintain this document as part of the employee's personnel file and maintain a log of the assistance paid rather than a separate file.
	Contents	Series may include: Education Assistance Authorization Form; total expenditures list; grades; correspondence; documentation that courses are eligible within the parameters of the agency's procedure; documentation of reimbursement if required.
	Retention and Disposition	Destroy five (5) years after termination of employment with agency.
P0033	W2 and K2 File (non-UPPS)	This series documents wage and summary records issued to employees using payroll systems other than the state's Unified Personnel and Payroll System.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of employment, and audit.
P0034	Employee Change in Pay Status Record File (Non-UPPS)	This series documents employee pay rates and pay status, as approved by a state agency, for employees processed outside the Unified Personnel and Payroll System.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of employment.
P0035	Payroll Deduction Authorization Record File (Non-UPPS) (C) KRS 61.878 (1) (a) Personal Information	This series documents requests for tax deductions from payroll checks by employees processed outside the Unified Personnel and Payroll System.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of employment, and audit.
P0036	Payroll Employee Year-to-Date Earnings Record (Non-UPPS)	This series documents an earnings for a year up to a current pay period for employees processed outside the Unified Personnel and Payroll System.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of employment, and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies Personnel and Payroll Records

Record Group Number

Series	Records Title and Description	Function and Use
P0037	Payroll History Record File (Non-UPPS) Change Date: 6/10/2010	This series documents the pay rates and payments made over the term of employment to employees processed outside the Unified Personnel and Payroll System.
	Contents	This record series contains the run date, name of employee, directory information, gross pay, net pay, withholdings, rate of pay, each pay period with year to date totals, total deductions.
	Retention and Disposition	Retain fifty (50) years and destroy after audit.
P0038	Payroll Register Record File (Non-UPPS)	This series provides a listing of the calculations of gross pay, all deductions and net pay for a specific pay period. This is for employees processed outside the Unified Personnel and Payroll System.
	Contents	
	Retention and Disposition	Destroy eight (8) years after termination of employment, and audit.
P0039	Hiring Process Materials File -- Merit System Positions	This series documents the process and criteria used to select a candidate to fill a position. The series documents the decision making process; how the candidates were screened and selected for an interview; the interview questions and answers; and other factors used in the selection process. These materials may be used to defend the agency's hiring decision.
	Contents	Series may contain: advertisement for the position; certified register; correspondence between candidates and agency; interview questions, responses and interviewer notes; resumes; applications; copies of performance evaluations; documentation of applicants' seniority, conduct, record of performance, qualifications as required on promotion (101 KAR 1:400); documentation of reference checks; documentation of results of background checks and/or drug testing.
	Retention and Disposition	Retain five (5) years then destroy.
P0040	Employee Suggestion File (C) 101 KAR 2:120, Sec. (1)	This series documents suggestions submitted and evaluated through the employee suggestion system in accordance with 101 KAR 2:120 Section 1. The file is used to document the details of the suggestion, projected cost savings, how the determination was made to approve or deny the suggestion and to provide supporting documentation for any monetary award provided to the employee as a result of the suggestion. Forms may be retained electronically or in hard copy.
	Contents	Series contains: Employee Suggestion Form (name, address, social security number, department, job title, signature of employee, suggestion number, subject/code, suggestion, brief description of present method/condition, savings in time materials, supplies); evaluation of employee suggestion (eligibility, checklist, approved/rejected, reasons, requiring a regulatory change, legislative change, evaluated by , title, agency, data, recommended award); Documentation of review by the employee suggestion system council; reconsideration process if requested; evidence of actual savings to support any monetary award provided to the employee.
	Retention and Disposition	Destroy three (3) years after all administrative activity has ceased.
P0041	Grievance File (C) KRS 61.878(1)(a) & (h -- open cases only)	This series documents grievances filed by merit system employees; the investigation conducted by each responding level of supervision, and the resolution of the grievance as provided under the terms of 101 KAR 1:375.
	Contents	Series contains: Grievance Form; supporting documentation; investigative notes, findings and determinations by responding supervisors; any documents, recordings, or other information presented by any party involved in investigation and/or resolution of the grievance.
	Retention and Disposition	Destroy five (5) years after resolution. If the grievance is subject of an ongoing investigation, administrative proceeding or litigation, destroy five (5) years after end of investigation, proceeding or litigation.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Schedule for State Agencies
Personnel and Payroll Records

Record Group
Number

Records Title Series and Description	Function and Use
P0042 Payroll/Benefits File (C) KRS 61.878(1)(a)	The series contains documentation of various payroll and benefits actions such as payroll deductions, direct deposit corrections to payroll, benefits enrollment, and beneficiary designation. Agencies may also maintain a separate Benefits File, which should be maintained for the same retention period as the Payroll File.
Contents	Series may include: direct deposit form; Payroll Voucher; Request for Refund on Payroll; Notification of Health Insurance Status/Contribution; Deduction authorizations; Copies of P-1s; Health Insurance/Flexible Spending Account Applications; life Insurance enrollment forms; Verifications of employment; W-4; K-4; FLSA Exempt Test/ Form; KRS Membership Information Form, Beneficiary Designation Form; request for paid overtime; Overtime Compensation Declaration.
Retention and Disposition	Destroy five (5) years after termination of employment.