

# Transfer of Public Records: A Procedural Guide

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## 1.0 Introduction

Per KRS 171.560 and 725 KAR 1:025, these are procedures for transferring agency records to an off-site storage facility, whether that facility is maintained by the Kentucky Department for Libraries and Archives (KDLA) or by the agency.

Records document the activities of government officials and employees, and shall be created or stored on paper, microfilm, or in an electronic format, such as a computer hard drive or a CD. State and local government agency personnel shall manage the records they create, use and maintain so that these records are accessible, usable, and secure. This helps ensure that requests for government information are handled efficiently and that information is accurate.

Records in paper format with a permanent retention shall be stored at the State Archives or the agency, as directed in the Records Retention Schedule. If these permanent records are electronic, they shall be transferred to the e-Archives. Paper records with a non-permanent retention, or that are still in use but too voluminous to keep in an agency's work area, shall be stored at the agency, the State Records Center, or at another off-site storage facility, with the approval of the State Archivist and Records Administrator.

## 2.0 Paper Records

### 2.1. The State Archives and the State Records Center

KRS 171.580 authorizes KDLA to accept and maintain state, local and certain private records that are "determined by the department to have sufficient historical or other value to warrant their continued preservation." KRS 171.550 authorizes KDLA to establish a centralized records center to store, process and service records of government agencies, pending their deposit in the State Archives or other legally authorized disposition. State or local agency records of permanent historical value may be transferred to the State Archives, while non-permanent agency records or permanent records likely to have a high rate of access, may be transferred to the State Records Center.

Information on the retention and disposition of all government records, including when to transfer records to the State Archives or State Records Center, is contained in the records retention schedules. The appropriate schedule is either the General Schedule for State Agencies (<http://www.kdla.ky.gov/recmanagement/schedules/kystateagency.pdf>) a retention schedule for a specific state agency (<http://www.kdla.ky.gov/recmanagement/stateschedule.htm>), or both. If an agency's retention schedule is not available online, or for other questions, call 502-564-8300, ext. 237. For questions about transferring records to the e-Archives, call 502-564-8300, ext. 242.

#### **To transfer state agency records to the State Archives or State Records Center:**

##### ***Box the records.***

- KDLA requires the use of a box manufactured specifically for this purpose by Cardinal Office Supply, Cardinal order number CAR151210.
- Box the records so that files are easy to retrieve. Arrange the files in a helpful manner, such as numerically, chronologically or alphabetically. Do not overfill boxes, as files will be difficult to pull and boxes will fall apart.
- Reinforce the bottom of the box with packing tape, if necessary.

##### ***Label the boxes.***

- Labels are available at no charge through the State Records Branch (502-564-8300, ext. 237; [state.records@ky.gov](mailto:state.records@ky.gov)). See Appendix A for a sample label and instructions.
- Wet the back of each label and affix it to the **center** of the **narrow** end of the box opposite the joint. (The joint is the end of the box at which the upright ends overlap on the inside. Place the labels on the other end of the box.) Do not use tape to affix the labels to the boxes.

Number the boxes in the upper right-hand corner above the label, using a black felt-tipped marker. Make the numbers large.

**Complete and send the transmittal form.**

- The transmittal form documents the transfer of materials to the State Archives or State Records Center. See Appendix B for a sample transmittal and instructions.
- The transmittal is available on the KDLA website at <http://www.kdla.ky.gov/recmanagement/schedules/Transmittal.doc>. Transmittal instructions are available at <http://www.kdla.ky.gov/recmanagement/schedules/transinst.doc>.
- The form is a Word document that can be saved and reused.
- The transmittal form shall be sent via e-mail to [state.records@ky.gov](mailto:state.records@ky.gov) by the appropriate Records Officer.

State Archives or Records Center staff will pick up the records after the transmittal has been received, and checked. Staff shall only pick up records in Frankfort. For state agencies located outside Frankfort, contact the State Archives at 502-564-8300 ext. 207 or the State Records Center at 502-564-3617 to arrange for drop off. After the records are shelved, agencies receive a locator copy of the transmittal with an accession number and State Archives or State Records Center location information to be used when requesting records.

**To request records after transfer to the State Archives Center:**

Kentucky state agency employees requesting records from the Archives Center for official business shall call 502-564-8300, ext. 207 or 210.

Other users with personal or research questions have several ways to request records from the State Archives:

- By visiting the Archives Research Room, 300 Coffee Tree Road, Frankfort, KY 40601 (<http://www.kdla.ky.gov/archival.htm>);
- By calling the State Archives at 502-564-8300, ext. 207 or 210;
- By submitting a request through the KDLA online research service (<http://www.kdla.ky.gov/research.htm>).

**To request records after transfer to the State Records Center:**

Kentucky state agency employees requesting records from the State Records Center for official business shall call 502-564-3617. Requests shall come through the appropriate state agency Records Officer using the Records Request Form (PRD 160), which is available on KDLA's website at <http://www.kdla.ky.gov/recmanagement/erequestform.doc>. See Appendix C for a sample Records Request Form and instructions.

**Destruction of records transferred to the State Records Center:**

Some records that are transferred to the State Records Center are eligible for destruction after a period, as specified on the records retention schedules, enacted by the State Archives and Records Commission. KDLA staff tracks scheduled destruction dates for records, but shall not dispose of any records without prior approval from the agency's Records Officer. A notice requesting approval to destroy records shall be sent to the appropriate Records Officer.

**Return of records transferred to the State Records Center:**

Records in the State Records Center shall be returned to the originating agency upon request. The agency Records Officer shall contact the State Records Center at 502-564-3617.

## **2.2 Other Off-site Records Storage Facilities**

According to KRS 171.690, under certain conditions, inactive records may be housed outside the office of the government agency in an off-site facility. The law allows an agency to store inactive records at a facility away from an agency's offices only if the State Archivist and Records Administrator / Public Records Division Director, KDLA approves the facility. Agencies shall request approval in writing from the State Archivist before using an off-site facility.

### **Off-Site Records Storage Facilities - Questions to Ask**

The following is a set of questions to ask when selecting or constructing an off-site storage facility, along with general guidelines as to what to look for in that selection process. These questions can apply to preexisting structures, structures to be built or renovated or commercially run records storage facilities.

#### **Location**

- Is the facility close-enough in proximity to your office to make the records easily accessible?
- Is the facility above the flood plain?
- Does the location of the facility promote security of the records?

#### **Structure**

- Does the building meet fire codes?
- Are all systems wired properly?
- Are the walls of the building insulated?
- Is there lead or asbestos in the building?
- Are doors and windows secured?
- Is there an alarm system that automatically notifies local law enforcement in the event of a break-in?
- Does the building have a secure, leak-free roof?
- Does the building have a loading/unloading area?
- How high are the building's ceilings? Higher ceilings will allow for increased records storage. Standard high-density shelving requires ceilings at least 15 feet high.
- Does the building have a basement? If so, is it dry and temperature controlled?
- Will storage be on the first floor?
- Can the building's floor(s) support at least 300 pounds per square foot?
- Are the floors concrete and uncarpeted?
- Are the floors sealed with an inert sealant that will not release vapors into the air? Has the floor been sealed for at least three months?

#### **Shelving**

- Is the shelving metal?
- Is the shelving the proper strength? Eighteen (18) gauge shelving is recommended.
- Is the shelving secured on the floor and braced?
- Is the shelving arranged so there are no dead-end aisles?
- Is the shelving built to avoid obstructions like support columns?
- Are aisles wide enough? Thirty inches (30") is recommended.

#### **Fire Prevention/Suppression**

- Is there a working fire detection and suppression system in the facility?
- Is the fire department notified automatically in the event of a fire?

#### **Environmental Controls**

- Is there a central Heating, Ventilation and Air Conditioning (HVAC) system that is continuously operational?

- Is the temperature of the facility continuously between 65° and 70°?
- Is the relative humidity of the facility between 40% and 45%?

#### **Lighting**

- Is lighting bright enough for employees to do their work?
- Are lights over shelving aisles rather than shelves?
- Are lamps efficient and do they give off little ultraviolet radiation? High pressure sodium vapor lamps are ideal.

#### **Plumbing**

- Are there overhead pipes that could leak onto records?
- Are pipes discolored or rusty?

#### **Layout**

- If records are to be used at the facility, is there a public service area?
- Is there space for offices?
- Is there space for records processing? Approximately 100 square foot per person is generally accepted as standard.
- Are there restrooms?
- Does the facility meet the requirements of the American with Disabilities Act (ADA)?

### **3.0 Digital Records**

Agencies shall transfer records to KDLA in digital, or electronic, format. Permanent electronic records shall be maintained in the e-Archives (<http://e-archives.ky.gov/>).

#### **3.1 Electronic Records Transfer Procedures**

##### **Timing of transfers**

Each agency is responsible for the integrity of the records it transfers on physical media to KDLA. For records transferred by a media-less method (FTP, as an email attachment, downloaded from the Internet, or deposited directly using data repository software), KDLA shall work with the agency to ensure integrity and security of the records during the transfer process. Each state agency shall transfer electronic records to KDLA promptly in accordance with the agency's records retention schedule. If the agency cannot provide proper care and handling of the media, or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency shall contact KDLA to arrange for transfer, even if that may be sooner than provided in the records retention schedule.

##### **Temporary retention of copy**

Each agency shall retain a copy of any permanent electronic records transferred to KDLA until it receives official notification from KDLA that the transfer was successful and that KDLA has assumed responsibility for continuing preservation of the records.

##### **Transfer media**

For the transfer of permanent records to KDLA, the agency shall use only media that is sound and free from defects. The approved media and media-less transfer forms are:

- Optical disk (CD-ROM, DVD-ROM)
- File Transfer Protocol (FTP); as described below
- Email attachment - to transfer small quantities of permanent electronic records (such as an electronic publication)
- Other transfer media as approved by KDLA

### **Optical Disk (CD-ROM, DVD-ROM)**

Agencies shall use CDs or DVDs to transfer permanent electronic records to KDLA. The files shall comply with the format and documentation requirements (specified under **Formats**).

Permanent electronic records shall be stored in discrete files, grouped by record series as indicated on the appropriate records retention schedule. CD-ROMs transferred may contain other files, such as software or temporary records, but all permanent records shall be in files that contain only permanent records. Agencies shall indicate at the time of transfer if a CD-ROM contains temporary records and, if so, where those records are located on the CD-ROM.

### **File Transfer Protocol (FTP)**

Agencies shall use File Transfer Protocol (FTP) to transfer permanent electronic records to KDLA. Any FTP of classified data shall be performed using either ftps or stfp, as outlined in Enterprise Standards 2640, FTP and SSH Server, and 2650, FTP Client and SSH Client Software. The files transferred shall comply with the format and documentation requirements specified in this section.

- FTP file structure shall use the 64-character Joliet extension naming convention only when letters, numbers, dashes (-), and underscores (\_) are used in the file and/or directory names, with a slash (/) used to indicate directory structures. Otherwise, FTP file structure shall conform to an 8.3 file naming convention and file directory structure where the file is 8 characters followed by the 3 character file extension.
- Permanent electronic records shall be stored in discrete files, separate from temporary files. All permanent records shall be transferred in files that contain only permanent records, grouped by record series as indicated on the appropriate records retention schedule.
- When permanent electronic records are disseminated through other types of mechanisms (e.g., CD-ROM), the agency and KDLA shall agree on the most appropriate medium for transfer of the records and shall select the appropriate files for FTP transfer. Several important factors limit the use of FTP as a transfer method, including the number of records, record file size, and available bandwidth. Agencies interested in sending electronic records scheduled for transfer to KDLA through FTP shall contact KDLA's Technology Analysis and Support Branch at 502-564-8300, ext. 242.
- An Electronic Records Transmittal shall be created for each permanent electronic records transfer to KDLA. See Appendix D for a sample Electronic Records Transmittal and instructions.

### **Formats**

Agencies shall not transfer electronic records to KDLA that are in a format dependent on specific hardware and/or software. The records shall be in one of the approved formats in Table 1. The agency shall consult with KDLA for guidance on the transfer of electronic records other than those prescribed in this section. Additional specifications may be required for specific format types. Call 502-564-8300, ext. 242 with questions.

The High and Medium confidence levels in the following table represent the formats that are currently the most sustainable over time. **Agencies shall avoid using formats listed in the Low confidence field, or make sure that the records in question can be converted to the formats in the Medium and/or High fields.**

**Table 1: Preferred Formats for Records Transfer to KDLA**

<b>Media</b>	<b>High Confidence Level</b>	<b>Medium Confidence Level</b>	<b>Low Confidence Level</b>
Text	<ul style="list-style-type: none"> <li>- Plain text (encoding: US ASCII, UTF-8, UTF-16 with BOM)</li> <li>- PDF/A-1 (*.pdf)</li> <li>- XML (XSD/XSL/XHTML, etc.; with included or accessible schema and character encoding explicitly specified)</li> </ul>	<ul style="list-style-type: none"> <li>- Plain text (ISO8859-1 encoding)</li> <li>- PDF (*.pdf) (embedded fonts)</li> <li>- Rich Text Format (*.rtf) version 1.x</li> <li>- OpenOffice (*.sxw)</li> <li>- <b>Microsoft Word (*.doc)*</b></li> <li>- WordPerfect (*.wpd)#</li> <li>- HTML 4.x (include a DOCTYPE declaration)</li> <li>- SGML</li> </ul> <p>* MS Office is the state approved standard and supported by the state. # WordPerfect is the federal court standard.</p>	<ul style="list-style-type: none"> <li>- PDF (external font)</li> <li>- DjVu</li> <li>- All other text formats not listed here</li> </ul>
E-mail	<ul style="list-style-type: none"> <li>- Plain Text</li> <li>- Outlook Message format (*.msg)</li> </ul> <p>Any of the High Confidence level text formats listed above.</p>	<ul style="list-style-type: none"> <li>- Any of the Medium Confidence text formats listed above</li> <li>- Outlook Archive (*.pst)</li> </ul> <p>For general correspondence maintained in the agency with proper backup and security controls.</p>	-
Raster Image	<ul style="list-style-type: none"> <li>- TIFF (uncompressed)</li> <li>- PNG (*.png)</li> <li>- JPEG (raw)</li> </ul> <p>- "Raw" JPEG are those images that have not been resized.</p>	<ul style="list-style-type: none"> <li>- BMP (*.bmp)</li> <li>- <b>JPEG/JFIF (*.jpg)</b></li> <li>- JPEG2000 (prefer uncompressed) (*.jp2, *.jpx)</li> <li>- <b>TIFF (CCITT Group 3/4, JPEG, PackBits compression)</b></li> </ul>	<ul style="list-style-type: none"> <li>- MrSID (*.sid)</li> <li>- TIFF (with LZW compression or in Planar format)</li> <li>- GIF (*.gif)</li> <li>- FlashPix</li> <li>- PhotoShop (*.psd)</li> <li>- All other raster image formats not listed here</li> </ul>
Vector Graphics	<ul style="list-style-type: none"> <li>- SVG 1.1 (*.svg)</li> </ul>	<ul style="list-style-type: none"> <li>- CGM</li> <li>- WebCGM</li> <li>- DWF *</li> </ul> <p>* AutoCAD is the state approved product.</p>	<ul style="list-style-type: none"> <li>- Encapsulated PostScript (EPS)</li> <li>- Macromedia Flash (*.swf)</li> <li>- All other vector image formats not listed here</li> </ul>
Audio	<ul style="list-style-type: none"> <li>- AIFF (uncompressed) (*.aif, *.aiff)</li> <li>- WAVE (LPCM only) (*.wav)</li> </ul>	<ul style="list-style-type: none"> <li>- Standard MIDI (*.mid, *.midi)</li> <li>- Windows Media Audio (*.wma) *</li> <li>- MP3 (*.mp3)</li> <li>- SUN Audio (uncompressed) (*.au)</li> </ul> <p>*Same as Word files, Windows is the supported state standard.</p>	<ul style="list-style-type: none"> <li>- AIFC (*.aifc)</li> <li>- NeXT SND (*.snd)</li> <li>- RealNetworks 'Real Audio' (*.ra, *.rm, *.ram)</li> <li>- WAVE (compressed) (*.wav)</li> <li>- All other audio formats not listed here</li> </ul>
Video	<ul style="list-style-type: none"> <li>- <b>MPEG-1, MPEG-2 (*.mpg, *.mpeg)</b></li> <li>- Motion JPEG2000 (*.mj2)</li> <li>- AVI (uncompressed) (*.avi)</li> <li>- Motion JPEG</li> </ul>	-	<ul style="list-style-type: none"> <li>- AVI (compressed) (*.avi)</li> <li>- QuickTime Movie (*.mov)</li> <li>- MPEG 4 (*.mp4)</li> <li>- RM (RealNetworks; 'Real Video') (*.rv)</li> <li>- Windows Media Video (*.wmv)</li> </ul>

	(* .avi, * .mov)		- All other video formats not listed here
Spreadsheet Database	- Delimited Text (* .txt, * .csv) - SQL DDL	- DBF (* .dbf) - OpenOffice (* .sxc) - <b>Excel (* .xls)*</b>  * Excel part of the MSOffice group and supported by state architecture standards.	- All other spreadsheet/database formats not listed here
Presentation	-	- OpenOffice (* .sxi) - PowerPoint (* .ppt)	- All other presentation formats not listed here

**Additional Format Requirements**

- File formats listed under Low Confidence Level shall be converted to a High or Medium Confidence format or preserved at the bit level only.
- Fully or partially encrypted files shall be unencrypted prior to transfer to KDLA.
- Password protected files shall be opened with protections removed prior to transfer to KDLA.
- Any files produced with Digital Right Management controls shall have all controls removed prior to transfer.
- Use platform independent, vendor independent, nonproprietary, stable, open and well-supported formats.
- The records shall not be compressed unless KDLA has approved the transfer in the compressed form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Documentation**

Documentation adequate to identify, service and interpret electronic records shall be transferred to KDLA with the records. Where possible, agencies shall submit required documentation in an electronic form that conforms to the provisions of this section.

**3.2. Portable Document Format (PDF) Transfer Procedures**

KDLA considers PDF an acceptable format for the transfer of electronic records, including all records in PDF; records converted to PDF from a native electronic formats (e.g., office automation products); and records converted to PDF from scanned paper or image formats such as TIFF. Agencies shall comply with the following *minimum* requirements to transfer permanent records as PDF documents:

**General requirements for all PDF records**

- Security Requirements

PDF records shall not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent KDLA from opening, viewing or printing the record.

PDF records shall have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) *prior to transfer to KDLA*. Deactivating security settings ensures KDLA's ability to support long-term migration and preservation of the records.

**Note: Agencies shall use appropriate security settings (as identified in the Enterprise Architecture Standards and Policies) up to the time of transfer to KDLA.**

- Review of Special Features

Because of complexities associated with certain PDF features, KDLA shall review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to digital signatures; links to other documents, files or sites; embedded files (including multi-media objects); form data; comments and/or annotations.

#### **Records converted to PDF from native electronic formats**

Electronic records converted to PDF from their native electronic formats (e.g., office automation products) shall include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records shall be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

PDF records that reference fonts other than the "base 14 fonts"<sup>1</sup> shall have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

#### **Scanned paper or image formats converted to PDF**

PDF records that contain embedded searchable text based on Optical Character Recognition (OCR) shall be identical in content and appearance to the source document. KDLA shall accept PDF records with uncorrected OCR'd text, but shall not accept PDF records resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image.

An example of an output process that accomplishes this requirement is Searchable Image - Exact.

KDLA shall not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include Formatted Text and Graphics and PDF Normal.

KDLA shall not accept PDF records that have been OCR'd using processes that use lossy compression to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is Searchable Image - Compact.

Agencies that have permanent records in PDF format that do not meet the requirements shall call 502-564-8300, ext. 242 to determine the most appropriate medium and format for transfer.

#### **Transfer documentation**

In addition to submitting a signed transmittal form, agencies shall provide documentation that identifies the software used to create the PDF records (if available) and the version(s), and the operating system (if available) and version(s). Agencies shall provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by KDLA.

When an agency has standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of the guidelines shall be included with the transfer.

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<sup>1</sup> The base 14 fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular, Bold, Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and ZapfDingbats.

**Transfer Mechanisms**

PDF records shall not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) transfer unless KDLA has approved the transfer in compressed or aggregated form in advance. In such cases, KDLA shall require the agency to provide the software to decompress the records.

**Levels of Access**

KDLA provides access to the creating agency and to all researchers requesting PDF records accessioned from state agencies. While compliance with these procedures will improve future access to records, KDLA's ability to provide access to certain records will vary according to hardware and software dependency. KDLA provides users with a copy of fully releasable electronic record files on media currently approved by KDLA. For PDF records transferred to KDLA, the user is responsible for obtaining the necessary hardware and software to view the records.

**Appendix A: Box Label and Instructions**

<b>Public Records Division</b> Kentucky Department for Libraries and Archives		
Agency		
Unit		
Title of Records		
Dates of Records		Destruction Date
FROM:	TO:	
Box Number	Total Boxes	Accession No.
Arrangement of Records		
Description of Contents		
PRD 60 Rev. 11/83		

Sample Box Label

## INSTRUCTIONS FOR COMPLETING BOX LABEL

- (1) **AGENCY:** Enter the name of Cabinet, Department, Commission, University, Public School District, City, etc.
- (2) **UNIT:** Enter the name of the unit which falls under the Agency listed above.
- (3) **TITLE OF RECORDS:** Enter the title of the record exactly as it appears on the agency's approved records retention schedule.
- (4) **DATES OF RECORDS:** Enter the inclusive (earliest and most recent) dates of the records in each container. The dates should match the entry for the same box on the Records Transmittal to State Archives Center or State Records Center.
- (5) **DESTRUCTION DATE:** Enter the month and year the records are due to be destroyed. The same date will appear on the Records Transmittal form for the shipment. If permanent records are being transferred, enter **NONE** in this item.
- (6) **BOX NUMBER:** Enter the number of the box the label is to be placed on. This number should match the entry for the same box on the Records Transmittal form.
- (7) **TOTAL BOXES:** Enter the total number of boxes for the entire shipment. This number should match the total number of containers entered on the Records Transmittal form.
- (8) **ARRANGEMENT OF RECORDS:** Indicate how the records are arranged in the box, i.e., alphabetical, numerical, chronological.
- (9) **DESCRIPTION OF CONTENTS:** Enter information about the specific contents of the box or other information which will aid in identifying contents for retrieval purposes.

**NOTE:** The Accession Number will be entered on each label by Public Records Division staff after the shipment of records is received.

THE BACK OF THE BOX LABEL IS COVERED WITH GLUE. TO AFFIX LABEL TO BOX, THOROUGHLY DAMPEN.

PLACE LABEL IN THE CENTER OF THE BOX OPPOSITE THE RE-ENFORCED END.

IN ADDITION, USING A MAGIC MARKER, PLACE THE NUMBER OF THE BOX IN THE UPPER RIGHT HAND CORNER OF THE BOX.

**Appendix B: Transmittal Form and Instructions**

# Records Transmittal to State Archives Center or State Records Center

Kentucky Department for Libraries and Archives, Public Records Division  
300 Coffee Tree Road, P. O. Box 537, Frankfort Kentucky 40602

Cabinet/Local Jurisdiction \_\_\_\_\_

Department/Local Government Office \_\_\_\_\_

Division \_\_\_\_\_

Branch/Unit \_\_\_\_\_

Retention Schedule Date \_\_\_\_\_

Total Containers \_\_\_\_\_

Permanent? Yes  No

Destruction Date \_\_\_\_\_  
(Month, Year)

PRD USE ONLY	
Accession No. _____	RG. No. _____
Compiler _____	Date _____
Shelver _____	Vol. _____
Reviewer/Date _____	Retention _____
L_____ DC___ I___ DR___	Destroyed_____ DD___

PRD USE	FOR AGENCY USE			
LOCATION IN CENTER	BOX ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER

**IS ACCESS TO THESE RECORDS RESTRICTED? Yes  No  IF YES, CITE AUTHORITY**

\* By transferring permanent records to the State Archives Center, an agency acknowledges that records are not needed for current business use.  
By transferring permanent records to the State Records Center, an agency acknowledges that records are needed for current business use.

Agency Records Officer/Signature \_\_\_\_\_ Date \_\_\_\_\_

Records Officer should send completed form, as an attachment, to [state.records@ky.gov](mailto:state.records@ky.gov). Save until you receive your locator copy.

# Records Transmittal to State Archives Center or State Records Center (Continuation Sheet)

PRD USE ONLY	Accession No.
--------------	---------------

Cabinet/Local Jurisdiction

Department/Local Government Office

Division

Branch/Unit

PRD USE		FOR AGENCY USE		
LOCATION IN CENTER	BOX <input type="checkbox"/> ROLL <input type="checkbox"/> BOOK <input type="checkbox"/> BUNDLE <input type="checkbox"/> OTHER <input type="checkbox"/>	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE	DATE SPAN OF RECORDS IN EACH CONTAINER
SAMPLE				

## TRANSMITTAL FORM INSTRUCTIONS

The Records Transmittal to State Archives or State Records Center (PRD form 70) must be completed by the agency. If the first page of the transmittal is insufficient to record the entire shipment, use the Transmittal Continuation Sheet (PRD form 70a). Use as many continuation forms as necessary.

**Completing Transmittal:** Fill in the data on the first page of the Records Transmittal as follows:

- (1) **Cabinet/Local Jurisdiction:** Enter your agency's cabinet or local jurisdiction.
- (2) **Department/Local Government Office:** Name of department or local government office which falls under the entity listed above.
- (3) **Division:** Name of division which falls under entity listed above.
- (4) **Branch/Unit:** Name of branch or unit which falls under the entity listed above.
- (5) **Retention Schedule Date:** The month and year the current Records Retention Schedule for your agency was approved by the State Archives and Records Commission. This information can be found on the signature page, which accompanies the retention schedule or the top right-hand side of an individual schedule page.
- (6) **Total Containers:** The total number of boxes, rolls, books or bundles in this transmittal (i.e., shipment).
- (7) **Permanent?:** Indicate by marking an X in Yes or No space.
- (8) **Destruction Date:** The day, month, year the shipment of records is due to be destroyed. If the records are permanent, type NONE.

To figure the destruction date, use the retention period from your approved retention schedule for the series being transferred and apply it to the latest date of the records in the shipment. For example, if the retention of the record being transferred is five years and the latest date of the records is 2004, the destruction date will be January 2010.

- (9) **Box, Roll, Book, Bundle, Other:** Check the appropriate box to indicate whether the records being transferred are in boxes, rolls of microfilm, books, bundles or other, which indicates special media, such as videotapes, etc. In this column, you will record each individual container in numerical sequence. When transferring boxes of records, each shipment must begin with box number 1, then be listed in numerical sequence thereafter.

- (10) **Series Number as On Schedule:** Enter the series number from your Records Retention Schedule for the record(s) you are transferring. When transferring non-permanent records, more than one series can be included in the shipment, providing all series have the same destruction date. When transferring permanent records, only one series, or record type, per transmittal is acceptable. For single series shipments, the series number need only be recorded one time per page.
- (11) **Title of Records, Exactly as Listed in the Records Retention Schedule:** The title of the record exactly as shown in the Records Retention Schedule. For single series shipments, the title of the record need only be recorded one time per page. You must also enter a brief description of the contents of each container in this column. For alphabetical and numeric files, enter the name or number of the first and last file.
- (12) **Date Span of Records in Each Container:** The inclusive dates (oldest and most recent) of the records in each box, roll, book, bundle, etc. If the date span is the same for the entire shipment, you need only enter one time per page. If multiple series are being transferred, enter date spans per container.
- (13) **Is Access to These Records Restricted?:** Please indicate whether access to the records being transferred is restricted. If Yes is marked, you must give the appropriate citing from any of the Kentucky Revised Statutes, Kentucky Administrative Regulations or Code of Federal Regulations.

The remaining blocks of the transmittal will be completed by Public Records Division staff after the shipment is received.

After completing the transmittal retain a copy, either digitally or in paper. The Agency's Records Officer should forward a copy of the transmittal via e-mail to the State Records Branch, Public Records Division at [state.records@ky.gov](mailto:state.records@ky.gov).

You will be contacted by either State Records Center or State Archives Center staff regarding pickup or delivery of the records being transferred.

After the shipment has been put on location in the appropriate Center, you will receive your Agency Locator Copy of the transmittal from the State Records Branch, Public Records Division. You should then destroy the copy of the transmittal you saved.

**Appendix C: Records Request Form**

## INSTRUCTIONS FOR PRD-160 RECORD REQUEST FORM

If you need further instructions, call 502-564-3617 and speak to anyone who answers. An alternate phone number is 502-564-8300, extension 237.

- 1) Enter your agency name (i.e. state agency, county name, etc).
- 2) Enter your office name (i.e. Public Records Division, circuit or district court, etc).
- 3) Enter your name.
- 4) Enter a contact phone number where we can reach you, and your extension if any. If this is a copy request for a customer enter the customer's phone number here.
- 5) Enter the action for this request (Example: send to a John Smith on receipt of record).
- 6) Check Original or Photocopy. Do you need the original record or a photocopy? Only the custodial agency can request that the original record be sent out. Other parties need to request a copy. There is a charge for copy service.
- 7) Enter your agency's address (and a mail stop if any). If this a copy request for a patron, enter the patron's billing address here.
- 8) Location is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Location in Center** on the left side of the form. (The format for the State Records Center is: Roman Numeral - Letter - Number. [Example: X-F-24 or V-F-24]) (The format for State Archives Center is: (Letter and Number / Letter and Number - Number. [Example: C31/E1-A])
- 9) Accession Number is listed on the Agency Locator copy of the appropriate records transmittal in the small box at the top right. (Example: R2007-1234 or A2007-1234). In the case of accessions in years prior to 1983 the format will be the number of the shipment followed by the year of the shipment. (Example: Transmittal 1 of 1982).
- 10) Unit Number is listed on the Agency Locator copy of the appropriate records transmittal in the block labeled **Box; Roll; Book; Bundle; or Other** second from the left.
- 11) This is the title of the record (name on case or description of the file).
- 12) This is the case number or file number.
- 13) Will you be returning the record to the State Records Center or the State Archives Center? (Yes or No)
- 14) Libraries and Archives use only.
- 15) Libraries and Archives use only.
- 16) In this block you can note specific instructions to follow once you receive the record, or you can enter instructions to ensure we understand your request.
- 17) Libraries and Archives use only.
- 18) These are the addresses to send records back for storage. Accession numbers beginning with an "R" are to be sent back to the State Records Center. Accession numbers beginning with an "A" are to be sent back to the State Archives Center.





**Appendix D: Electronic Records Transmittal**

**Electronic Records Transmittal to State Archives**  
 Kentucky Department for Libraries and Archives, Public Records Division  
 300 Coffee Tree Road, P.O. Box 537, Frankfort Kentucky 40602  
[RecordsTransfer@ky.gov](mailto:RecordsTransfer@ky.gov)

<b>Cabinet/Local Jurisdiction</b>	
<b>Department/Local Office</b>	
<b>Division</b>	
<b>Branch/Unit</b>	
<b>Retention Schedule Date:</b>	

Method of Transfer (Check One)		
<input type="checkbox"/> Optical Disk Disk No./Total Number of Disks: Number of Folders on Disk:	<input type="checkbox"/> File Transfer Protocol (FTP)	<input type="checkbox"/> E-mail Attachment
Total Number of Files Transferred:		

File Characteristics				
Series Number (As on Schedule)	Folder Name (Complete file name)	Format of Records in Folder	Number of Records in Folder	Date Span of Records

File Format Specifications		
<b>Software (and Version) Used to Created File</b>		
<b>Security Checklist</b>	<input type="checkbox"/> Security Settings Including DRM) Deactivated	<input type="checkbox"/> All Fonts Referenced and Embedded
<b>Other Documentation Included:</b> (See PDF Transfer Procedures for what must be included.)		

Agency Contact Information		
<b>Records Officer</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Technical Contact</b>	<b>Phone Number</b>	<b>Email Address</b>
<b>Form Completed By:</b>		<b>Date Form Completed:</b>

For KDLA use only	
<b>Accession Date:</b>	<b>Accession Number:</b>