

AGENCY FUNCTION AND RECORDS SUMMARY

Education and Labor Cabinet Department of Workforce Development Office of Vocational Rehabilitation

The Office of Vocational Rehabilitation (KRS 151B.185) is headed by an Executive Director and is the sole state agency charged with the purpose of developing and approving state plans required by state or federal laws and regulations as prerequisites to receiving federal funds for vocational rehabilitation. KRS 151B.185 organizes the Office into the following Divisions: Program Services and the Carl D. Perkins Vocational Training Center. The Office of Vocational Rehabilitation assists eligible individuals with disabilities achieve their employment goals.

Deletion from the Schedule

The following series are being deleted as they are electronic systems, which are no longer listed as a record series on the Retention Schedule. A description of the system will be attached to Retention Schedule, including the record series maintained on the system:

- Series 03674, Case Management System

Current retention: Delete information after ten (10) years, and audit.

Revisions to the Schedule

Changes in retention:

Series 02829, Case Record File

Current Retention: Retain case files for six (6) years after case closure and or audit, whichever is longer, then destroy.

Proposed Retention: Retain case files for eight (8) years after case closure and or audit, whichever is longer, then destroy.

Rationale: This series has primary administrative and fiscal value as it documents the rehabilitative process, activities and development of clients and also documents financial authorization for federal reimbursement dollars. Increase in retention is to match general retention of fiscal records.

Series 03677, Individual Case File

Current Retention: Retain for six (6) years after case closure, then destroy.

Proposed Retention: Retain for eight (8) years after case closure, then destroy.

Rationale: This series has primary administrative value as it documents the services received and state of disabilities for consumers using the Center. Increase in retention is to match the increase for series 02829.

Revisions to the Schedule (cont.)

Series 07090, Case Service Report (RSA-911)

Current Retention: Retain for six (6) years after close of the program year for associated data, then destroy.

Proposed Retention: Retain for eight (8) years after close of the program year for associated data, then destroy.

Rationale: This series has primary administrative value as it collects data elements on individual eligible for Vocational Rehabilitation Services as mandated by the Federal government. Increase in retention is to match the increase for series 02829.

**Archives and Records Management Division
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education and Labor Cabinet
Department of Workforce Development
Vocational Rehabilitation, Office of

**Record Group
Number
3081**

Series	Records Title and Description	Function and Use
02829	Case Record File (V)	This series documents the activities for individuals from the time of application and determination of eligibility through the rehabilitation process. If required, it will also document appeals of counselor decisions. It documents all medical and psychological records of individuals, the complete plan of service between the counselor and individual for employment purposes and if the plan is unsuccessful, or if the individual is determined to be unemployable. It also documents all expenditures which are subject to federal guidelines. The status of the record is based on the success, or failure to make their individuals employable. Note: As possible, case files are scanned into the Case Management System.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Agency forms, progress notes, medical documentation, school records, fiscal records, final decision on appeals, related correspondence, and related documents.
	Retention and Disposition	Retain case files for eight (8) years after case closure and or audit, whichever is longer, then destroy.

Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education and Labor Cabinet
Department of Workforce Development
Vocational Rehabilitation, Office of
Blind Services, Division of

Record Group
Number
410

Series	Records Title and Description	Function and Use
03677	Individual Case File	This series documents information on each individual served by Independent Living Services, which provides rehabilitation to the functional blind, whether or not they have vocational interests, which enables them to live independently within the home and community. The file tracks the individual from referral to closure, indicating the services the individuals have received, how the services have benefited them, the types of disabilities served, as well as demographic information about the individuals.
	Access Restrictions	KRS 61.878 (1) (a) - medical information. Agencies should consult legal counsel regarding open records matters.
	Series May Contain	Referral form, name, address, medical release, tracking of visit, proof of visual impairment, closure, visual report, hearing and/or medical reports, and correspondence.
	Retention and Disposition	Retain for eight (8) years after case closure, then destroy.

Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education and Labor Cabinet
Department of Workforce Development
Vocational Rehabilitation, Office of

Record Group
Number
3081

Series	Records Title and Description	Function and Use
07090	Case Service Report (RSA-911)	This series documents the collection and reporting of required data elements to the Rehabilitation Service Administration (RSA). RSA uses this data to describe the performance of the state Vocational Rehabilitation services and Supported Employment programs to the Congress and the President as required by Sections 13 and 101(a)(10) of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by the Workforce Innovation and Opportunity Act (WIOA). In addition, RSA uses this data to assess the performance of the state Vocational Rehabilitation services through the calculation of the WIOA performance indicators; conduct annual review and monitoring of State Vocational Rehabilitation Services required by section 107 of the Rehabilitation Act; provision of technical assistance; program planning; budget development; and exchange data with the Social Security Administration. The data elements are set by RSA and can change year-to-year. When the fourth quarter reporting period concludes, RSA uses the data that was submitted to produce the WIOA Annual Report.
	Access Restrictions	KRS 61.878(1)(a) - Personal Identifiable Information. Agencies should consult legal counsel regarding open records matters.
	Retention and Disposition	Retain for eight (8) years after close of the program year for associated data, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION
Archives and Records Management Division
Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	3081	2. SERIES NO.	02829
3. ORIGINATING AGENCY	Education and Labor Cabinet		
4. ADMINISTRATIVE UNIT	Department of Workforce Development		
5. PHYSICAL CUSTODIAN	Vocational Rehabilitation, Office of		
COMPILER	Joseph Isaac 502.564.8379	DATE	08-18-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Case Record File		
7. VARIANT TITLE	Client File or Case Record		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) Field Service Office		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper Microform Other (Case Manager System)		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Numerical by client status; thereafter alphabetical by name of client		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency 2005 to pres	State Records Center 1999 to 2008	State Archivists 1983 to 1992
15. VOLUME:	50 cf	240 cf	142 rolls
16. ANNUAL ACCUMULATION	(Cu. Ft.) 15cf/office		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year 3	2nd Year 1	3-5 Years 1
			More than 5 Years 1

18. FUNCTION AND USE (For what purpose is/was record created? What activity, process or transaction does it document?)

This series documents the activities for individuals from the time of application and determination of eligibility through the rehabilitation process. If required, it will also document appeals of counselor decisions. It documents all medical and psychological records of individuals, the complete plan of service between the counselor and individual for employment purposes and if the plan is unsuccessful, or if the individual is determined to be unemployable. It also documents all expenditures which are subject to federal guidelines. The status of the record is based on the success, or failure to make their individuals employable. Note: As possible, case files are scanned into the Case Management System.

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Agency forms, progress notes, medical documentation, school records, fiscal records, final decision on appeals, related correspondence, and related documents.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Annual Federal Report (Rehabilitation Services Administration, Office of Human Development); Annual Financial Statement (F0001)

22. VITAL RECORD? Y **23. If Yes, VITAL RETENTION PERIOD** Until case is closed

24. VITAL RECORDS PROTECTION INSTRUCTIONS

Security back up-off site

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? Y

If Yes, list AUDITING AGENCY (Federal, State, Internal) Federal, State

27. AUDIT RETENTION REQUIREMENT 3 Years

28. LEGAL RETENTION REQUIREMENT? Y

If Yes, cite statute and length of retention period required

Program Regulation Guide 76-26-3001--3 years

ANALYSIS

29. APPRAISAL CRITERIA

Y	Administrative Retention Value			I
Y	Legal Retention Value	3	Years	
Y	Fiscal Retention Value	3	Years	
	Research Retention Value			
	Intrinsic Retention Value			
	Historic Retention Value			

30. RATIONALE FOR RETENTION

This series has primary administrative and fiscal value as it documents the rehabilitative process, activities and development of clients and also documents financial authorization for federal reimbursement dollars.

32. DISPOSITION INSTRUCTIONS

Retain case files for eight (8) years after case closure and or audit, whichever is longer, then destroy.

Records Analyst Signature

Joseph Isaac

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	410	2. SERIES NO.	03677
3. ORIGINATING AGENCY	Education and Workforce Development Cabinet		
4. ADMINISTRATIVE UNIT	Workforce Investment, Department of		
5. PHYSICAL CUSTODIAN	Blind Services, Division of		
COMPILER	Joseph Isaac	502.564.8379	DATE 08-18-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Individual Case File		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) Respective Independent Living Specialist		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	Paper		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Alphabetical by client surname		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:	1997 to Pres	12 cf	
16. ANNUAL ACCUMULATION	(Cu. Ft.)	2 cf	
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year	52	2nd Year 4 3-5 Years 1 More than 5 Years NA
18. FUNCTION AND USE	(For what purpose is/was record created? What activity, process or transaction does it document?) This series documents information on each individual served by Independent Living Services, which provides rehabilitation to the functional blind, whether or not they have vocational interests, which enables them to live independently within the home and community. The file tracks the individual from referral to closure, indicating the services the individuals have received, how the services have benefited them, the types of disabilities served, as well as demographic information about the individuals.		

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

Referral form, name, address, medical release, tracking of visit, proof of visual impairment, closure, visual report, hearing and/or medical reports, and correspondence.

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

Annual Reports - M0022

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878 (1) (a) - medical information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? N

If Yes, list AUDITING AGENCY (Federal, State, Internal)

27. AUDIT RETENTION REQUIREMENT

28. LEGAL RETENTION REQUIREMENT? Y

If Yes, cite statute and length of retention period required

34 CFR 80.42 - 5 years

ANALYSIS

29. APPRAISAL CRITERIA

Y	Administrative Retention Value	5	Years
Y	Legal Retention Value	5	Years
	Fiscal Retention Value		
	Research Retention Value		
	Intrinsic Retention Value		
	Historic Retention Value		

30. RATIONALE FOR RETENTION

This series has primary administrative value as it documents the services received and state of disabilities for consumers using the Center.

32. DISPOSITION INSTRUCTIONS

Retain for eight (8) years after case closure, then destroy.

Records Analyst Signature

Jospeh Isaac

Date

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Department for Libraries & Archives

Records Description and Analysis

(Equivalent to ARM 320 Rev.02/2019)

1. RECORD GROUP NO.	3081	2. SERIES NO.	07090
3. ORIGINATING AGENCY	Education and Labor Cabinet		
4. ADMINISTRATIVE UNIT	Department of Workforce Development		
5. PHYSICAL CUSTODIAN	Vocational Rehabilitation, Office of		
COMPILER	Joseph Isaac 502.564.8379	DATE	08-18-2026
IDENTIFICATION AND DESCRIPTION			
6. TITLE OF RECORD	Case Service Report (RSA-911)		
7. VARIANT TITLE	N/A		
8. ORIGINAL/DUPLICATE	Original Only		
9. LOCATION(S) OF ALTERNATIVE COPIES	(Original or Duplicate) None		
10. INFORMATION SUMMARIZED IN:	N/A		
11. MEDIUM	None		
12. ARRANGEMENT SORT/SEQUENCE	(Alpha, Numeric, Chronological, Random, etc.): Explain in detail. Chronological by Program Year		
13. INDEX / FINDING AIDS	N/A		
14. DATE SPAN:	In Agency	State Records Center	State Archivists
15. VOLUME:			
16. ANNUAL ACCUMULATION	(Cu. Ft.)		
17. REFERENCE RATE	(Number of times you use each year's accumulation)		
	1st Year	2nd Year	3-5 Years
			More than 5 Years

18. FUNCTION AND USE (For what purpose is/was record created? What activity, process or transaction does it document?)

This series documents the collection and reporting of required data elements to the Rehabilitation Service Administration (RSA). RSA uses this data to describe the performance of the state Vocational Rehabilitation services and Supported Employment programs to the Congress and the President as required by Sections 13 and 101(a)(10) of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by the Workforce Innovation and Opportunity Act (WIOA). In addition, RSA uses this data to assess the performance of the state Vocational Rehabilitation services through the calculation of the WIOA performance indicators; conduct annual review and monitoring of State Vocational Rehabilitation Services required by section 107 of the Rehabilitation Act; provision of technical assistance; program planning; budget development; and exchange data with the Social Security Administration. The data elements are set by RSA and can change year-to-year. When the fourth quarter reporting period concludes, RSA uses the data that was submitted to produce the WIOA Annual Report.

19. CONTENTS (Documents in this file? Information on this form? Data elements in this computer file, etc.)

N/A

20. INPUT RECORDS (What records flow into or provide information to create this record?)

N/A

21. OUTPUT RECORDS (What records flow out of the information in this records series?)

N/A

22. VITAL RECORD? N **23. If Yes, VITAL RETENTION PERIOD**

24. VITAL RECORDS PROTECTION INSTRUCTIONS

25. ACCESS RESTRICTIONS? Y

If Yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)

Confidential: KRS 61.878(1)(a) - Personal Identifiable Information. Agencies should consult legal counsel regarding open records matters.

26. IS RECORD SUBJECT TO AUDIT? Y

If Yes, list AUDITING AGENCY (Federal, State, Internal) Federal

27. AUDIT RETENTION REQUIREMENT 3 Years

28. LEGAL RETENTION REQUIREMENT? N

If Yes, cite statute and length of retention period required

ANALYSIS

29. APPRAISAL CRITERIA

Y Administrative Retention Value 3 Years
Legal Retention Value
Fiscal Retention Value
Research Retention Value
Intrinsic Retention Value
Historic Retention Value

30. RATIONALE FOR RETENTION

This series has primary administrative value as it collects data elements on individual eligible for Vocational Rehabilitation Services as mandated by the Federal government.

32. DISPOSITION INSTRUCTIONS

Retain for eight (8) years after close of the program year for associated data, then destroy.

Records Analyst Signature

Jospeh Isaac

Date