STATE ARCHIVES AND RECORDS COMMISSION
Minutes of the Quarterly Meeting
June 14, 2012
Department for Libraries and Archives

The State Archives and Records Commission met at 10:00 a.m., June 14, 2012, in the Board Room, Kentucky Department for Libraries and Archives, 300 Coffee Tree Road, Frankfort, Kentucky.

Members present: Wayne Onkst, Chair; Richard Belding, representing Citizens-at-Large; Terry Birdwhistell, representing the University of Kentucky; Dave Schroeder, representing the Kentucky Library Association; Tim Goff, representing Citizens-at-Large; Louise Jones, representing the Kentucky Historical Society.

Representatives present: Randy Justice, representing Joseph Meyer, Secretary, Education and Workforce Development Cabinet; Leslie Smith, representing Robert Sherman, Executive Director, Legislative Research Commission; Greg Giesler, representing Adam H. Edelen, Auditor of Public Accounts; Glenna Goins, representing Mary E. Lassiter, State Budget Director; Jennifer Frazier, representing John D. Minton, Jr., Chief Justice, Supreme Court; Glenn Thomas, representing Steve Rucker, Commissioner, Commonwealth Office of Technology; and Amye Bensenhaver, representing Jack Conway, Attorney General.

Members not present or represented: Linda Potter, representing Citizens-at-Large; Charlann Hall Wombles, representing local governments; William Jones, representing Citizens-at-Large; and Sheila Stuckey, representing regional colleges and universities.

Public Records Division staff present: Barbara Teague, Director, Public Records Division; Jerry Carlton, Manager, Local Records Branch; Jim Cundy, Manager, State Records Branch; Pam Compton, Records Analyst; Jackie Arnold, Records Analyst; Mark Myers; Beth Shields.

Guests Present: Courtney Bourne, Susan Ellis, Deb Day and Jeff Boler, Office of Occupations and Professions.

Onkst called for introductions by those present.

Schroeder made a motion to accept the minutes of the previous Commission meeting, with the change of the name of the Auditor of Public Accounts from Crit Luallen to Adam H. Edelen, seconded by Belding. The vote by members and representatives present was unanimous.

NEW OR REVISED SCHEDULES
Public Protection Cabinet – Office of Occupations and Professions

Arnold was the Records Analyst working on this revised schedule. Arnold was the Records Analyst working on this revised schedule. ***New schedules were compiled for the following agencies:*** Board of Applied Behavior Analysis Licensing: **Additions to the Schedule:** Series 06286, License Folder; Series 06287, Renewal Folder; Series 06288, Incomplete, Denied and Withdrawn Applications Folder; Series 06289, Complaints Folder. Directory of Registered Athlete Agents: **Additions to the Schedule:** Series 06290, Registration Folder; Series 06291, Renewals Folder; Series 06292, Incomplete, Denied and Withdrawn Applications Folder. Board of Licensed Diabetes Educators **Additions to the Schedule:** Series 06313, License Folder; Series 06314, Renewal Folder; Series 06315, Incomplete, Denied and Withdrawn Applications Folder; Series 06316, Complaints Folder; Series 06317, Continuing Education Provider Application Folder. Board of Certification of Fee-Based Pastoral Counselors: **Additions to the Schedule:** Series 06318, License Folder; Series 06319, Renewal Folder; Series 06320, Incomplete, Denied and Withdrawn Applications Folder; Series 06321, Complaints Folder; Series 06322, Continuing Education Provider Application Folder. Board of Home Inspectors: **Additions to the Schedule:** Series 06299, License Folder; Series 06300, Renewal Folder; Series 06301, Incomplete, Denied and Withdrawn Applications Folder; Series 06302, Complaints Folder; Series 06303, Continuing Education Provider Application Folder; Series 06304, Programs of Instruction Approval Folder. Board of Prosthetics, Orthotics and Pedorthics: **Additions to the Schedule:** Series 06308, License Folder; Series 06309, Renewal Folder; Series 06310, Incomplete, Denied and Withdrawn Applications Folder; Series 06311, Complaints Folder; Series 06312, Continuing Education Provider Application Folder. ***Revised Schedules were completed for the following agencies:*** Office of Occupations and Professions: **Deletions from the Schedule:** Series 00475, Appointment File. Board of Certification of Alcohol and Drug Counselors: **Addition to the Schedule:** Series 06333, Incomplete, Denied and Withdrawn Applications Folder. **Deletion from the Schedule:** Series 05572, ICRC Score Report. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05568, License Folder; Series 05569, Renewal Folder; Series 05570, Continuing Education Provider Application Folder; Series 05571, Complaints Folder. Board of Licensure for Professional Art Therapists: **Revisions to the Schedule:** *Changes in retention:* Series 05610, Renewal Folder, from six (6) years to three (3) years; Series 05612, Incomplete, Denied and Withdrawn Applications, from five (5) years to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years." *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05609, License Folder; and Series 05611, Complaints Folder. Board of Licensure and Certification for Dietitians and Nutritionists: **Deletions from the Schedule:** Series 05579, Certified Nutritionist Folder. **Revisions to the Schedule:** *Changes in retention:* Series 05580, Incomplete, Denied and Withdrawn Applications Folder from sixty 60 days after denial or appeal to **"**Retain denial letters fifty (50) years, destroy remaining material after two

(2) years;" Series 05581, Renewal Folder from six (6) years to two (2) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05578, License Folder; Series 05582, Continuing Education Provider Application Folder; Series 05583, Complaints Folder. Board of Registration for Professional Geologists: **Deletions from the Schedule:** Series 05619, Master License Folder, Certified Geologist-In-Training; and Series 05623, ASBOG Test Scores File. **Revisions to the Schedule:** *Changes in retention:* Series 05620, Renewal Folder, from six (6) years to two (2) years; Series 05622, Incomplete, Denied and Withdrawn Applications from two (2) years to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years." *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05618, License Folder; and Series 05621, Complaints Folder. Board of Specialists in Hearing Instruments: **Additions to the Schedule:** Series 06295, Renewal Folder; Series 06296, Incomplete, Denied and Withdrawn Applications Folder; Series 06297, Complaints Folder. **Deletions from the Schedule:** Series 00497, Register; **Revisions to the Schedule:** *Changes in retention:* Series 00495, License Folder (Hearing Aid Dealers and Trainees), from permanent to "Retain for fifty (50) years from the date of license termination, then destroy." Board of Interpreters for the Deaf and Hard of Hearing: **Addition to the Schedule:** Series 06334, Incomplete, Denied and Withdrawn Applications Folder. **Deletions from the Schedule:** Series 05585, Temporary Interpreter; and Series 05587, Extension Request for Temporary Interpreter. **Revisions to the Schedule:** *Staff made administrative changes to the following series without changing retention or disposition:* Series 05584, License Folder; Series 05586, Renewal Folder; Series 05588, Continuing Education Provider Application Folder; and Series 05589, Complaints Folder. Board of Licensure for Marriage and Family Therapists: **Additions to the Schedule:** Series 06327, Incomplete, Denied and Withdrawn Applications Folder. **Deletion from the Schedule:** Series 05591, Master License Folder, Marriage and Family Therapist, Associate. **Revisions to the Schedule:** *Changes in retention:* Series 05592, Renewal Folder, from one (1) year to two (2) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05590, License Folder; Series 05593, Continuing Education Provider Application Folder; Series 05594, Complaints Folder. Board of Licensure for Massage Therapy: **Revisions to the Schedule:** *Changes in retention:* Series 05549, Continuing Education Provider Application Folder, from two (2) years to six (6) years; Series 05551, Incomplete, Denied and Withdrawn Applications Folder, from one (1) year to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years;" Series 05548, Renewal Folder, from four (4) years to three (3) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05547, License Folder; Series 05550, Programs of Instruction Approval Folder; and Series 05552, Complaints Folder Board of Licensure for Nursing Home Administrators: **Additions to the Schedule:** Series 06305, Renewal Folder; Series 06306, Complaints Folder; Series 06307, Continuing Education Provider Application Folder. **Deletions from the Schedule:** Series 00503, Temporary Permit Folders; **Revisions to the Schedule:** *Changes in retention:* Series 00499, License Folder, from permanent to fifty (50) years

from the date of license termination; Series 00502, Incomplete, Denied and Withdrawn Applications, from sixty (60) days from appeal, to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years." Board of Licensure for Occupational Therapy: **Addition to the Schedule:** Series 06332, Incomplete, Denied and Withdrawn Applications Folder. **Deletions from the Schedule:** Series 05554, Master License Folder – Assistant; and Series 05555, DPAM Certification Application Folder. **Revisions to the Schedule:** *Changes in retention:* Series 05557, Continuing Education Provider Application Folder, from one (1) year to six (6) years; Series 05556, Renewal Folder, from two (2) years to three (3) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05553, License Folder; and Series 05558, Complaints Folder. Board of Ophthalmic Dispensers: **Deletions from the Schedule:** Series 05596, Master License Folder, Apprentice Ophthalmic Dispenser; and Series 05601, State Practical Exam Roster. **Revisions to the Schedule:** *Changes in retention:* Series 05597, Incomplete, Denied and Withdrawn Applications, from two (2) years to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years;" Series 05598, Renewal Folder, from six (6) years to two (2) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05595, License Folder; Series 05599, Continuing Education Provider Application Folder; and Series 05600, Complaints Folder. Board of Licensure for Private Investigators: **Deletions from the Schedule:** Series 05608, Examination Roster. **Revisions to the Schedule:** *Changes in retention:* Series 05604, Incomplete, Denied and Withdrawn Application Folder from two (2) years to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years;" Series 05605, Renewal Folder from six (6) years to three (3) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05602, License Folder (Individuals); Series 05603, License Folder (Companies); Series 05606, Continuing Education Provider Application Folder; Series 05607, Complaints Folder. Board of Licensed Professional Counselors: **Addition to the Schedule:** Series 06298, Incomplete, Denied and Withdrawn Applications Folder. **Deletions from the Schedule:** Series 05614, Master License Folder (Licensed Professional Counselor Associate). **Revisions to the Schedule:** *Changes in retention:* Series 05615, Renewal Folder from (1) year to two (2) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05613, License Folder; Series 05616, Continuing Education Provider Application Folder; and Series 05617, Complaints Folder. Board of Proprietary Education: **Additions to the Schedule:** Series 06225, Renewals; Series 06283, Incomplete, Denied and Withdrawn Applications; Series 06284, Student Files (Schools No Longer in Operation); Series 06324, Student Protection Fund. **Deletions from the Schedule:** Series 00493, Register - Licensed Schools and Agents; and Series 00494, Hearing Minutes. **Revisions to the Schedule:** *Changes in retention:* Series 00492, Complaints Folder, from five (5) years to "Retain for fifty (50) years after case closed and/or license terminated, whichever is longest." *Staff also made administrative changes to the following series without changing retention or disposition:* Series 00491, License Folder - Proprietary Schools, Agents and CDL Instructors Board of Examiners of Psychology:

Additions to the Schedule: Series 06328, Renewal Folder; Series 06329, Incomplete, Denied and Withdrawn Applications Folder; Series 06330, Complaints Folder; and Series 06331, Continuing Education Provider Application Folder. **Deletions from the Schedule:** Series 00485, Oral Examination Tapes; Series 00481, Licensed and Certified Psychologists Folders (card file/computer tape) Series 00482, Licensed and Certified Psychologists Register; Series 00483, American Association of State Psychologist Boards Examination Objective Type (score only); and Series 00484, Applicant Examination File. **Revisions to the Schedule:** *Changes in retention:* Series 00480, License Folder – Psychologists, from permanent to "Retain for fifty (50) years from the date of license termination, then destroy." Board of Speech-Language Pathology and Audiology: **Additions to the Schedule:** Series 06325, Renewal Folder; Series 06326, Complaints Folder; **Deletions from the Schedule:** Series 00487, Licensed Speech Pathologist and Audiologist Register. **Revisions to the Schedule:** *Changes in retention:* Series 00486, License Folder, from permanent to fifty (50) years from the date of license termination; Series 00490, Incomplete, Denied and Withdrawn Applications, from sixty (60) days after denial or appeal to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years." Board of Veterinary Examiners: **Deletions from the Schedule:** Series 05564, Test Scores. **Revisions to the Schedule:** *Changes in retention:* Series 05567, Incomplete, Denied and Withdrawn Applications Folder, from two (2) years to "Retain denial letters fifty (50) years, destroy remaining material after two (2) years." *Staff also made administrative changes to the following series without changing retention or disposition:* Series 05559, License Folder – Veterinarians; Series 05560, License Folder – Veterinary Technicians and Technologists; Series 05561, License Folder – Certification of Animal Control Agencies; Series 05562, License Folder – Certification of Animal Euthanasia Specialists; Series 05563, Renewal Folder; Series 05565, Continuing Education Provider Application Folder; and Series 05566, Complaints Folder.

The Kentucky Office of Occupations and Professions provides administrative and fiscal management, technical support and advice to twenty-three regulatory boards in the Commonwealth's system of occupational licensing. Licensure boards are comprised of board members appointed by the Governor, generally for four years, with staggered terms. Boards range in size from four to nine members. All board members, except one, are required by law to be licensed in the occupation, or profession being regulated. One board member, by 1974 Act, is required to be a public member with no financial interest in the occupation, or profession being regulated. Board members are customarily appointed from lists submitted by professional associations. The purpose of the licensure boards is to license and regulate the statutorily designated occupations and professions, in order to protect the public health, safety and welfare. To accomplish this, boards have two primary areas of responsibility: licensure and enforcement. The licensure function deals with entry into the profession. In broad terms, the boards determine an individual's initial fitness and competency to practice an occupation, or profession. Generally, Boards process applications for licensure, check qualifications against statutory requirements, administer licensing examinations and issue and renew

licenses. The enforcement function involves tasks designed to assure that licensees continue to practice competently after initial licensure. Specifically, boards administer continuing education requirements, process complaints against licensed practitioners, conduct investigations, hold hearings and take disciplinary actions against incompetent or fraudulent practitioners. Disciplinary sanctions range from reprimands, to license revocations. Boards are self-supporting agencies and receive no General Fund tax appropriation. They are funded entirely through fees assessed for licensing its professionals.

This is a revised records retention schedule for this agency. Board schedules are revised unless noted as new.

Current schedule date of revised schedules: Varies (September 1, 1983 and June 21, 2007)
Proposed schedule date: June 14, 2012

Arnold presented these new and revised schedules.

Belding made a motion to approve the revised schedule, seconded by Schroeder. The vote by members and representatives present was unanimous.

Cabinet for Health and Family Services – Department for Aging and Independent Living

Compton was the Records Analyst working on this revised schedule. **Additions to the Schedule:** Series 06323, Hart-Supported Living Program Files; Series 06336, Guardianship and Patient Financial Records Files. **Deletions from the Schedule:** Series 04222, Commodity Food Agreement File. **Revisions to the Schedule:** *Changes in retention:* Series 04217, Area Development District (ADD) Plan File, from "Retain in Agency one (1) year after plan activities are completed. Transfer to State Records Center for two (2) years. Destroy after audit. Total retention is three (3) years or after audit, whichever is longer;" to "Retain in Agency one (1) year after plan activities are completed, then transfer to State Records Center for seven (7) years. Destroy after audit. Total retention is eight (8) years after completion or after audit, whichever is longer;" Series 04219, Aging Programs Grant and Demonstration Project File, from "Retain in Agency one (1) year after closure of the grant or project; transfer to State Records Center for two (2) years. Destroy after audit. Total retention is three (3) years," to "Retain in Agency one (1) year after closure of the grant or project, then transfer to State Records Center. Destroy after audit. Total retention is eight (8) years after closure or after audit, whichever is longer;" Series 04220, Assessment/Monitoring Report File, from "Retain in Agency until closure of the state plan; transfer to State Records Center for three (3) years. Destroy after audit;" to "Retain in Agency until closure of the state plan, transfer to State Records Center. Destroy after audit. Total retention is eight (8) years after closure of the state plan or after audit, whichever is

longer; Series 04221, Disaster Relief Grant Funds File, from “Retain in Agency until closure of the grant; transfer to State Records Center for three (3) years. Destroy after audit,” to “Retain in Agency until closure of the grant, then transfer to State Records Center for eight (8) years. Destroy after audit. Total retention is eight (8) years after closure of grant or audit, whichever is longer;” Series 04223, Training Grant File, from “Retain in Agency two (2) years; transfer to State Records Center for three (3) years. Destroy after audit. Total retention is five (5) years,” to “Retain in Agency two (2) years, then transfer to State Records Center for an additional six (6) years. Destroy after audit. Total retention is eight (8) years after end of project or after audit, whichever is longer;” Series 05823, Adult Day Care Certification Files, from “Retain in Agency for two (2) years from date of certification and the previous two (2) year certification period. Transfer to State Records Center after the next certification period, destroy after closure of center,” to “Retain in Agency for two (2) years from date of certification and the previous two (2) certification periods, then transfer to State Records Center. Destroy after closure of day care center;” Series 05845, Assisted Living Community File, from “Retain in Agency for five (5) years after community facility has ceased operation and CHFS has determined it closed, transfer to State Records Center for fifteen (15) years, then destroy,” to “Retain in Agency for five (5) years after community facility has ceased operation and CHFS has determined it is closed, then destroy.” *Staff also made administrative changes to four (4) series without changing retention or disposition:* Series 04218, State Plan for Programs on Aging File; Series 04224, Menus-Nutrition Program for the Elderly File; Series 05480, Medicaid Waiver Client File – Acquired Brain Injury; and Series 05481, Medicaid Waiver Provider File.

The Kentucky Department for Aging and Independent Living (DAIL) oversees the administration of statewide programs and services on behalf of Kentucky's elders and individuals with disabilities. In partnership with Kentucky's fifteen (15) Area Agencies on Aging and Independent Living, Community Mental Health Centers, Center for Independent Living and other community partners, DAIL provides leadership and addresses issues and circumstances that stand in the way of elders and individuals with disabilities achieving the best possible quality of life. The Department was established in 2007 under KRS 194A.030, and is headed by a commissioner appointed by the secretary with the approval of the Governor. It is charged to serve as the state unit as designated by the Administration on Aging Services under the Older Americans Act and has responsibility for administration of the federal community support services, in-home services, meals, family and caregiver support services, elder rights and legal assistance, senior community services employment program, the state health insurance assistance program, state home and community based services including home care, Alzheimer's respite services and the personal care attendant program, certifications of adult day care and assisted living facilities, the state Council on Alzheimer's Disease and other related disorders, and the Institute on Aging. The department also administers the Long-Term Care Ombudsman Program and the Medicaid Home and Community Based Waivers Consumer Directed Option (CDO) Program. It serves as the information and

assistance center for aging and disability services and administers multiple federal grants and other state initiatives.

This is a new records retention schedule for this agency.

Current date: March 13, 2003
Proposed date: June 14, 2012

Compton presented this revised schedule.

Birdwhistell made a motion to approve the revised schedule, seconded by Frazier. The vote by members and representatives present was unanimous.

Education and Workforce Development Cabinet – Department of Workforce Investment – Office of Employment and Training

Arnold was the Records Analyst working on this revised schedule. **Additions to the Schedule:** Series 06187, Constituent Inquiries File; Series 06194, Unemployment Individual Claim Files; Series 06195, Employer Tax Files; Series 06196, Trial Balance Files; Series 06197, Federal Unemployment Tax Act (FUTA) Annual Files; Series 06198, Annual Contribution Rate Files; Series 06199, Workforce Investment Act (WIA) Files; Series 06200, Migrant and Seasonal Farm Workers Files; Series 06201, Trade Adjustment Assistance Files; and Series 06340, Referee Appeals. **Deletions from the Schedule:** Series 1629, Docket Cards; Series 1630, Commission Orders Docket Cards; Series 1634, Appeals Docket Cards for Other States; Series 1635, Referee Schedules; Series 1639, Referee Decisions; Series 1640, Initial Claim for Benefit; Series 1641, Appeal Docket Claims; Series 1642, Employer's Liable and Non-Liable; Series 1646, Interstate Claim Benefit History; Series 1646.1, Intrastate Claim Benefit History; Series 1647, Federal Claims Pending Causes/File on Current Inquiry; Series 1651, Quarterly Statement - Charges to Employers Accounts; Series 1654, Monthly Restitution; Series 1657, Notices of Potential Benefit Charges; Series 1658, Adjustments of Disputed Claims; Series 1659, Verification of Federal Agency Wage; Series 1660, Investigator's Daily Activity; Series 1661, Successor & Predecessor Employer Reserve Account Cards; Series 1664, Transfer to Trust Fund; Series 1666, Current Deposit Slips of Clearing Account; Series 1667, Benefit Charges Books; Series 1668, Proof of Credit Books (Annual); Series 1669, Batch Register Books for Employer's Contributions; Series 1670, Trial Balances Books; Series 1671, Yearly Benefit Charges Books (Annual); Series 1672, Three-Year Taxable Payroll Books; Series 1673, Yearly Reserve Books; Series 1674, Individual Employers Reserve Account Books; Series 1675, Contributions and Accounts Receivable Books; Series 1676, Auditors' Daily Activity Reports; Series 1677, Subsidiary Quarterly Trial Balance; Series 1678, Batch Summary Register for Employers' Contributions; Series 1679, Inventory of Field Auditors' Cases; Series 1680, Bankruptcy Schedules; Series 1682, Liable Employers List; Series 2202, Job Corps Programs and Modifications; Series 2203, Migrant and Seasonal Farm Workers; Series 2208,

Departmental Affirmative Action Plans; Series 2209, EEO Monthly/Annual Federal Reports; Series 2211, Discrimination Charges Case Records; Series 2221, Status Report; Series 2226, Bonding Program; Series 2244, Contracts with Non-Profit Agencies; Series 2250, Job Corps Control Cards; Series 2252, Job Corps Control Cards (not enrolled); Series 2253, Job Corp Resumes; Series 2254, Participant Grievances; Series 2268, Permission to Tape; Series 2269, Analysis of Individual in Counseling; Series 2270, Evaluation Checklist on Counseling; Series 2271, Appraisal Reports; Series 2272, Employment Security Automated Reporting System; Series 2276, Agency Plan of Service; Series 2277, Interstate Conference of Employment Security Agencies; Series 2278, Counseling Activities; Series 2279, Local Office Visit Reports; Series 2281, Background Information; Series 2282, Descriptive Rating Scale; Series 2283, General Aptitude Test Battery Answer Sheet; Series 2284, General Aptitude Test Battery; Series 2285, Quantitative Analysis; Series 2286, Data Collection for Specific Aptitude Test Battery; Series 2287, Specific Aptitude Test Battery; Series 2288, Test Development Card File; Series 2296, Agricultural Labor Reports; Series 2298, Job Bank Analysis; Series 2300, Returning Veterans Summary Record; Series 2301, Local Manager Reports; Series 2302, Regional Manager Reports; Series 2303, Project Related Documents on Federal Programs; Series 2304, Client Intake and Assessment Documents; Series 2305, Local Office Special Study Reports; Series 2306, Local Office Employer Relations Documents; Series 2308, Local Office Plans of Service; Series 2309, Federal Program Investigative and Compliance Records and Reports; Series 2310, ES Testing Records; Series 2313, Job Corps Records (not-accepted); Series 05390, Job Training and Partnership Act Eligibility; Series 05391, Summer Youth Program Eligibility; Series 05392, Jobs for Kentucky's Graduates Program Eligibility File; Series 05393, Rapid Response Database; Series 05394, Job Training and Partnership Act Eligibility; and Series 05395, Management Information System File. **Revisions to the Schedule:** Series 06206, Commission Appeal Cases, from “Destroy when obsolete” to ten (10) years; and Series 06207, Docket Books, from ten (10) years to six (6) years. *Staff also made administrative changes to the following series without changing retention or disposition:* Series 04208, Work Incentive Program Grants Files; Series 04209, Work Incentive Program Contracts File; Series 05410, Work Opportunity Tax Credit/Welfare to Work File; Series 05438, Alien Labor Certification File; and Series 2235, CETA Files.

Functions of the Office of Employment and Training fall into three broad areas: services to job seekers and employers; compiling and distributing labor market information for individuals, businesses and units of government; and providing Unemployment Insurance short term benefits. The mission of the office is to provide qualified people for jobs, quality jobs for people, temporary financial support for the unemployed, comprehensive labor market information, and preserve the integrity and viability of the Unemployment Insurance Trust Fund, thus promoting the economic well-being of the Commonwealth. The original schedule was created in 1976 when the agency was at the Department level within the Cabinet for Human Resources.

This is a complete revision of this agency’s records retention schedule.

Current schedule date: December 1, 1976
Proposed schedule date: June 14, 2012

Arnold presented this revised schedule.

Belding made a motion to approve the revised schedule, seconded by Schroeder. The vote by members and representatives present was unanimous.

Public School District

Carlton was the Records Analyst working on this revised schedule. **Additions to the Schedule:** L6465, School Board Meeting Agenda Packet; L6466 Substitute Teacher Sign-In/Sign-Out Document; L6467 Educational Enhancement Opportunity Request (Student); L6468 Verification of College (Higher Education) Visit by Student; L6469 Student Report Card; L6470 Child Count Report; and L6471 Employment Verification Form . **Revisions to the Schedule:** *Changes in retention:* L2330 Student Enrollment Information File, from Destroy 4 years after withdrawal or graduation to "Destroy when new data entered. Maintain final entry 4 years after student leaves the District;: L5257 Payroll Register-Year End, from seventy (70) years to sixty (60) years; L5343 Personnel File, Added the following to the present retention and disposition: Deceased Persons File-Destroy 5 years after death.

The first attempt to assemble a school district – wide records retention schedule was made in 1988. The Archives and Records Commission approved the schedule that year. In 1999 a complete revision of the schedule was approved by the Commission. This schedule included K through 12 and the school district central office in one schedule. In March of 2003 the Commission once again approved a revision of the entire schedule. The 174 school districts in the Commonwealth produce an overwhelming amount of paper records. We continue to work with school districts providing records management training and direct service. This is another revision of that schedule. With these changes and additions this latest revision is complete, except for the editing of all the existing record series. The editing process is needed because of the new schedule format. The retention and disposition of each record series will not change, except for those approved by the Commission. The Public School District Records Retention Schedule will have a new issue date of July 2, 2012.

This is a complete revision of this agency's records retention schedule.

Current schedule date: March 13, 2003
Proposed schedule date: July 2, 2012

Carlton presented this revised schedule.

Smith made a motion to approve the revised schedule, seconded by Giesler. The vote by members and representatives present was unanimous.

CHANGES TO CURRENT SCHEDULES
Court of Justice – Administrative Office of the Courts

Cundy was the Records Analyst working on these schedule deletions. **Deletions from the Schedule:** Series 03483, Court Designated Workers' Diversion Agreement Log (Local Office Copy); Series 03484, Court Designated Workers' Log (Local Office Copy);

Series 03485, Statistical Report File (Local Office Copy); Series 03487, Court Designated Workers' Log (Central Office Copy); and Series 03488, Court Designated Workers' Statistical Report File (Central Office Copy)

The Administrative Office of the Courts (AOC) is the operational arm of Kentucky's Judicial Branch of government. The AOC supports court facilities and programs in all 120 counties, with its main campus in Frankfort. The AOC was established in 1976 as a result of the Judicial Article, which created Kentucky's unified court system and made the chief justice head of the state court system, also known as the Kentucky Court of Justice. The AOC carries out duties that are mandated by the Kentucky Constitution, including administering the Judicial Branch budget, building and maintaining court facilities, maintaining court statistics through a statewide case management database, administering personnel policies and payroll for court personnel, and providing educational programs for judges, circuit court clerks and support staff.

Cundy presented these schedule deletions.

Belding made a motion to approve these schedule deletions, seconded by Birdwhistell. The vote by members and representatives present was unanimous.

Public Protection Cabinet – Crime Victims Compensation Board

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06335, Recovery Files.

The Crime Victims Compensation Board was enacted in 1974 and created in 1976 by the General Assembly, 1976 Acts, Chapter 263, Section 2. The mission of the Crime Victims Compensation Board is to ensure an impartial and fair review of all claims, compensating innocent victims of criminally injurious conduct for financial losses incurred due to the physical and psychological injury or death resulting from a violent crime. The Crime Victims Compensation Board is governed by KRS Chapters 346, 216B.400 and KAR Title 107.

Compton presented this schedule addition.

Smith made a motion to approve this schedule addition, seconded by Belding. The vote by members and representatives present was unanimous.

Cabinet for Health and Family Services – Department for Public Health

Compton was the Records Analyst working on this revised schedule. **Deletions from the Schedule:** Administrative and Financial Management Branch: Series 857, Quarterly Services Report Tabulation for County; Series 885, Bureau for Health Services Geriatrics Survey Data; Series 861, Statistical Report from Comprehensive Care Center; Series 865, Operating and Procedural Guidelines; Series 875, County Board of Health Recommendations for Board Appointments; Series 854, Budget Worksheet and Program Minutes for Local Health Departments; Series 856, Financial Reports from Comprehensive Care Centers; Series 880, Federal Grant Material; Series 886, State Plans on Aging; and Series 858, Medical/Patient Services Report – Formerly Patient Services Reporting System. Laboratory Services Division: Series 04090, Staphylococcal Culture for Phage Typing Findings; Series 04100, Request for Toxicology Analysis File; Series 04101, Toxicology Evidence Receiving Record; Series 04107, Isolation Data Record; Series 04115, Work Logs; Series 04093, Inventory Cost File; Series 04088, Serologist's Report File; Series 04089, Results of Serology Evaluation Form; Series 04091, Application for Approval of Laboratory File; Series 04102, Laboratory Information Management System (LIMS); and Series 04104, Newborn Screening Automated System (NSAS). **Revisions to the Schedule:** Administrative and Financial Management Branch: *Staff made administrative changes to two (2) series without changing retention or disposition:* Series 06353, Legal File on Creation of County Health Departments (formerly series 871); and Series 06354, County Board of Health Appointment Letters (formerly series 872). Laboratory Services Division: *Changes in retention:* Series 04103, Chlamydia and Gonorrhea Reports, from "Retain in Agency twenty one (21) years, then destroy" to "Retain in Agency two (2) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is five (5) years." *Closed Series:* Series 04094, Inventory Card File; Series 04097, RH and Antibody Record Card; Series 04098, Reagent Red Blood Cells Resolve Panel A Antigram Antigen Profile; *Staff also made administrative changes to nineteen (19) series without changing retention or disposition:* Series 04036, Specimen Test Result Report; Series 04039, Specimen Submission File; Series 04087, Checklist for Quality Control of Bacteriology Media; Series 04092, Agglutinations and Related Test Results; Series 04095, Monthly Report of Alcohol Used; Series 04105, Newborn Screening Reports; Series 04106, Complement Fixation (CF) Serology Control Record; Series 04108, Calibration of Instruments Record (LIMS and NSAS printouts); Series 04109, Newborn Screening Test Report; Series 04110, Unsatisfactory Newborn Screening Recalls Completed, Not Received File; Series 04111, Newborn Screening Worklist; Series 04112, Specimen Log Book (Neonatal Patients); Series 04113, Sample Collection Data and Analysis Report; Series 04114, Chain of Custody Record (Water Samples); Series 04116, Laboratory Record Card; Series 04117, Positive Tuberculosis Culture Record; Series 04118, Water

Chemical Analysis Submission File; Series 04148, Daily Patient Audit Control File; and Series 05487, Bacteria Testing File – Milk and Water.

The Department for Public Health, within the Cabinet for Health and Family Services, is the sole organizational unit of Kentucky's state government responsible for developing and operating all public health programs and activities for the citizens of Kentucky. These activities include health service programs for the prevention, detection, care, and treatment of physical disability, illness and disease. The Department contains seven divisions: Administrative and Financial Management; Epidemiology and Health Planning; Laboratory Services; Maternal and Child Health; Prevention and Quality Improvement; Public Health Protection and Safety; and Women's Health. There are twenty-five (25) branches and numerous programs under the Department. The Department is authorized under KRS 194A.030. It is headed by a Commissioner for Public Health, who is appointed by the Cabinet Secretary with the approval of the Governor. The Commissioner for Public Health is a duly licensed physician who by experience and training in administration and management is qualified to perform the duties of this office. The Commissioner advises the head of each major organizational unit. The commissioner also serves as Chief Medical Officer of the Commonwealth.

Compton presented these schedule deletions and revisions.

Belding made a motion to approve these schedule deletions and revisions, seconded by Schroeder. The vote by members and representatives present was unanimous.

State University Model

Cundy was the Records Analyst working on these schedule changes. **Revisions to the Schedule:** Series U0483, Extra-Academic Program File, has been retitled from Extra-Academic Program Application File, the series has been updated to include all materials related to extra-academic programs, and the disposition has been changed from "Retain for five (5) years, then destroy. Retain application files of rejected applicants for one (1) year, then destroy," to "Retain for five (5) years, then destroy. Retain application files of rejected applicants for one (1) year, then destroy. Some materials may be considered publications (U0109) and should be retained permanently;" Series U1701, Dental Records – Adults, from "Destroy five (5) years after last date of service" to "Retain seven (7) years from the date of the patient's last treatment or two (2) years after the patient's death, whichever comes first, then destroy;" and Series U1702, Dental Records – Children, from "Destroy five (5) years after child reaches the age of majority," to "Retain seven (7) years after the patient's eighteenth (18) birthday or two (2) years after the patient's death, whichever comes first, then destroy."

The State University Model Records Retention Schedule covers records that are common among Kentucky's public university campuses and its Community and Technical College System.

Giesler made a motion to approve the schedule revisions, seconded by Smith. The vote by members and representatives present was unanimous.

The next item was **other business**. Onkst recognized Teague, who discussed the State Records Center consolidation project. KDLA staff members have been working with personnel from the Leased Facilities Branch and the Office of the State Budget Director to make sure the project is affordable. She thanked Brien Hoover and Glenna Goins for their help. Once the State Budget Director and the Finance and Administration Cabinet Secretary have approved the project, it will go before the Capital Projects and Bond Oversight Committee of the General Assembly. Eventually, the consolidation will result in significant cost savings for agencies. KDLA will be able to take in more records than it stores now and will be able to expand when necessary.

Onkst recognized Carlton, who talked about Local Records Grants. Carlton said that $1,321,000.00 had been distributed this fiscal year. Most of that money has gone to the County Clerks' Offices. This was also the first year in which more money had been given for electronic records projects than for security microfilm projects. Much of those funds went for backfile conversion of paper records to digital images. Because of the increase in money available for distribution, several grants funded certain types of projects, such as processing loose records, for which funds were not available previously.

Birdwhistell said that the University of Kentucky Libraries had been working with the Association of Southeast Research Libraries on creating a Center of Excellence for Works Progress Administration publications. On September 5, UK Libraries will present a program about the project at the William T. Young Library. David Ferriero, Archivist of the United States, will be giving the keynote address, followed by a panel discussion featuring William Creech of the National Archives and Sandra McAninch of UK.

There being no further business, Onkst adjourned the meeting at 10:50.