

STATE ARCHIVES AND RECORDS COMMISSION
Minutes of the Quarterly Meeting
December 12, 2013
Department for Libraries and Archives

The State Archives and Records Commission met at 10:00 a.m., December 12, 2013, 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; David Gregory, representing Regional Colleges and Universities; Louise Jones, representing the Kentucky Historical Society; Roger Hamperian, representing Citizens-at-Large; Mary Margaret Bell, representing Citizens-at-Large; and Debra Batliner, representing Local Governments.

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

Members not present or represented: John D. Minton, Jr., Chief Justice, Supreme Court; and Jeremy Rogers, representing Citizens-at-Large.

Public Records Division staff present: Barbara Teague, Director, Public Records Division; Jerry Carlton, Manager, Local Records Branch; Mark Stone, Manager, Micrographics and Digital Imaging Branch; Jim Cundy, Manager, State Records Branch; Glen McAninch, Manager, Technology Analysis and Support Branch; Pam Compton, Records Analyst; Mark Myers, Electronic Records Archivist; and Beth Shields, Electronic Records Specialist.

Guests Present: Larry Weese, Department for Community Based Services; Sheila Quijas, Office of Creative Services; Eugene Harrell, Kentucky State Treasury; Alaina Myers, Personnel Cabinet; Nancy Gibson, Frank Goins, and Robin Coombs, Department of Insurance.

Onkst called for introductions by those present.

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

Onkst welcomed new members Roger Hamperian, representing Citizens-at-Large; Mary Margaret Bell, representing Citizens-at-Large; and Debra Batliner, representing Local Governments. Jeremy Rogers, representing Citizens-at-Large, was unable to attend. Richard Belding, representing Citizens-at-Large; and Terry Birdwhistell, representing the University of Kentucky, have been reappointed to four-year terms.

Onkst recognized Cundy, who presented "Setting Retention Periods for Public Records: An Overview." The presentation reviewed the various responsibilities of the Commission, public agencies, and the Public Records Division; the process of developing retention schedules for the Commission members' review; advisory bodies to the Commission; and the materials that are distributed at each meeting (Agency Function and Records Summaries; draft Retention Schedules; Description and Analysis Forms; and System Descriptions).

RECORDS RETENTION SCHEDULES

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

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06483, Background Investigations.

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.

Compton presented the schedule addition.

Lile made a motion to approve the schedule addition, seconded by Lykins. The vote by members and representatives present was unanimous.

Tourism, Arts and Heritage Cabinet – Office of Creative Services

Compton was the Records Analyst working on this revised schedule. **Revisions to the Schedule:** *Staff made administrative changes to the four (4) series on the Retention*

Schedule without changing retention or disposition: Series 03808, Photography File; Series 03809, Events Report; Series 03934, Original Art Work File; and Series 03935, Audio/Video Recordings.

The Office of Creative Services is an agency in Tourism, Arts and Heritage Cabinet and is governed by KRS 148.522. The agency was created in 1984. An Executive Director is appointed by the Secretary of the Cabinet. The Office specializes in video production, photography, graphic design and sound services for state agencies. It is partially funded by General Funds but derives a significant portion from fees collected for work performed. The agency is divided into four sections: Photography, Video, Graphic Design and Sound.

This is a new records retention schedule for this agency.

Current schedule date: December 13, 1990

Proposed schedule date: December 12, 2013

In response to a question by Bensenhaver, Quijas said that the Office does not retain the master copy of Series 03935, Audio/Video Recordings. Bensenhaver asked about the Function and Use, which stated that "The Office of Creative Services maintains master backups in the event a client agency needs to update or revise production." Quijas said they only maintain master copies for the Governor's Office. Bensenhaver suggested the verbiage be changed to reflect that. Cundy said that would be done.

Bensenhaver made a motion to approve the revised schedule with the change to the Function and Use of Series 03935, Audio/Video Recordings, from "The Office of Creative Services maintains master backups in the event a client agency needs to update or revise production," to "The Office of Creative Services retains master backups of recordings created for the Governor's Office in case the need arises to update or revise the production," seconded by Belding. The vote by members and representatives present was unanimous.

Public Protection Cabinet – Department of Insurance

Compton was the Records Analyst working on these schedule revisions. **Additions to the Schedule:** Series 06466, Risk Purchasing Group Registration File; Series 06467, Exempt Entity Registrations File; Series 06468, Charitable Health Care Reimbursement; Series 06469, Medical Malpractice Data Review File; Series 06470, Mine Subsidence Quarterly Reports (Premium Payments); Series 06471, Mine Subsidence Reinsurance Agreements; Series 06472, Mine Subsidence Premium Review; and Series 06484, Mine Subsidence Claim File. **Deletions from the Schedule:** Series 03126, Bureau Files; Series 03127, Company Filings; Series 03128, Surplus Lines Filings; Series 03132, No-Fault Rejection Database; Series 03618, Local Government Tax System; and Series 04122, Closed Claim File – Bodily Injury. **Revisions to the Schedule:** Series 03130,

Property and Casualty Rate, Rule and Form Filings, from five (5) years to twenty-five (25) years; Series 03133, No-Fault Verification Request, from permanent to five (5) years from date of response; Series 03136, Settlements and/or Judgments Rendered Against Health Providers, from permanent to ten (10) years. *Staff also made administrative changes to twelve (12) series without changing retention or disposition:* Series 03129, Surplus Lines Broker Affidavits and Quarterly Reports; Series 03131, No-Fault Rejection Form; Series 03134, Declaration of Compliance; Series 03137, Medical Malpractice Reports to Licensure Boards; Series 03138, General Correspondence; Series 03139, Consumer Information System Statistics Report; Series 03351, Local Government Tax Ordinances; Series 03352, Local Government Premium Tax Schedule; Series 03353, Kentucky Local Government Premium Tax Filings Report; Series 03357, Policyholder Service Complaint File; Series 03619, Detail Premium Tax Report by Company/City/County; and Series 04995, Surplus Lines Miscellaneous Correspondence.

Compton said that the retention period for Series 06484, Mine Subsidence Claim File, had originally been proposed as fifteen (15) years. The Archives and Records Management Advisory Committee had recommended that it have a permanent retention, which has been proposed to the Commission.

Teague said that Series 03138, General Correspondence, is an example of how a statutory requirement can override a retention period that may apply to a record. Routine correspondence generally has a retention period of "Retain no longer than two (2) years," and is usually covered by Series M0002, Routine Correspondence, on the General Schedule for State Agencies. KRS 304.2-150(4) requires that Department records be maintained for at least five (5) years, so the series was scheduled separately on the Department's agency-specific schedule.

In response to a question by Lykins, Compton said that Series 03126, Bureau Files, and Series 03127, Company Filings, are still being maintained by the Department of Insurance, but they are now covered by Series 03130, Provider Files.

Justice asked about the proposed ten-year retention of Series 03136, Settlements and/or Judgments Rendered Against Health Providers. A judgment is valid for fifteen years if it is entered by a court, and can be extended for another fifteen years. Compton said that these are copies of judgments against private insurance companies, and will be maintained by the Court of record.

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

Personnel Cabinet

Cundy was the Records Analyst working on these schedule revisions. **Revisions to the Schedule:** Series 04423, Flexible Benefits Program File, from five (5) years or audit, to six (6) years or audit; Series 04893, KEHP Health Insurance and Flexible Spending Account Enrollment Application, from three (3) years after termination of eligibility to six (6) years after termination of eligibility; and Series 04894, Kentucky Employees' Health Plan Files, from five (5) years after termination of contract and audit to six (6) years after termination of contract and audit.

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 these schedule revisions.

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

State Treasury

Compton was the Records Analyst working on this revised schedule. **Addition to the Schedule:** Series 06479, Kentucky State Treasury Website. **Deletions from the Schedule:** Series 03500, United States Savings Bond Requisitions and Register; Series 03502, State Withholding Payments Report; Series 03503, Monthly Accounting System; Series 03504, Pay-In Voucher; Series 03505, Journal Voucher; Series 03506, Warrant on the State Treasurer; Series 03508, Treasurer's Daily Statement; Series 03510, Monthly Detail Statement of Receipts and Disbursements; Series 03511, Check Rejected List; Series 03512, Monthly Trial Balance of Receipts and Disbursements; Series 03517, Investment/Security Portfolio; Series 03518, Reconciliation Investment Portfolio Ledger; Series 03519, Maturity List; Series 03520, Investments Card File; Series 03521, Payroll Tax Withholdings System; Series 03522, Check Disbursement System; Series 03523, Investment/Securities System; Series 03524, Voucher Listing and Purchase Order

Authorization; Series 03525, Commonwealth of Kentucky Checks – Cancelled; Series 03526, General Check Register; Series 03527, Payroll Register or Electronic Fund Transfer Register; Series 03528, Daily Warrants Paid Register; Series 03529, Index to Cancelled Checks; Series 03533, Outstanding Check List; Series 03535, Deposit Room Encoding Tape; Series 04061, Legal Salary Attachment System; Series 04517, Claims File – Paid; Series 04518, Claims File – Insufficient and Denied; and Series 04519, Unclaimed Properties Database. **Revisions to the Schedule:** Series 03499, Federal Withholding Tax Payment Report, from four (4) years to eight (8) years; Series 03507, Deposits Folder, from one (1) year to three (3) years; Series 03509, Monthly Reconciliation File, from one (1) year to three (3) years; Series 03516, Legal Salary Attachments on State Employees, from two (2) years after closure of file and audit to three (3) years after case closure and audit; Series 03534, Record of Wire Transfer, from one (1) year to three (3) years; Series 03536, Monthly Report of Deposits, from one (1) year and audit to three (3) years and audit; and Series 04516, Unclaimed Property Holder Report File, from “Destroy hard copy reports upon verification of entry into the Unclaimed Property Database (04519)” to permanent. *Staff also made administrative changes to five (5) series without changing retention or disposition:* Series 03501, City Occupational Tax Quarterly Payment Report; Series 03513, Stale-Dated Check File; Series 03514, Duplicate Check Requests File; Series 03515, Written-Off Check List and Series 04521, Newspaper Notice File.

The first Constitution of Kentucky (1792) provided for a Treasurer to be appointed annually by the General Assembly. The second Constitution (1799) added that the Governor could appoint the Treasurer while the General Assembly was in recess. The third Constitution (1850) called for the elections of the Treasurer for a term of two years. The current Constitution (1891) established a four-year term. KRS Chapter 41 outlines the State Treasury’s responsibilities and delineates methods for deposits, withdrawals and disbursements of state funds. The State Treasury is the chief clearinghouse for state government revenues. The agency records, verifies and pays all federal, state and local withholding taxes for state employees. It records, monitors, and reconciles all transactions in the state’s depository and checking accounts. The Kentucky State Treasury also performs the following functions: implements court ordered attachments against the salaries of state employees or moneys owed to state vendors; makes timely deposit of incoming revenues from state agencies; records, monitors and reconciles all transactions in the state's depository and checking accounts; makes all payments through various payment formats for all of the Commonwealth's obligations for all agencies, including Unemployment Insurance, Tax Refunds, and Employees' and Teachers' Retirement; provides all ancillary functions related to the payment process, including stop payments, forgery collections, and check cancellations for all state agencies; oversees and coordinates the electronic payment process for the Commonwealth for both incoming and outgoing payments; and serves as the central repository for all unclaimed and abandoned property that is required by statute to be reported to the Commonwealth. The Treasurer maintains an active program to identify and locate the owners of the unclaimed property turned over to the state.

This is a new records retention schedule for this agency.

Current schedule date: September 14, 1989

Proposed schedule date: December 12, 2013

Compton pointed out Series 06479, Kentucky State Treasury Website, and noted that the Commission would be considering websites for five other agencies.

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

Commission members considered Schedule additions for the Department of Agriculture, Office of the Attorney General, Auditor of Public Accounts, Legislative Research Commission and Secretary of State as a group.

Department of Agriculture

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06480, Department of Agriculture's Website.

The Department of Agriculture was created to promote the interests of agriculture and horticulture in the Commonwealth of Kentucky and is governed by Kentucky Revised Statutes 246 – 263. The first agricultural government unit in Kentucky was established in 1817 in Fayette County and has evolved through the years. The Department of Agriculture was established in 1942 as part of Agriculture, Labor and Statistics. In 1962, the Department of Agriculture was created as its own entity and is under the direction of an elected Commissioner. The Department of Agriculture consists of the Office of the Commissioner; Office of the Chief Executive Officer; Office for Agricultural Marketing and Product Promotion; Office for Consumer and Environmental Protection; Office of State Veterinarian; Office for Strategic Planning and Administration; and State Board of Agriculture.

Office of the Attorney General

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06477, Office of the Attorney General's Website.

The elective office of Attorney General is established by the Constitution of Kentucky. Sections 91 and 93 of the Constitution provide that the duties of the Attorney General, as well as other constitutional officers, shall be prescribed by law. Other sections of the Constitution that pertain to the Attorney General include Section 94 (petition to have Governor declared disabled); Section 87 (service as acting Governor); Section 92 (qualifications); Section 95 (time of election); and Section 96 (compensation). KRS

Chapter 15 provides with specificity the duties of the Attorney General and the functions of the Department of Law. KRS 15.020 establishes the following duties: Act as the chief law officer of the Commonwealth, and the agencies and political subdivisions thereof; act as the legal adviser of all state officers and governmental agencies and furnish opinions upon request pertaining to their official duties; prepare drafts of written instruments for public use; exercise all common law duties of the Office of the Attorney General as may be modified by statutory law; appear for the Commonwealth in all cases in the Supreme Court or Court of Appeals of interest to the Commonwealth, and commence all actions or enter his appearance in all cases, hearings and proceedings in and before all other courts, tribunals, or commissions in or out of state; and attend to all litigation and legal business in or out of state required of him by law, or in which the Commonwealth has an interest, and any litigation or legal business that any state officer or agency may have in connection with, or growing out of, his or its official duties, except where it is made the duty of the commonwealth's attorney or county attorney to represent the Commonwealth. The Department is comprised of the Office of the Civil Division and the Office of Criminal Law. The Office of the Civil Division includes the Office of Civil & Environmental Law, the Office of Consumer Protection and the Office of Rate Intervention. The Office of Criminal Law includes the Department of Criminal Investigations the Office of Special Prosecutions, the Office of Medicaid Fraud and Abuse Control, the Office of the Prosecutor's Advisory Council, the Office of Victim's Services, and the Office of Criminal Appeals.

Auditor of Public Accounts

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06478, Auditor of Public Accounts' Website.

The Office of Auditor of Public Accounts was first created as a constitutional office by Section 25 of the 1850 Constitution of Kentucky. That document, Kentucky's third constitution, provided for the election of an Auditor, whose duties, along with those of the Treasurer, would be prescribed by statute. The same provision appears in Sections 91 and 93 of the current Constitution, which was adopted in 1891. Section 91 also outlines the qualifications for election to the Office. Under Section 95, the Auditor, along with other constitutional officers, is elected on the first Tuesday after the first Monday in November, every four years. Section 96 provides that the Auditor is to be paid by salary. In response to the constitutional mandate that the legislature prescribe the duties of the Office, the General Assembly enacted KRS Chapter 43. The major duties of the Auditor can be found in KRS 43.050. The Auditor may investigate all state and county officials authorized to handle state funds or who manage or control state property or who make estimates or records that are used as a basis for disbursement of state funds. The Auditor must audit the accounts of the State Treasurer and the Finance and Administration Cabinet not less than once each month. Also, the Auditor must conduct an annual audit of each county's budget and the books, accounts and papers of all county clerks and sheriffs, and may audit the books of other county

officials. The organization units within the Office are the Office of the State Auditor; the Office of Legal and Audit Support Services; Office of Planning and Management; Office of Technology and Special Audits; and Office of Financial Audit.

Legislative Research Commission

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06481, Legislative Research Commission Website.

The legislative powers of the Commonwealth are vested in the General Assembly and found under Sections 29 to 62 of the Kentucky Constitution. The purpose of the Legislature is to make the state's laws, to determine the duties and services of the government, to provide for their execution, and to levy taxes and appropriate funds for their support. The Legislative Research Commission acts as the administrative arm of the General Assembly. It is a statutory agency created and maintained since 1948. Its membership is bipartisan and is composed of the leadership of both the House and Senate, with the President and the Speaker serving as co-chairmen. The Commission and its staff provide the administrative support necessary for the General Assembly; ensure that the statutory requirements as set forth in the Kentucky Revised Statutes are met; and provide the general public with information through the Public Information Office.

Secretary of State

Compton was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06476, Secretary of State's Website.

The Secretary of State was created by the Kentucky Constitution in 1792. On September 28, 1891, the Office of Secretary of State changed from an officeholder appointed by the Governor to an elected official. The Secretary of State directs the Department of State of the Commonwealth of Kentucky pursuant to provisions KRS Chapter 14. Duties include attesting the official acts of the Governor. The Office is organized into two divisions: Division of Corporations and Division of Administration. The Division of Administration is responsible for fiscal and personnel matters, public documents, legal affairs and special projects and commissions. The Division of Corporations shall be responsible for all functions relating to corporations.

Teague said that the descriptions of these Records Series are essentially the same, with some modifications based on activities that may be conducted on the websites. The websites will be captured and preserved using Archive-It. PRD is also capturing the Court of Justice's Website.

In response to a question by Onkst, Myers said that these websites will be captured at the beginning and end of administrations, and whenever substantive changes are made to the sites.

Lile suggested that PRD staff could work with personnel at Kentucky Interactive to be kept apprised of significant changes to state-agency websites.

In response to a question by Birdwhistell, Teague said that the Governor's websites had been used by researchers to find materials that could not be located elsewhere.

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

Justice and Public Safety Cabinet – Department of Corrections

Compton was the Records Analyst working on these schedule additions. **Additions to the Schedule:** Series 06459, Prison Rape Elimination Act (PREA) Investigative Files; and Series 06474, Prison Rape Elimination Act (PREA) Investigative Case Log.

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: **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.

Compton presented the Schedule additions.

Bell made a motion to approve the schedule additions, seconded by Lile. The vote by members and representatives present was unanimous.

Education and Workforce Development Cabinet – Education Professional Standards Board

Cundy was the Records Analyst working on this schedule addition. **Addition to the Schedule:** Series 06465, Local Educator Assignment Data (LEAD) Report.

The Education Professional Standards Board (EPSB) is responsible for issuing and renewing certificates for all Kentucky teachers and administrators (KRS 161.020-123). The Board works closely with local school districts in the hiring process to ensure a properly credentialed educator in every professional position in Kentucky schools. EPSB also works with Kentucky colleges and universities, out-of-state institutions, and national evaluation agencies. The Board processes approximately 28,000 certification transactions annually. EPSB is charged with establishing standards of performance both for preparation programs and practitioners; accrediting educator preparation programs at colleges, universities, local school districts, and private contractors; selecting assessments for teachers and administrators; overseeing internship programs for new teachers and new principals; operating the Continuing Education Option for Rank Change; administering Kentucky's incentive program for National Board for Professional Teaching Standards certification; and issuing, renewing, suspending, and revoking Kentucky certificates for professional school personnel.

Cundy presented the Schedule addition.

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

Lexington/Fayette Urban County Government

Carlton was the Records Analyst working on these schedule additions. **Additions to the Schedule:** Law Department: Series L6649, Civil Service Commission Files; and Series L6650, Bankruptcy Records. Police Department: Series L6654, Undercover Expense File.

Lexington/Fayette Urban County Government (LFUCG) was formed by the merger of the City of Lexington and Fayette County. The merged government was officially chartered January 1, 1974 after a referendum was approved by the citizens of both governments. A government - wide records retention schedule was approved by the Archives and Records Commission on September 9, 2004. There have been numerous additions and changes to the schedule since that time.

Bensenhaver noted that Series L6649, Civil Service Commission Files, had originally listed KRS 61.878(k)(3) as an access restriction. There is no statute with that citation. Carlton said he had removed the access restriction from the Records Series.

Lile made a motion to approve the schedule additions, seconded by Bell. The vote by members and representatives present was unanimous.

Local Government General Records Retention Schedule

Carlton was the Records Analyst working on this schedule additions and revisions. **Additions to the Schedule:** Administration: Series L6647, Special Permits; and L6648, Incident and Accident Reports.

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 not limited to all 120 counties and their many offices, over 400 incorporated cities, 174 school districts, 15 Area Development Districts and many special districts.

Carlton said that a new Law Enforcement Series covering unsubstantiated internal investigation files and a change to Series L4705, Complaints/Internal Investigation File, were table by the Advisory Committee.

Bell made a motion to approve the schedule additions, revisions and deletions, seconded by Lile. The vote by members and representatives present was unanimous.

Louisville/Jefferson County Metro Government

Carlton was the Records Analyst working on these schedule additions and revisions. **Additions to the Schedule:** L6279, Time and Attendance Records.

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 many of the existing incorporated municipalities could join the new merged government or retain their legal status. As of right now there are still over 80 independent cities in Jefferson County. This is the first attempt to consolidate existing Jefferson County and City of Louisville record retention schedules, to add new record series and to bring up to date the changes made to departments, divisions, programs and other Louisville Metro Government agencies after the merger.

Carlton said that these records are maintained by the Belle of Louisville and the retention period follows Coast Guard requirements.

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

Public School District

Carlton was the Records Analyst working on these schedule additions. **Additions to the Schedule:** Administration: Series L6651, Student Transportation Update File. Payroll: L6655, Sick Leave Sharing File.

This retention schedule was completely revised in 2012 and is used throughout the 174 school districts throughout the Commonwealth. It is an attempt to list all records created or received by the district's central office, school board, school administration, school based decision making councils and grades K thru 12.

Bell said that the retention period for Series L6651, Student Transportation Update File is required because of an allocation formula for seat-funding, based on whether students ride to school. Series L6655, Sick Leave Sharing File, covers the sick-leave banks in school districts.

Lile made a motion to approve the schedule additions, seconded by Jones. The vote by members and representatives present was unanimous.

State University Model

Cundy was the Records Analyst working on these schedule revisions. **Revisions to the Schedule:** *Staff changed access restrictions listed on the Schedule for the following Series:* B. Fiscal Records: Series U0208, Contracts, Leases and Agreements; Series U0238, Budget and Audit Workpapers; Series U0239, Financial Records Subject to Audit; Series U0240, Financial Records Not Subject to Audit; Series U0244, Ledgers/Journals; Series U0247, Invitation for Bid/Request for Proposal File; Series U0249, Vendor Lists; and Series U0250, Electronic Funds Transfer Supporting Data File. D. Student/Course Records: Series U0400, Academic Action Authorization File; Series U0401, Student Academic Performance File; Series U0402, Acceptance Letters and Related Materials; Series U0404, Entrance Examination Reports/Test Scores; Series

U0406, Applications for Admission or Readmission File; Series U0408, Application/Authorization for Graduation File; Series U0410, Class Rosters; Series U0411, Class Schedules (Faculty Copy); Series U0413, Counseling Files; Series U0417, Credit/No Credit/Audit Approval File; Series U0421, Degrees Awarded Files; Series U0422, Disciplinary Action Documents; Series U0424, Enrollment Verifications File; Series U0427, Fee Assessment Forms File; Series U0428, Financial Aid Documents; Series U0430, International Student File; Series U0431, Grade Information File - (Individual colleges, study areas); Series U0432, Grade Sheets; Series U0435, Graduation Lists; Series U0436, Medical Records; Series U0439, Pass/Fail Request File; Series U0443, Recruitment Materials; Series U0445, Student Requests Related to Disclosure/Non-Disclosure of Information; Series U0447, Social Security Certification File; Series U0449, Student File - College or Department Copy; Series U0455, Student Worker Time Sheets; Series U0463, Tuition and Fee Change File; Series U0464, Veteran's Administration Certification File; Series U0466, Work Study Files; Series U0468, Personnel Records - Students; Series U0469, Student Learning Contract File; Series U0472, Applications for Scholarships File; Series U0475, Student Disability Services File; Series U0476, Student Credential File; Series U0478, Appeals File - Students; Series U0479, Student Awards and Honors; and Series U0481, Continuing Education Materials. F. Personnel/Payroll Records: Series U0610, Benefits File; Series U0624, Retirement Reports; Series U0631, Workers' Claims (Compensation) File; Series U0643, Student Faculty/Course Evaluation; Series U0645, Hiring Process Materials File; Series U0646, Affirmative Action File; Series U0647, Periodic Payroll Reports; Series U0648, Leave Request Form; Series U0651, Unemployment Insurance Claim File; and Series U0652, Work Schedules. G. Buildings/Grounds/Physical Plant Records: Series U0703, Construction/Renovation File. H. University Housing Records: Series U0800, University Housing Assignments. Athletics Records: Series U0916, Practice Schedule Records. L. Bookstore Records: Series U1204, Student Order File. M. Campus Police Records: Series U1303, Parking Permit File; Series U1307, Uniform Accident Report; Series U1309, Uniform Offense Report (KYIBRS); and Series U1312, Evidence Form File. O. Financial Aid Records: Series U1500, Student Loan Documentation File. Q. Medical Facilities Records: Series U1705, Health and Fitness Record File; and Series U1708, Medical Center/Hospital Privileges File. V. Administrative Services Records: Series U2200, Donor/Endowment Records.

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 the access restriction for Series U0208, Contracts, Leases and Agreements applied only to proprietary business information, not to the contract as a

whole. The only access restriction that applies to Series U1309, Uniform Offense Report (KYIBRS), is KRS 61.878(1)(a).

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

The next item was **other business**. Onkst recognized Teague who discussed the State Records Center construction. While the date the building is supposed to be turned over to the Department by December 31, 2013, it is more likely to occur early in 2014. Planning for the move continues. Pictures of the construction are posted on the Department's website (<http://kdla.ky.gov/Pages/default.aspx>) and on its Facebook page (<https://www.facebook.com/kdla.prd>).

Teague noted the passing of Sharon Receveur on November 11, 2013. Receveur was the first person in Kentucky to become a Certified Records Manager and established Louisville's first Archives in 1978, retiring from the City in 2000. Sharon was known to and highly respected by Kentucky's archives and records management community, as well as nationally.

Onkst said that letters of thanks had been mailed to members of the Commission whose tenure had ended: Tim Goff, William Jones, and Linda Potter, who had all represented Citizens-at-Large; and Charlann Hall Wombles, who had represented Local Governments.

There being no further business, Onkst adjourned the meeting at 11:25.