

STATE ARCHIVES AND RECORDS COMMISSION
Minutes of the Quarterly Meeting
September 11, 2014
Department for Libraries and Archives

The State Archives and Records Commission met at 10:00 a.m., September 11, 2014, 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; Mary Margaret Bell, representing Citizens-at-Large; Roger Hamperian, representing Citizens-at-Large; David Gregory, representing regional colleges and universities; Debra Batliner, representing local governments; Jeremy Rogers, representing Citizens-at-Large; and Dave Schroeder, representing the Kentucky Library Association.

Representatives present: Randy Justice, representing Thomas Zawacki, Secretary, Education and Workforce Development Cabinet; Amye Bensenhaver, representing Jack Conway, Attorney General; Brian Lykins, representing Adam H. Edelen, Auditor of Public Accounts; Glenna Goins, representing Jane Driskell, State Budget Director; Leslie Smith, representing Marcia Seiler, Acting Executive Director, Legislative Research Commission; and Glenn Thomas, representing Jim Fowler, Commissioner, Commonwealth Office of Technology.

Members not present or represented: John D. Minton, Jr., Chief Justice, Supreme Court; and Louise Jones, representing the Kentucky Historical Society.

Public Records Division staff present: Jerry Carlton, Manager, Local Records Branch; Jim Cundy, Manager, State Records Branch; Glen McAninch, Manager, Technology Analysis and Support Branch; Pam Compton, Records Analyst; Jackie Arnold, Regional Administrator.

Guests Present: Commander Michelle Remark and Assistant Chief Ron Compton, Lexington/Fayette Urban County Division of Police; Alaina Myers, Personnel Cabinet; Lisa Lang, Department of Education; and Lawrence Trageser, Taylorsville.

Onkst called for introductions by those present.

Lykins made a motion to accept the minutes of the previous Commission meeting, seconded by Bell. The vote by members and representatives present was unanimous.

RECORDS RETENTION SCHEDULES

Department of Education

Cundy was the Records Analyst working on the Schedule addition. **Addition to the Schedule:** Series 06506, Kentucky Board of Education Minutes and Meeting Materials.

The structure of the Department of Education was significantly changed in 1990 with enactment of HB 814 and HB 940. The Workforce Development Cabinet was created in HB 814, which required the Department to transfer to the new cabinet the State Board of Adult Vocational Education and Vocational Rehabilitation; Office of Vocational Rehabilitation; and Adult Basic Education programs. HB 940, the Kentucky Education Reform Act of 1990 (KERA), was enacted in response to a 1989 Kentucky Supreme Court decision that held Kentucky's system of common schools to be unconstitutional. KERA provided that positions in the Department of Education were to be abolished, that all employees were to be terminated at the close of business June 30, 1991, and directed the new commissioner of Education to reorganize the Department with new positions, as of July 1, 1991. On June 28, 1991, the Commissioner issued Executive Order 91-DOE-01, which reorganized the Department of Education. The Kentucky Board of Education hires the Commissioner of the Department of Education, who serves as the chief state school officer. The Department was reorganized again December 16, 1998, pursuant to Executive Order 98-1671 and again July 19, 2010 with an Executive Order from the Governor to come later. The current organizational structure is as follows: Office of the Commissioner; Office of Guiding Support Services and General Counsel; Office of Administration and Support; Office of Knowledge, Information and Data Services; Office of Next-Generation Schools and Districts; Office of Assessment and Accountability; and Office of Next-Generation Learners.

Cundy said that this Series would allow the Board of Education to store the record copy of the meeting minutes permanently at the State Archives without maintaining a copy in the Agency. This will allow the Department of Education to save storage space. It will also allow the Agency to be in compliance with its Records Retention Schedule, as Series M0008, Minutes of Meetings, on the General Schedule for State Agencies, requires agencies to maintain a copy of its minutes in addition to sending one to the Public Records Division.

In response to a question by Rogers, Cundy said that the retention of Series M0008, Minutes of Meetings, on the General Schedule for State Agencies is permanent.

In response to a question by Bensenhaver, Lang said that this would not delay responses to requests for information any more than storing them in an offsite facility, which is currently being done.

In response to a question by Lykins, Lang said that the State Archives would provide a safer, more easily accessible location for these records than their current facility.

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

Personnel Cabinet

Cundy was the Records Analyst working on the Schedule addition and revisions. **Addition to the Schedule:** Series 06521, Notifications of Change. **Revisions to the Schedule:** Series 03547, Employee Deferred Compensation Participant File, from "Destroy and/or purge eight (8) years after payout of all benefits and audit," to "Retain until twenty-five (25) years after death of participant, then destroy;" and Series 04266, Applicant Register Folder, from "Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active, destroy after three (3) years," to "Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active, destroy after five (5) years." *Staff also made administrative changes to one series without changing retention or disposition:* Series 06080, Payroll Reports.

During the First Extraordinary Session of the 1956 Kentucky General Assembly, the Division of Personnel of the Department of Finance was abolished and the Department of Personnel was created. It was headed by a Commissioner appointed by the Governor. Chief among its responsibilities then, as now, was the certification of applicants for state jobs. Approximately four years later, a uniform Merit System for the Executive Department was created. On December 13, 1995, Executive Order 95-19 elevated the Department of Personnel to cabinet status and all powers and responsibilities of the Department of Personnel were transferred to the Personnel Cabinet. Upon expiration of the order, Executive Order 96-909 was issued on July 11, 1996, to create the Personnel Cabinet and this was confirmed by 1998 SB 139. Currently, the Personnel Cabinet is organized as follows: Office of the Secretary; Office of Administrative Services; Office of Legal Services; Office of Employee Relations; Office of Diversity and Equality; Office of Governmental Services; Center of Strategic Innovation; Ky Public Employees Deferred Compensation; Department of Human Resources Administration; and the Department of Employee Insurance.

Cundy presented the Schedule addition and revisions.

Rogers made a motion to approve the Schedule additions and revisions, seconded by Dr. Schroeder. The vote by members and representatives present was unanimous.

Lexington/Fayette Urban County Government

Arnold was the Records Analyst working on the Schedule revisions. **Revisions to the Schedule:** Police: Series L4905, Formal Complaints/Internal Investigation (IA) File, from "Destroy three (3) years after termination of employment;" to "Proposed retention: Destroy five (5) years after termination of employment." *Staff also made administrative changes to one Series without changing retention or disposition: Series L4906, Informal Complaints Investigation File.*

The Lexington/Fayette Urban County Government (LFUCG) Records Retention Schedule was approved by the Archives and Records Commission in 2004. The police department section of this schedule was completed first in 1999 and incorporated into the LFUCG retention schedule in 2004. The LFUCG retention schedule includes all departments and agencies within merged government.

Arnold said that formal and informal complaints are clearly defined with these two series, and that there would be no difference in retention between substantiated and unsubstantiated formal complaints.

Trageser asked that disciplinary actions be maintained as part of Series L5034, Personnel File, for sixty years from date of hire rather than the current five years after termination or separation of employment.

Rogers said that the proposed changes that were before the Commission were acceptable and that Trageser was addressing a different, broader matter. That matter essentially involved the hiring practices of local police departments, over which the Commission has no authority. There are other records, such as criminal case files, that document many of these offenses and have a permanent retention period.

Bensenhaver said that, while police departments should be vigilant in screening applicants, there is limited opportunity for effective screening if the records documenting past offenses no longer exist.

Carlton said he would look at the retention of disciplinary files and bring a recommendation back to the Commission.

In response to a question by Lykins, Carlton said that applications were retained longer than disciplinary actions because the applications contain more information about the employee, which serves as verification of employment for retirement purposes. Lykins said he would like to have the records available to document matters a potential employee may be reluctant to disclose.

Rogers made a motion to approve the Schedule revisions, seconded by Lykins. The vote by members and representatives present was unanimous.

Transportation Cabinet – Office for Civil Rights and Small Business Development

Cundy was the Records Analyst working on the new Schedule. **Addition to the Schedule:** Series 06510, Disadvantaged Business Enterprise Files

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

This is a new Schedule for this agency.

Schedule date: September 11, 2014

Cundy said that the Advisory Committee suggested that KRS 61.878(1)(c)(1) would be an appropriate access restriction for business records included in this Series.

Belding made a motion to approve the new Schedule, seconded by Rogers. The vote by members and representatives present was unanimous.

Environmental Education Council

Cundy was the Records Analyst working on the revised Schedule. **Additions to the Schedule:** Series 06518, Certification Status Verification File; Series 06519, Continuing Education Submission File; and Series 06520, Accreditation File.

The Kentucky Environmental Education Council (EEC) was established in 1990 to improve Kentuckians' understanding of their environment. Although its major focus is primary and secondary education, the Council also works with colleges and universities, businesses, local governments, private organizations and citizens; in fact, anyone who wishes to help themselves or their students better understand our relationship to the

natural world. EEC's goal is to provide citizens with the knowledge they need to make their own informed decisions about their environment. EEC coordinates environmental education in the Commonwealth in several ways: It helps maintain a searchable website and calendar for both teachers and the general public. It provides links to valuable state and national environmental education web sites. It creates instructional materials that are Kentucky specific and aligned to the state standards. It plans and help implement professional development for nonformal environmental educators, including a certification program. It oversees an interactive website (www.greenschools.ky.gov) that students and faculty can use to assess the health and sustainability of their school environments. It monitors the environmental knowledge and attitudes of Kentucky's citizens. EEC operates under KRS 157.900 through 157.915. The nine Council members are appointed by the Governor to serve four-year terms. The Council meets quarterly. Members serve entirely as volunteers. By statute, membership on the Council must represent four constituencies: businesses and industry, the environment, education and government.

This is a complete revision of this records retention schedule.

Current schedule date: June 8, 2006

Proposed schedule date: September 11, 2014

Cundy presented this revised schedule.

Rogers made a motion to approve the revised Schedule, seconded by Bell. The vote by members and representatives present was unanimous.

Cabinet for Health and Family Services – Department for Community Based Services

Ms. Compton was the Records Analyst working on the Schedule addition. **Addition to the Schedule:** Series 06515, Bellewood Presbyterian Home for Children Records.

The Department for Community Based Services (DCBS) was formed in 1998 within the Cabinet for Families and Children by KRS 194.030 to give local offices more decision-making authority and the ability to collaborate more effectively with other community service providers. The Cabinet for Families and Children and the Cabinet for Health Services were consolidated in 2004. The Department provides family support; child care; child and adult protection; eligibility determinations for Medicaid and food stamps; and administration of an energy cost assistance program. The Department administers the state foster care and adoption systems and recruits and trains parents to care for the state's children who are waiting for a permanent home. With offices in every county, DCBS provides services and programs to enhance the self sufficiency of

families; improve safety and permanency for children and vulnerable adults; and, engage families and community partners in a collaborative decision-making process.

In response to a question by Rogers, Ms. Compton said that, because Bellewood has operated on a contractual basis with the Department for Community Based Services since 1970, the Home has maintained its own records since then. These records are no longer produced by the Department for Community Based Services.

Bensenhaver suggested that KRS 61.878(1)(a) would be a valid access restriction on these records. Compton said she would add it.

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

Justice and Public Safety Cabinet – Department of Corrections

Ms. Compton was the Records Analyst working on the Schedule addition. **Addition to the Schedule:** Series 06511, Prison Rape Elimination Act (PREA) Aggregated Collected Sexual Abuse Report.

The Department of Corrections (DOC) is governed by KRS Chapters 196 and 197. DOC is responsible for managing the daily operations of the state correctional institutions, private prisons, and a variety of community based services; providing secure, humane incarceration for felony offenders; supervising probation and parole; and offering an opportunity for offenders to acquire skills that facilitate non-criminal behavior. The Department of Corrections consists of the following Divisions: The Department of Corrections consists of the following Divisions: **Division of Personnel Services** – provides human resources administration; **Division of Administrative Services** – provides administrative support in areas of budgeting, accounting, purchasing, facilities management, inventory, research, planning, central offender records and personnel management; **Division of Probation and Parole** – provides investigative services to the courts and Parole Board, rehabilitation services to offenders, and assistance in employment and home placement. Various duties include court appearances and testimony, reports to the releasing authorities, home visits, drug and alcohol testing, transportation of prisoners, referral of offenders to appropriate resources, and monitoring payment of fees, restitution and community service work. The Division of Probation and Parole is also responsible for the administration of the Interstate Compact which transfers cases between states, the placement office which assists incarcerated offenders with proper home placements, and the processing of Civil Rights Restoration requests submitted by ex-offenders; **Division for Local Facilities** – responsible for jail inspections, jail standards review and enforcement regulations, technical assistance to local governments, approval of construction plans, and the community residential program; **Department of Correctional Industries** –

responsible for operating all correctional industry programs, providing inmates with a realistic work experience and teaching marketable skills, which will improve their chances for securing gainful employment upon release, thus reducing recidivism and lowering the Commonwealth's resource commitment for maintaining the prison system; **Office of Victim Services** – responsible for assisting victims and survivors throughout the duration of the offender's incarceration and supervision; provide essential, victim-related services including: explanation of inmate release dates and release type, restitution information, awareness training for criminal justice and other victim service professionals, referrals, and victims' rights services.

Ms. Compton presented the Schedule addition.

Bell made a motion to approve the Schedule addition, seconded by Schroeder. The vote by members and representatives present was unanimous.

Public Protection Cabinet – Department of Insurance

Ms. Compton was the Records Analyst working on the Schedule additions, deletions and revisions. **Additions to the Schedule:** Series 06506, Network Adequacy and Accessibility File (Managed Health Care Plans); and Series 06508, Service Warranty Files (Insurers Financial Solvency Files). **Deletions from the Schedule:** Series 03426, Annual Statements of Foreign Insurance Companies; Series 03427, Foreign Supplemental Filings; Series 03429, Foreign Company Examination Report; Series 03570, Inter-Account Bill; Series 03571, Central Stores Order/Voucher; Series 03577, Supplemental Payroll Voucher; Series 03578, Uniform Personnel/Payroll System Reports – Audited; Series 03580, Payroll Deduction Report 151; Series 03581, Federal, State, City Withholding-Quarterly Report; Series 03582, Bond Requisition Register ; Series 03706, Request and Authorization for Refund; Series 03707, Imprest Cash File; Series 03708, Finance Closing Package; Series 03709, Outstanding Encumbrance Report; Series 03711, Expenditure Reports; and Series 05418, Office of Insurance Integrated Information Management System. **Revisions to the Schedule:** *Staff made administrative changes to ten (10) series without changing retention or disposition:* Series 03428, Domestic Company Examination Report; Series 03430, Examination Work Papers; Series 03431, Charter File – Domestic Insurance Company; Series 03432, Advisory Organization Registration File; Series 03433, Certificate of Authority; Series 03434, Deposits of Securities; Series 03435, Card File on Mergers and Withdrawals; Series 03567, General Correspondence; Series 03589, Billings of Examiner's to Insurance Companies; and Series 03710, Printing Order.

The Bureau of Insurance was established in the Office of Auditor of Public Accounts in 1870. The Auditor appointed the Insurance Commissioner. The Department of Insurance became a separate administrative department of state government in 1934 and the Governor appointed the Commissioner. In 1936, the Department became a

division of the Department of Business Regulation. It became a department again when the Division of Insurance was removed from the Department of Business Regulation in 1950. In 2004, the Department of Insurance was renamed the Office of Insurance and was made a part of the Environmental and Public Protection Cabinet. In 2008, the Office again became the Department of Insurance and was placed under the Public Protection Cabinet. The Commissioner is appointed by the Cabinet Secretary. The duties of the Department include: administering Kentucky's insurance laws, regulating the conduct of insurance business, licensing agents and other company representatives, administering insurance taxes, licensing insurance adjusters, enforcing the insurance code, making regulations based on the Department's interpretation of the code, disapproving companies that engage in illegal or unethical insurance practices, and, periodically examining all insurance companies doing business in Kentucky, to determine their solvency. The Department is comprised of the following: Administrative Services Division; Consumer Protection Division; Health and Life Division; Financial Standards and Examinations Division; Insurance Fraud Investigation Division; Division of Legal Services; Agent Licensing Division; Property and Casualty Division; and Market Conduct Regulation Section.

Ms. Compton said that, at the suggestion of the Advisory Committee, the titles of Series 06506, Network Adequacy and Accessibility File; and Series 06508, Service Warranty Files, had been changed to Network Adequacy and Accessibility File (Managed Health Care Plans), and Service Warranty Files (Insurers Financial Solvency Files) respectively.

Smith made a motion to approve the Schedule additions, deletions and revisions, seconded by Belding. The vote by members and representatives present was unanimous.

Local Government General Records Retention Schedule

Arnold was the Records Analyst working on the Schedule addition. **Addition to the Schedule:** Series L6679, Personnel Driving Records Check.

The Local Government General Records Retention Schedule was created in 1999 and has been updated periodically since that time. This schedule lists those record series that may be found throughout local government agencies. Local governments in Kentucky include, but are not limited to, all 120 counties and their many offices, over 400 incorporated cities, 173 school districts, 15 Area Development Districts and at least 2000 Special Purpose Government Entities.

In response to a question by Rogers, Arnold said he was not sure whether these are done annually by every local governmental entity. He had created the record series for Louisville/Jefferson County Metro Government and felt it would be appropriate for the Local Government General Records Retention Schedule.

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

Local Health Departments

Carlton was the Records Analyst working on the Schedule revision. **Revisions to the Schedule:** Series L2135 Vaccine Activity Worksheet & Order Record, from "Retain one (1) year, then destroy," to "Retain three (3) years, then destroy."

The present Local Health Department Records Retention Schedule was completely revised and approved June 13, 2013. The Department of Public Health of the Kentucky Cabinet for Health and Family Services is the supervising state agency for all Local Health Departments.

Carlton said that the Schedule revision came because of recommendations by the Centers for Disease Control.

Rogers made a motion to approve the Schedule revision, seconded by Lykins. The vote by members and representatives present was unanimous.

Louisville/Jefferson County Metro Government

Arnold was the Records Analyst working on the Schedule additions. **Additions to the schedule:** Risk Management: Series L6680, Personnel Driving Records Check; Series L6681, Insurance Policy File (Property and Casualty); Series L6682, Performance Bonds (Public Officials); and Series L6683, Worker's Compensation Self-Insured Files. Metro Police: Series L6684, False Alarm Citations (Burglary and Hold-Up).

Louisville and Jefferson County merged into the Louisville/Jefferson County Metro Government January 2003. This took place after special legislation was passed whereby a county with a first class city could merge into one government. A referendum was on the ballot in 2001 and was passed by voters in Jefferson County. Under the new government some of the existing incorporated municipalities joined the new merged government.

Arnold said that, in Series L6681, Insurance Policy File (Property and Casualty) the retention of casualty/liability policy documentation for nineteen (19) years after cancellation of policy, resulted from the fact that an infant would have until one year after its eighteenth birthday to file suit.

Rogers made a motion to approve the Schedule additions, seconded by Belding. The vote by members and representatives present was unanimous.

Department for Public Health – Division for Maternal and Child Health

Ms. Compton was the Records Analyst working on the Schedule addition. **Addition to the Schedule:** Series 06507, Governor's Office of Wellness and Physical Activity Program Records

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.

Ms. Compton presented the Schedule addition.

Rogers made a motion to approve the Schedule addition, seconded by Schroeder. The vote by members and representatives present was unanimous.

State University Model

Cundy was the Records Analyst working on the Schedule additions, deletion and revisions. **Additions to the Schedule:** Series U0653, Promotion/Tenure File; and Series U1501, Student Financial Aid Program Records. **Deletion from the Schedule:** Series U0466, Work Study Payroll Files. **Revisions to the Schedule:** Series U0113, Reports - Periodic Activity, from "Destroy when annual or summary reports are accepted, and when no longer useful to the creating unit. Retain permanently if annual or summary reports are not created," to "Destroy when annual or summary reports are accepted, and when no longer useful to the creating unit. Retain permanently if annual or summary reports are not created. Retain Federal Disclosure Forms until three (3) years from date of required disclosure and end of award year (if appropriate), then destroy;" Series U0422, Disciplinary Warning/Action File (*Previously titled Disciplinary Action File*), from "Retain files documenting academic-integrity-code-violation (with sanctions) or other dismissal/expulsion permanently. Retain other files until five (5)

years after graduation or last date of attendance or until five (5) years after all sanctions have been met, whichever is longer, then destroy;" to "Retain files documenting academic-integrity-code-violation (with sanctions) or other dismissal/expulsion permanently. Retain other files until three (3) years after graduation or last date of attendance or until three (3) years after all sanctions have been met, whichever is longer, then destroy;" Series U0430, International Student File from "Destroy five (5) years after graduation or last date of attendance, then destroy;" to "Retain until five (5) years after graduation or last date of attendance, then destroy. Retain incomplete applications and records of students who do not enroll until one (1) year after application term, then destroy;" Series U0435, Graduation Lists, from "Transfer one copy of each list to the University Archives for permanent retention. Destroy excess copies when no longer needed administratively;" to "Transfer one copy of each list to the University Archives for permanent retention. At some universities, these may also be retained in the Registrar's Office. Destroy excess copies when no longer needed administratively;" Series U0459, Transcript Request File, from "Destroy one year after date submitted," to "Retain until one (1) year after date submitted, then destroy. If a hold or encumbrance has been authorized for the transcript, retain the authorization for the hold until one (1) year after the hold is released, then destroy;" Series U0647, Periodic Payroll Reports (Includes Time Sheets/Time Cards), from "Retain record copies of tax reports for four (4) years, then destroy. Retain record copies of all other reports for three (3) years, then destroy. Destroy department or unit copy when no longer useful;" to "Retain record copies of tax reports for four (4) years, then destroy. Retain timesheets of Federal Work Study students until three (3) years after the student leaves the university, then destroy. Retain record copies of all other reports for three (3) years, then destroy. Destroy department or unit copy when no longer useful;" Series U1500, Student Financial Aid Documentation File (*Currently titled Student Loan Documentation File*), from "Destroy three (3) years after repayment, cancellation, or assignment to the Federal Department of Education. NOTE: The Promissory note should be returned to student upon repayment;" to "Retain until three (3) years after repayment, cancellation, or assignment to the U. S. Department of Education, then destroy. The Promissory note should be returned to student upon repayment. If the retention period ends before the SFA program review, audit or investigation is completed, relevant records must be retained until completion. Schools must adhere to the record retention requirements upon their closing, change of ownership, termination or suspension from participation in the SFA programs." *Staff also made administrative changes to ten (10) series without changing retention or disposition:* Series U0109, Publications; Series U0112, Reports - Annual or Summary; Series U0400, Academic Action Authorization File; Series U0401, Student Academic Performance File; Series U0406, Applications for Admission or Readmission File; Series U0411, Class Schedules - Student/Faculty Copies (*Currently titled Class Schedules – Faculty Copy*); Series U0414, Course Change/Repeat File (*Currently titled Course Change File [Add/Drop]*); Series U0431, Grade Information File - (Individual colleges, study areas); Series U0432, Final Grade Submission Reports (*Currently titled Grade*

Sheets); Series U0468, Personnel Records - Students (College/Department Copy); Series U0478, Appeals File – Students (*Currently titled Non-Academic Appeals File – Students*)

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. This is part of the ongoing effort to revise the State University Model Records Retention Schedule.

Cundy said that most of these revisions result from recommendations by the American Association of Collegiate Registrars and Admissions Officers.

In response to a question by Thomas, Cundy said that a records of a student's individual financial aid package and payments would be maintained for at least as long as the student is enrolled at the university.

In response to a question by Rogers, Cundy said that, while different departments or colleges within a university may have different tenure processes, Series U0653, Promotion/Tenure File, would allow for uniform retention of relevant files across departments.

Gregory made a motion to approve the Schedule additions, deletions and revisions, seconded by Hamperian. The vote by members and representatives present was unanimous.

The next item was **Guidelines for Responding to Open Records Requests for Public Records in a Database**. McAninch said that the Electronic Records Working Group, an advisory body to the Commission, had recently approved these revised guidelines. It was also reviewed by Records Officers and General Counsels at state agencies.

Rogers suggested that the guidelines include guidance to help agencies charge requestors appropriately when providing electronic records in response to open records requests.

Birdwhistell made a motion that the Commission endorse the revised *Guidelines for Responding to Open Records Requests for Public Records in a Database*, seconded by Belding. The vote by members and representatives present was unanimous.

The next item was **other business**. Cundy said that the State Records Center (SRC) move was going well. PRD had completely moved out of the warehouse space at the Buffalo Trace Distillery by June 25, 2014. He thanked staff at PRD and crews at KCI who had been so effective in moving out of the Distillery and into the new building at

1425 Leestown Road. The move out of Buffalo Trace had taken less than two months. Cundy said that the move out of the 851 East Main Street facility had begun in August after a roof leak at that building, which necessitated the transfer of over 300 boxes immediately to Leestown Road. Of those, the contents of seventy-five boxes were sent to Belfor for conservation. The contents of twenty-five boxes had been removed and dried by staff. The contents of nearly two-hundred boxes had been re-boxed. SRC staff began moving out of 851 East Main Street around August 13, 2014 and had moved between 10,000-15,000 boxes to date. The move should be completed at some point in November.

Carlton said that Local Records Grants were now being distributed twice-a-year in January and June. This includes money from both the General Fund Account and the County Fee Account. Most recently, over \$530,000 was given to local agencies. Much of this was for salary support. These grants are given in June because salary grants can only be active for one year and are set up to run concurrently with the fiscal year (July 1 through June 30). Other grants went toward such activities as backfile conversion and arrangement and description of unbound records in County Clerks' Offices.

Onkst said that, at the 2014 Joint Meeting of the Society of American Archivists (SAA), the Council of State Archivists (CoSA) and the National Association of Government Archives and Records Administrators (NAGARA), Beth Shields had received SAA's Emerging Leader Award. She received the award for her work at PRD and her work with the CoSA as Steering Committee Co-Chair of the State Electronic Records Initiative.

Onkst said that PRD is advertising the position of Records Analyst in the State Records Branch.

Cundy said that Ms. Compton had been looking into GPS data maintained by state agencies. There are various vendors with different systems that have different capacities for retaining information and the amount of information that is created. In some instances, the information is collected and maintained solely by the vendor, with agencies only accessing on an as-needed basis. Lykins said that the owner of the information should be made clear in the contract with the vendor. Belding asked what factors agencies used in deciding how often to collect vehicle locations. Ms. Compton said the Department of Agriculture leaves it up to the vendor. In response to a question by Lykins, Cundy said that PRD did not have a complete list of agencies using GPS, but did have a large enough sample to give a good idea of what is being used. An entry will be created for the General Schedule for State Agencies to cover these records. Any feedback Commission members had would be appreciated.

There being no further business, Onkst adjourned the meeting at 11:40.