



Department of Education

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Department of Education

The Kentucky Department of Education is a service agency of the Commonwealth of Kentucky. The department provides resources and guidance to Kentucky's public schools and districts as they implement the state's K-12 education requirements. The department also serves as the state liaison for federal education requirements and funding opportunities. The Kentucky Board of Education hires the Commissioner of the Department of Education.

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

Current organizational structure is as follows: Office of the Commissioner; Office of Guiding Support Services and General Counsel; Office of Administration and Support; Office of Knowledge, Information and Data Services; Office of Next-Generation Schools and Districts; Office of Assessment and Accountability; and Office of Next-Generation Learners.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Education	September 13, 2012
Agency	Schedule Date
Office of Financial Operations	June 8, 2023
Unit	Change Date
	June 8, 2023
	Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

 Agency Head	6/7/2023 Date of Approval
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 Agency Records Officer	6/7/2023 Date of Approval
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DocuSigned by:  C4B05A33799E433... State Archivist and Chairman, State Libraries, Archives, and Records Commission	6/8/2023 Date of Approval
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The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

DocuSigned by:  05AD74EB17A0474... Records Analyst/Regional Administrator	6/8/2023 Date of Approval
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DocuSigned by:  767A3F5C540E417... Appraisal Archivist	6/8/2023 Date of Approval
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DocuSigned by:  F25FB2B0E6734BA... State/Local Records Branch Manager	6/8/2023 Date of Approval
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The determination as set forth meets with my approval.

DocuSigned by:  09057BB509E3413... Auditor of Public Accounts	6/8/2023 Date of Approval
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STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of

Record Group
Number
0900

Series	Records Title and Description	Function and Use
02480	The Lincoln School Records	CLOSED: This series contains the records of the Lincoln Institute/Lincoln School. The Lincoln Institute/Lincoln School was formed in response to the 1904 Day Law, which was upheld by the 1908 Supreme Court decision forbidding the education of whites and blacks in the same Kentucky school. The law was aimed at Berea College, which had been integrated since 1863. The Lincoln Foundation was founded in 1910 and the Lincoln Institute opened in 1912 in Shelby County, KY and closed in 1966. The school offered vocational instruction, unlike the classical education that had been offered at Berea. The first African American president was Dr. Whitney M. Young, Sr. and he led Lincoln Institute for over 40 years as it became a prominent boarding school for African American children.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Student transcripts, Credits, Teacher Registers, Grade Sheets, Achievement data, Student Nominees, Official and Routine Correspondence, Disciplinary Actions records, Test Scores, Infirmary (testing program) records, Insurance claims, Student Evaluations, Attendance reports, Payroll records, Audio/Visual files (Commencements, WHAS Special Report), Dorm Counselor's files, Building plans and blueprints, Aerial Photos, Personnel files, Ledgers (General, Payroll, UK Appropriations), Budget files, Budget Reports and WK files, Photos, Foundation files, Special Reports, Class Record Books, Promotion reports, Practice Teacher files, Certificates, Publications (Commencement Programs, Lincoln Institute Worker, Lincoln Log, Tower Gazette, Tower Yearbooks), Alumni Lists, Classification Cards, Inventories, Payroll cards, Check registers, Church Treasurer's Record, Cash receipts, Journals (General, daily cash, accounts payable), Donation vouchers, Auditor's reports and Annual Reports.
	Retention and Disposition	Records maintained at the State Archives Center. Retention is permanent.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Assessment and Accountability, Office of

Record Group
Number
0900

Series	Records Title and Description	Function and Use
03194	District Assessment and Accountability Files	This series documents school district assessment and accountability requirements. Pursuant to KRS 158.6453 school districts must comply with the federal Elementary and Secondary Education Act (ESEA), 20 U.S.C. secs. 6301 et seq., or its successor. The Kentucky Department of Education (KDE) has developed an assessment and accountability program composed of annual student assessments, state and local program reviews and audits in selected content areas. Additionally, KDE has established a reporting structure for assessment and accountability, which includes a school report card that clearly communicates school performance to parents and the public.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of School District, grade level, name of school, dates, assessment name, assessment results, accountability results and school/district report cards.
	Retention and Disposition	Retain for two (2) years, then transfer to State Archives Center for permanent retention.
03493	Reports of Programs Mandated by the Legislature	This series documents the information that establishes the validity of the Assessment and Accountability Program (AAP). Pursuant to KRS 158.6453 (17), the Kentucky Department of Education (KDE) is required to gather information on the validity of the state's AAP. KDE develops a biennial plan for validation studies, which must take place in a timely manner and include a review of the accuracy of scores assigned to students and schools. The plan must be submitted to LRC by July 1 of the first year of each biennium and a summary of the findings must be submitted to LRC by September 1 of the second year of the biennium.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Validation Plan and Summary of the Findings.
	Retention and Disposition	Retain for five (5) years, then transfer to State Records Center for an additional five (5) years. Total retention is ten (10) years.
06801	KSA Testing Materials File	This series documents test materials prepared for annual (state) summative testing. Senate Bill 1 (SB1), revised by the Kentucky General Assembly, required updates to a new public school assessment program that was fully implemented in the 2021-2022 school year. The assessments were named the Kentucky Summative Assessments (KSA). The assessments for grades 3 through 8, 10 and 11 are a criterion-referenced test (CRT) customized for Kentucky. The KSA consists of multiple-choice, multiple select, technology enhanced, extended response, and short answer items. The KSA are online assessments with only a small percentage of accommodated students taking it on paper. For any paper testing materials provided, they are packaged according to specific orders placed and shipped to the attention of the District Assessment Coordinator (DAC) at the district office.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Student test booklets; Answer booklets; Reference sheets; alternative test formats (Audio CD, text reader, Braille test books, and large print test books).
	Retention and Disposition	Retain for five (5) years after testing year, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Career and Technical Education, Office of

**Record Group
Number
3072**

Series	Records Title and Description	Function and Use
06723	Occupation Based Teacher Certification File	This series documents occupational experience and professional development during the certification process for teacher candidates pursuing a professional certificate for teaching occupation-based career and technical education subjects. Per 16 KAR 2:020 teacher candidates employed based upon required occupational experience in the subject area to be taught can obtain a provisional certificate to teach while pursuing a professional certificate. The candidate is allowed a subsequent ten year period to complete the occupational program requirements and this occupational experience is confirmed through the Department of Education Office of Career and Technical education. The Education Professional Standards Board is responsible for issuing and renewing certificates for all Kentucky teachers and administrators.
	Access Restrictions	KRS 61.878(1)(a) - Regarding personnel information. Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain: application for certification; application for renewal; National Occupational Competency Testing Institute test scores; transcripts; Compass test scores; internship documents; supporting work experience documentation.
	Retention and Disposition	Retain until five (5) years after date of last activity, then destroy.
06812	Agricultural Education, Extended Employment Report File	This series documents summer agricultural education programs reported to the Department of Education. Per KRS 157.360 (12)(b), local school superintendents submit a completed report of summer tasks to the commissioner of education for each vocational agricultural teacher. KDE then reviews a sample of reports to determine that the summer plan has been properly executed. Agriculture Education is one of the Career Pathways program areas identified by the Office of Career and Technical Education.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain: Summer plan which shall include a list of tasks to performed, purposes for each task, and time to be spent on each task; Extended Employment Audit Report; and related correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Career and Technical Education, Office of
Area Technology Centers

**Record Group
Number
3072**

Series	Records Title and Description	Function and Use
06224	Student Master Folders	This series documents the cumulative educational history of each student. These records show yearly progress, grades, and provide documentation of student achievement. Also provided is the documentation necessary to qualify students for school attendance. This is the essential documentation for student evaluation, placement and graduation. After graduation it becomes a data file on the student that may be necessary for job placement, college entrance and other purposes vital to the individual student.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Student record card; various test scores; student activity participation sheet; senior check sheet; permission for release of school records; family rights privacy sheet; summary sheet of personal characteristics; career pathway; disciplinary documents; certifications earned; permission or recommendation records; census or pupil information, emergency contact information.
	Retention and Disposition	Retain transcripts with the student's name, date and contact information, GPA, classes taken, certifications earned, grades and years completed permanently. Destroy all other records three (3) years after student graduates or is no longer eligible for enrollment, whichever is longest.
06226	Personnel Files (Chapter 151B)	This series documents the employment history/personnel files for certain full-time and part-time unclassified employees, certified and equivalent staff, including administrative, teaching and supervisory staff in the Office of Career and Technical Education central office and state-operated vocational facilities as prescribed by KRS 151B.035 and KRS151B.045. These employees are granted the rights and benefits as all other employees covered by KRS 18A.190. This series verifies dates of employment, salary levels, sick and annual leave time accrual and other official personnel actions.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application; Personnel Actions (P-1's); Resume; Insurance forms; Retirement forms; Salary placement forms; Personnel performance evaluations; Teaching Certificate; Letter(s) of Reprimand; Exempt/Non-exempt form; Health/Life Insurance forms; Qualifying Classification; Position Description; Teacher/Kentucky Retirement System information; Service Record; Workman's Compensation Injury Records; Withholding statement; Education Authorization; Payroll Deduction Authorization; Test Scores; Military records; Training, Emergency contact information, Correspondence.
	Retention and Disposition	Retain for five (5) years after termination of employment, then destroy.
06227	Fire Safety Inspections File	This series documents fire safety and life safety inspections. These inspections ensure that safety features such as means of egress, fire alarm systems, sprinkler systems and other necessary equipment are maintained in satisfactory condition.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports: Systems inspected, date, time, inspector, comments and related documents (maintenance, repairs, upgrades, etc.).
	Retention and Disposition	Retain for five (5) years, then destroy.
06228	Hazardous Materials Exposure File	This series documents employee exposure to hazardous materials (lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation, asbestos).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date of exposure, amount, time, type of exposure, actions taken and related documentation.
	Retention and Disposition	Retain for thirty (30) years after employment is terminated, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Career and Technical Education, Office of
Area Technology Centers

Record Group
Number
3072

Series	Records Title and Description	Function and Use
06229	Health and Facilities Inspections File	This series documents health inspections conducted by the local county health department. Health inspections are typically performed every 90 days to ensure facilities meet specific health standards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports/results, pest control documentation and other related documentation.
	Retention and Disposition	Retain for one (1) year, then destroy.
06230	Facilities & Equipment Usage and Rental File	This series documents application for usage and rental of facilities and equipment. The application/approval process ensures that the school facilities and property will be used for the good of the school and/or community and that the applicant assumes liability for injuries and claims of loss or damage. Series contains agreements/contracts between center and applicant.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application of the individual and/or organization; purpose; date(s) and time for which the facility usage is requested; what facilities are to be used (classroom(s); halls, etc.); other facilities required (electrical hookups, audiovisual equipment, etc.) and any equipment that applicant would need to use and/or bring onto property; a signed contract; the assumption by the user of all liability for injuries or damage or loss; copy of applicant liability insurance policy; the fee charged; signatures and dates of the applicant and the approving authority of school and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06231	Accident Report File	This series documents accidents occurring on school grounds/facilities involving students, faculty and/or guests.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s), address, phone number, date of incident, description of accident and medical attention rendered.
	Retention and Disposition	Retain for five (5) years, then destroy.
06232	Class Record	This series documents class attendance for individual students and is a record of tests, reports, projects, units, etc. The series is used to record results of periodic tests and other assignments given to specific students in a specific teacher's class. These records are used to evaluate student class performance which results in the assignment of a letter, or numeric grade indicating scholastic achievement.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Center, school year, grade mark, teacher name, subject, class name, class time, student name, daily test results, daily average, unit test, grade distribution by reporting period, grade distribution by semester, attendance and other related information.
	Retention and Disposition	Retain for ten (10) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Career and Technical Education, Office of
Area Technology Centers

Record Group
Number
3072

Series	Records Title and Description	Function and Use
06233	Student Career & Technical/Training Agreement	The series documents the responsibilities that a student agrees to carry out while enrolled in a Career and Technical Education program. Agreements outline the responsibilities of students and employers.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: List of student responsibilities with signature line for student, parent/guardian, employer and teacher coordinator and date.
	Retention and Disposition	Destroy one (1) year after graduation, separation or withdrawal from program.
06234	Area Technology Centers Master Schedule/Course Offerings	This series documents the high school course description book and the master schedule which lists all courses to be offered by the Office of Career and Technical Education's area technology centers through an entire student cycle.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Course title, number of credits, grade levels opened to, course description and the prerequisites for admission to a class.
	Retention and Disposition	Retain for five (5) years, then destroy.
06235	Fire Drill, Emergency & Disaster Preparedness File	This series documents fire drill, emergency and disaster preparedness and verifies that drills have taken place at each center according to regulations. The series also documents actual events such as severe weather, fires and lockdowns.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of the center, type of drill, month, date, time of clearance, event type, date/time, actions taken, comments and related documents.
	Retention and Disposition	Retain for five (5) years, then destroy.
06238	Teacher Internship Program File	This series documents new teachers participating in the Kentucky Teacher Internship Program (KTIP). All new teachers and out-of-state teachers with less than two years of successful teaching experience who are seeking initial certification in Kentucky must serve a one year internship. KTIP was initiated in 1985 by the Kentucky General Assembly as an instrument for guiding and assessing first year teachers. KTIP is designed to help beginning teachers (interns) experience a successful first year in the classroom. KTIP provides each teacher with the assistance of a three-member committee trained in the supervision and assessment of beginning teachers. The committee supports effective teaching practice and guides the intern's professional growth.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Resource teacher time sheet, intern performance record, confirmation of employment along with supporting documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Career and Technical Education, Office of
Area Technology Centers

**Record Group
Number
3072**

Series	Records Title and Description	Function and Use
06239	Official Yearly Calendar	This series documents the approved state-operated area technology centers' yearly calendars. Calendars provide a monthly overview of events. As events and activities are added, the calendar is revised.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: List by date of events and activities.
	Retention and Disposition	Retain for five (5) years, then destroy.
06240	Plans, Drawings, Blueprints & Building Specifications	This series documents copies of facility/building specifications of area technology centers.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Plans, drawings and blueprints of structures which include name of structure, address, etc.
	Retention and Disposition	Retain permanently.
06241	Student Sign-In / Sign-Out Log	This series documents the dates/times that specific students enter and exit area technology centers. Sign-in/sign-out logs are used to document when students arrive, leave and reasons for being late and leaving early.
	Access Restrictions	KRS 61.878(1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series contains: Student name, time in, time out, reason and the signature of the parent/guardian when applicable.
	Retention and Disposition	Retain for two (2) years, then destroy.
06242	Textbook Inventory	This series documents area technology centers' textbook inventory. Inventories are completed and reconciled annually. Inventories are used as a means of accountability and control and are used as a reference to textbooks on hand and to the condition of those textbooks. The series is also used as a reference for re-purchase of damaged or lost books.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Textbook identification, inventory totals, school year, issue and return information: number issued, date issued, teacher name, returned date and number returned, condition and related information.
	Retention and Disposition	Retain for three (3) years, then destroy.
06243	Student Organization Financial File	This series documents financial activities of student organization fund accounts. The series is used to track and account for funds received into student organization accounts. These are funds that are received as a result of fundraising activities and are used for activities/events sponsored by the student organization and approved by the Area Technology Center.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Central ledger and/or Individual activity ledger, standard invoices, periodic reports, annual report, banking records, inter-fund transfer slips, treasurer's receipts and other related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Commissioner, Office of the

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06509	Kentucky Board of Education Minutes and Meeting Materials	This series represents the agenda and minutes of meetings of the Kentucky Board of Education. This is an official record of proceedings of regularly scheduled meetings of the Board. It provides information about the activities of the Board relative to policy decisions it makes for all local school districts in the Commonwealth, the actions it takes in regard to the issues brought before it, and the decisions rendered. This series also includes documents, regulations and supporting materials distributed and reviewed by the Board at these meetings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Board minutes: Date of meeting; time of meeting; location of meeting; name of board members or authorized proxies present; identification of those not present; decisions rendered; issues discussed; record of votes; staff notes; regulations; and supporting documentation (including official audiocassette recordings of meeting proceedings) of the Kentucky Board of Education; meeting agenda and other materials reviewed and distributed at Board meetings.
	Retention and Disposition	Retain one (1) copy permanently. Forward that copy to the State Archives Center when administrative value has ceased. Copies in addition to the official copy may be destroyed when no longer needed.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Commissioner, Office of the
Communications, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06732	Teacher of the Year Award File	This series documents the nomination and selection process for the Kentucky Teacher of the Year award. The Kentucky Teacher of the Year award is co-sponsored by Ashland, Inc. and the Kentucky Department of Education to recognize some of the top educators within the Commonwealth. The program recognizes Ashland Teacher Achievement Award winners. From this group three winners are recognized as the Elementary ToY, Middle school ToY, and High School ToY. From the three winners an overall Kentucky Teacher of the Year is then selected; this individual is offered a one year professional sabbatical with KDE and represents Kentucky in the National Teacher of the Year Program. The finalists and semifinalists receive cash awards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: applications, classroom visit overviews, interview questions with responses, chosen candidate notification letters.
	Retention and Disposition	Retain the Elementary, Middle School, and High School winning applications permanently. Retain the non-winning finalist and semifinalist applications for eight (8) years after year of award, then destroy. Retain all other applications until finalists are selected, then destroy.
06733	Milken Educator Award File	This series documents the Kentucky Department of Education's (KDE) participation in the Milken Family Foundation's (MFF) Milken Educator Award. The award program, established by the foundation in 1985, provides recognition and an unrestricted financial award to exceptional elementary and secondary school teachers, principals, and specialists who are further excellence in the nation's schools. Kentucky joined the program in 1993. Criteria for selection is set forth by the MFF and an independent blue-ribbon committee, appointed by KDE recommends candidates to the foundation for selection. There is no formal nomination or application process for the award.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Letters of recommendation for students; Blue Ribbon Panel; panel rating forms; interview response sheets; talent pool recommendations; final selection letter.
	Retention and Disposition	Retain for four (4) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Continuous Improvement and Support, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02405	Audit Reports - Title I, Part A	This series documents compliance and monitoring activities and provides technical assistance regarding issues in districts receiving Title I, Part A funds. Title I, Part A of the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA), is designed to help disadvantaged children reach high academic standards. Title I, Part A provides formula grants to districts, districts then allocate funds to Title I schools based on their number of low-income children. The district must use Title I funds only in schools that have been selected for services through allowable procedures. Funds are used to improve student achievement in high poverty schools.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Monitoring checklist for compliance components of Title I, Part A; Actions Needed form (used for follow-up with districts concerning required actions necessary to maintain compliance); Correspondence introducing the monitoring visit, to initiate follow-up actions, and to inform the district that all compliance requirements have been met; follow-up documentation submitted by the monitored district.
	Retention and Disposition	Retain for five (5) years, then destroy.
02890	School Improvement Grant (ESEA)	CLOSED: This series documents School Improvement Grants (SIGs) which are awarded by the U.S. Department of Education to state education agencies under Section 1003(g) of the Elementary and Secondary Education Act of 1965 (ESEA) and which was reauthorized by the No Child Left Behind Act (NCLB) in 2002. SIGs are competitively awarded to schools that are identified as those persistently lowest achieving (PLA). PLA schools that receive grant funds must implement a turnaround model that will improve student achievement and build internal and sustainable school capacity.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Approved applications, monitoring documents, award notifications, program and budget amendments and related documents and correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.
04993	Migrant Education, Certificate of Eligibility and Monitoring File	This series documents the enrollment of migrant children in Kentucky schools. It is used to determine the funds a school district or region will receive each fiscal year, per migrant child. It is also used to verify the residence of migrant children in subsequent years and for re-interview purposes. School districts and regions employ recruiters who seek out migrant families for the purpose of identification so that the families can be provided educational services for the children, as well as other services, such as assistance with obtaining food, clothing, medical services, etc. To qualify, the family has to cross a school district line, seeking agricultural work. Eligibility is for a three-year period. Currently, the Kentucky Department of Education provides services to migrant families in 106 of the 120 Kentucky counties. Monitoring of regional and local Migrant Education Programs occurs annually.
	Access Restrictions	KRS 160.700, et. seq., 20 U.S.C 1232 (g), KRS 61.878(1)(a)(l), FERPA Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Student name, school name, multiple birth data, date of birth, sex, ethnicity, birthplace, grade level, identification number; parent or guardian name, phone number and address; qualifying activity (type of job); qualifying data (based on moving to a particular area and date); parent/guardian signature; recruiter signature; coordinator signature; continued residency verification data (parent/guardian or person interviewed signature, date, relationship and Migrant Program representative signature); re-interview eligibility determination (same data as above); program compliance and finding information.
	Retention and Disposition	Retain Certificates of Eligibility, re-interview forms, and verification documents for ten (10) years from creation of record, then destroy. Retain all monitoring documentation for the current year plus three (3) additional years after findings are closed, then destroy. Retain the balance of the file for three (3) years after the current year, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Continuous Improvement and Support, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06356	ESEA Funding - Title I, Part D	This series documents the Kentucky Department of Education's administration of federal funding awarded to local school districts. Under the authority of the Elementary and Secondary Education Act, Title I, Part D (Prevention and Intervention Programs for Children and Youth who are Neglected, Delinquent, or At-Risk) is a funding source annually awarded to state agencies or to school districts to provide educational and support services to students who are neglected, delinquent, or otherwise considered at-risk.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Approved district plans, monitoring documents, award notifications, program and budget amendments and related documents and correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.
06357	ESEA Funding - Title X, Part C	This series documents the Kentucky Department of Education's administration of federal funding awarded to local school districts. Under the authority of the Elementary and Secondary Education Act, Title X, Part C (Homeless Education Program) provides homeless children and youth with access to the education and other services needed to ensure that they have an opportunity to meet the same challenging State student academic achievement standards to which all students are held.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Approved applications, monitoring documents, award notifications, program and budget amendments and related documents and correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.
06358	ESEA Funding - Title VI, Part B, Subpart 2	This series documents the Kentucky Department of Education's administration of federal funding awarded to local school districts. Under the authority of the Elementary and Secondary Education Act, Title VI, Part B, Subpart 2 (Rural and Low-Income Schools Program) funds are intended to assist rural school districts in using federal resources more effectively to improve the quality of instruction and student academic achievement. RLIS provides funds, based on rural locale and percentages of students in families below the poverty line. Districts must use the allocated funds for teacher recruitment and retention, professional development activities, parent engagement activities or to address an identified area of need for the district.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Eligibility spreadsheets, allocation worksheets, monitoring documentation, RLIS applications and budget forms and related documents and correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.
06359	Methods of Administration Files (Non-discrimination in education reviews)	This series documents the Kentucky Department of Education's (KDE) oversight and monitoring of school district compliance with federal non-discrimination regulations as it relates to education. This includes monitoring equal access to high-quality education programs for all students and facility accessibility. Per federal regulations, KDE is required to conduct on-site compliance reviews of local education agencies that provide career and technical education programs and receive federal financial assistance. To that end, KDE's, Division of Consolidated Plans and Audits, conducts on-site compliance reviews. The reviews are conducted to determine whether school districts are meeting the requirements of the civil rights laws.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Monitoring documents, voluntary compliance plans, evidence submissions and related documents and correspondence.
	Retention and Disposition	Retain for twenty (20) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Continuous Improvement and Support, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06360	School-Based Decision Making (SBDM) File	This series documents compliance and monitoring activities and technical assistance provided by the Kentucky Department of Education (KDE) regarding issues for Kentucky schools and districts implementing school-based decision making (SBDM) pursuant to KRS 160.345. With the exception of districts consisting of only one school, all Kentucky boards of education must have adopted and be implementing board policies relating to SBDM in all of their A-1 regular schools. All districts must designate an SBDM coordinator to monitor the implementation activities in the individual schools, including the statutorily required training and reporting to KDE.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Approved SBDM training provider applications, minority representation documentation, training verifications, approved SBDM training materials, review and approval of school and district improvement plans and related documents and correspondence.
	Retention and Disposition	Retain SBDM approved training provider applications, improvement plans and related legal correspondence permanently. Retain all other documents for five (5) years, then destroy.
06730	United States Senate Youth Program File	This series documents the Department of Education's (KDE's) participation in the United States Senate Youth Program. Each year two student delegates are selected by state-level education officials from qualifying high school juniors and seniors. Student delegates travel to Washington D.C. and are immersed in a week long educational program as guests of the U.S. Senate. Immersed in activities throughout the week, student delegates hear major policy addresses and participate in meetings with U.S.Senators, cabinet members, officials of the Departments of State and Defense, directors of federal agencies, and Justices of the U.S. Supreme Court. Each student delegate will also receive an undergraduate scholarship.The program began with U.S. Senate Resolution 324 on May 17, 1962 and the Senate continues to sponsor the Senate Youth Program by action each year through the Senate Rules Committee. It is funded and administered by The Hearst Foundations. Funds are provided to KDE to assist with the selection expenses.
	Access Restrictions	KRS 61.878(1)(a) - Regarding personal information; 20 U.S.C. §1232(g) ; KRS 160.700 et. Seq. - Regarding Family Education Rights and Privacy ActAgencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; student information; academic honors; transcripts; qualifying exam; notification letter; and selected finalists.
	Retention and Disposition	Retain for five (5) years after program year, then destroy.
06731	Non-traditional Instruction Program File (V)	This series documents an eligible school district's participation in virtual or other non-traditional means of instruction when, due to weather or another emergency, a school day would be cancelled. Per KRS 158.070(9), the Commissioner of Education may grant a waiver that allows an approved school district to count up to ten (10) non-traditional instruction days as regular attendance days in its school calendar and not have to make them up when school is cancelled. Applications are scored on a rubric that evaluates teaching methods, equal acces to the lessons for students without Internet access, staff deployment, community engagement and assessment of student learning.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: List of participating school districts; Applications for new and returning districts, with alternative instruction plan; scoring rubric; notification of acceptance; reports, and related correspondence.
	Retention and Disposition	Retain in agency two (2) years after end of school calendar year of application, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Continuous Improvement and Support, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06744	Certification File, School Prayer	This series documents compliance by Kentucky's local education agencies (LEA) with Section 9524 of the Elementary and Secondary Education Act (ESEA) of 1965. Section 9524 requires that, as a condition of receiving ESEA funds, a LEA must certify in writing to its state educational agency (SEA), for Kentucky the Department of Education (KDE), that it has no policy that prevents, or otherwise denies participation in, constitutionally protected prayer in public elementary and secondary schools. The certification shall be provided by October 1st of each year. By November 1st, KDE is required to report to the United States Department of Education (USDOE) a list of LEA's that have not filed the certification.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains certification form signed by school district superintendent with date signed.
	Retention and Disposition	Retain for two (2) years after school year, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Education Technology, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
04999	Local School District Technology Plans	This series documents the submission of technology plans, which detail current inventory and unmet technology needs for each school district pursuant to KRS 156.670 and 701 KAR 5:110. To participate in the education technology funding program, a local public school district must have an unmet technology need described in its district's technology plan and approved by the Kentucky Board of Education. The master plan for technology states that districts are required to describe unmet needs in the areas of software, hardware, building wiring, upgrades and professional development. School districts must match equally the funds offered.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Planning Methodology, Current Technology and Resources, Curriculum and Instructional Integration Goals, Student Literacy Goals, Staff Training Goals and Technology Goals.
	Retention and Disposition	Retain for six (6) years, destroy after audit.
05325	E-Rate/Universal Service Fund Files	This series documents the transactions required for Kentucky schools to participate in the Schools and Libraries Program of the Universal Service Fund, commonly known as E-Rate. Administered by the Universal Service Administrative Company (USAC) under the direction of the Federal Communications Commission (FCC), it provides discounts to assist most schools and libraries in the United States to obtain affordable telecommunications and Internet access.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pre-Bidding and Bidding Process documents; Contracts; Application Process documents; Purchase and Delivery of Services documents; Invoicing; Inventory; Forms and Rule Compliance; Receipt of Reimbursement documentation; and other documents necessary to demonstrate compliance with the statute and Commission rules regarding the application for, receipt and delivery of discounted services.
	Retention and Disposition	Retain for ten (10) years after the last day of service delivered for a particular funding year, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Educator Licensure and Effectiveness

Record Group
Number
0747

Series	Records Title and Description	Function and Use
02500	Educator Certification Files (V)	This series documents information submitted to Education Professional Standards Board (EPSB) when issuing, reissuing, and renewing certification and rank change requests submitted by educators and other school personnel (KRS161.020). No person shall be eligible to hold the position of superintendent, principal, teacher, supervisor, director of pupil personnel, or other public school position for which certificates may be issued, or receive salary for services rendered in the position, unless he or she holds a certificate of legal qualification for the position, issued by the EPSB. (KRS 161.020(1)(a)). The EPSB is responsible for issuing and renewing certificates for all Kentucky teachers, administrators, and other school personnel. The EPSB maintains a record of certificates and ranks for all active and inactive certified educators and other school personnel in Kentucky.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. KRS 161.030(4) – Individual assessment scores. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: applications, transcripts, certificates, confirmation of employment, statements of eligibility, waiver requests, final actions, and general correspondence; data may include personal contact information, assessment scores, fees paid, completion of Kentucky Teacher Internship Program, and educator preparation programs.
	Retention and Disposition	For files that contain complete applications that result in certification, retain until death of certificate holder or until seventy (70) years after date of issuance of first certification, whichever occurs first, then destroy. For files that contain incomplete applications that do not result in the issuance of a certificate, retain two (2) years after the date the request for application was initially made or, if the applicant does not submit a request, retain two (2) years after the applicant created an application profile. For files that contain complete applications that do not result in certification, those files will be included in Records Series 05000, Education Disciplinary Records.
02501	College and University Educator Preparation and Accreditation Files (V)	This series documents educator preparation programs of public and independent Kentucky colleges and universities which have been approved by the Education Professional Standards Board (EPSB) as meeting state guidelines for accreditation and program approval. KRS 161.028 and 16 KAR 5:010 require all Kentucky higher education institutions preparing certified educators to be accredited by the state (EPSB). Accreditation is the process for assessing the educational quality through voluntary peer review and helps to assure the public that an institution has a professional education unit that has met state, professional, and institutional standards of educational quality. Each institution has an accreditation cycle which may include national accreditation visits as well as state visits. This series documents state and national standards, the initial accreditation process, continued program review and accreditation renewal.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Institutional Report (institutional philosophy/goals and provides evidence that unit is meeting state, national and institutional standards), Board of Examiners (BOE) Report (on-site accreditation review recommends any areas for improvement in relation to the standards, also identifies whether the BOE team recommends standards are being met or not), BOE Report Rejoinder (required institution response following receipt of BOE report. May take the form of an acknowledgment letter or a document that substantively responds to the report or the conduct of the team visit), Annual Reports (submitted yearly and reviewed biennially reporting on institutional data, substantive change and progress addressing areas for improvement), Program Review Documents (information regarding curriculum and certification requirements for programs that result in EPSB-issued certification (Elementary, Secondary Math, School Principal, etc.)).
	Retention and Disposition	Transfer Board of Examiners Final Reports, Institutional Reports, Rejoinder Reports and Institutions Annual Reports to the State Archives Center when agency administrative need has ceased for permanent retention. Destroy remainder of files after fifteen (15) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Educator Licensure and Effectiveness

**Record Group
Number
0747**

Records Title Series and Description	Function and Use
<p>03264 Trades and Industry Certification Policies (V)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>CLOSED: This series documented the policies and requirements that allowed teachers to teach with Trades and Industry certification. These policies and statements were used to certify teachers between the years of 1936-1967. There may be some individuals who are teaching under the Trades and Industry Certification Policies. These policy statements are the only proof that those teachers met certification requirements for that time period and allows them to remain eligible to teach until they quit, retire or die. Unfortunately, this certificate is not recognized by the Teacher's Retirement System. At present, a decision has not been made as to whether to include these teachers into the Teacher's Retirement System should they desire that, as opposed to the Kentucky Retirement System.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains; Policies, letters and documents that specify certification requirements</p> <p>Retain for fifty (50) years.</p>
<p>03265 Beginning Educator Internship Program Records (V)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents educator testing and internship programs for candidates completing an approved teacher or principal preparation program (KRS 161.030 and KRS 161.027). Educators must pass state educator assessment requirements and successfully complete the one-year Kentucky Teacher Internship Program (KTIP) or the Kentucky Principal Internship Program (KPIP) to qualify for certification. Applicants for initial certification are required to achieve a passing score on all state educator tests using the cut score as established by regulation and must successfully complete the one-year internship. The Kentucky Internship Program's primary goals are to provide support and evaluation for new teachers and new principals during their first year. Teachers and principals trained in another state, who apply for Kentucky certification, must also complete the internship if they have less than the minimum years of full-time experience.</p> <p>KRS 61.878(1)(a) - Personal information; KRS 161.030(4) - Test scores. Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Statement of Eligibility (SOE); Confirmation of Employment (COE) for the Internship; letter to intern (stating pass/fail of internship); final report of intern; summative instruments; Teacher performance documents for unsuccessful interns/legal appeals; resource teacher payment roster; principal mentor payment roster; KTIP/KPIP appeals decision; Final order; Praxis assessments; NTE assessments; Kentucky Principal's Test (KYPT) results and letter to candidate; School Leadership Licensure Assessment (SLLA).</p> <p>Retain for five (5) years.</p>
<p>04376 Certified Position Vacancy File</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents vacancies that occur for certified positions in the various school districts. Pursuant to KRS 160.380 (2)(b), when a vacancy occurs in a local school district, the superintendent notifies the Kentucky Department of Education (KDE) thirty days before the position is to be filled. The local school district is to post the position openings in the local board office for public viewing. It is also posted in KDE and state university placement offices. If a position must be filled in less than thirty days, an Emergency Hiring Waiver Request Form is submitted for approval. KDE must then respond to the district's request within two working days. The vacancies will occur as a result of non-tenured teachers that re-apply for their jobs, or new positions that become available. The file verifies that appropriate posting and hiring measures were followed.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Report of School District Vacancies--District; Phone; Position Vacant; Grade Level; Subject Area (if applicable); School; Date Posted; Date School Begins; Reason for Vacancy; Steps to recruit minorities; Superintendent's Signature/Date. Emergency Hiring Waiver--Applicant's Name; SS#; Certification of Applicant; (Some qualifying questions of the School District) Check for Criminal Record; Search for Minorities; Selected from Pool of Applicant.</p> <p>Retain for two (2) years, then transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Educator Licensure and Effectiveness

**Record Group
Number
0747**

Records Title Series and Description	Function and Use
<p>04998 Teacher Portfolio File (Continuing Education) (V)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents the Continuing Education Option (CEO) for rank change and certificate renewal. Built around the Kentucky Teacher Standards adopted by the Education Professional Standards Board (EPSB), the CEO requires candidates to submit an independent professional growth plan (portfolio) based on the needs of the teacher, the students, and the school. The professional growth plan is a unique independent study that includes graduate level classes, professional development experiences, research, reading, and shadowing other professionals. KRS 161.095 requires EPSB to promulgate administrative regulations to establish procedures for a teacher to maintain a certificate by successfully completing meaningful continuing education. The CEO allows teachers to utilize continuing education related to maintaining a certificate, including university courses, an advanced degree, or a combination of university courses, field-based experience, individual research and approved professional development.</p> <p>KRS 61.878 (1)(a) - Personal information. KRS 161.030(4) - Test scores Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Scoring documentation, letter of completion, scorer payment documentation and related documentation.</p> <p>Retain for five (5) years. Portfolios may be destroyed after successful completion of the CEO process.</p>
<p>05003 Minority Education Recruitment and Retention Reports</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents the annual submission by local school districts of information regarding minority recruitment. As required in KRS 160.380 (2)(d), when a vacancy occurs in a local school district, the superintendent is to conduct a search to locate minority teachers to be considered for the position. The school district is to report, on an annual basis, the district's recruitment process and the activities used to increase the percentage of minority teachers, as provided for in 704 KAR 7:130.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Number and name of newspapers, magazines, journals advertised in; number and location of career fairs attended by a representative of the district; name of college campuses visited; name and number of minority organizations in which a vacancy notice was posted; description of other recruitment efforts made; number of vacancies in certified teaching positions, administrative positions and non-certified positions; known number of minority applicants interviewed in each category; number of minorities offered, but who declined, positions in each category; total number of positions filled; and signature of the district superintendent</p> <p>Retain for five (5) years, then transfer to the State Archives Center for permanent retention.</p>
<p>06100 Successful Completion of Initial Evaluation Training</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents initial evaluator certification training as mandated by KRS 156.557 and 704 KAR 3:345. All school district administrators having the responsibility of evaluating certified personnel, are required to be trained, tested, and approved in the proper techniques for effectively evaluating certified school employees. The Kentucky Department of Education has entered into a partnership agreement with the Kentucky Association of School Administrators (KASA), charging them with the authority to conduct this training. Once initial requirements are met, annual training is required for continued certification.</p> <p>NOTE: Partnering agent (KASA) only reports evaluators that successfully complete training.</p> <p>KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Name and SSN of evaluator, district, date of test, and location of test.</p> <p>Retain for thirty (30) years, then destroy.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Educator Licensure and Effectiveness

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06101	Effective Instructional Leadership Act Report	This series documents certified evaluators of certified personnel who are not in compliance regarding continuing training requirements as prescribed by KRS 156.557, 704 KAR 3:345 and 704 KAR 3:325. Districts notify the Kentucky Department of Education (KDE) annually, listing those individuals who have not met their annual continuing certification training requirements. If after one year, an individual remains non-compliant, KDE reports this information to the Education Professional Standards Board who may decertify the individual.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name, SSN and position of evaluator, district, total hours earned toward compliance and contact information.
	Retention and Disposition	Retain for two (2) years.
06108	National Board Files	This series documents reimbursements to eligible National Board (NB) Candidates, their districts and the Education and Workforce Development Cabinet through the Teachers' National Certification Incentive Trust Fund. KRS 161.133 and 161.134 require the Education Professional Standards Board (EPSB), through appropriations made by the General Assembly, to reimburse eligible candidates for up to 75% of out-of pocket certification fees and to provide a stipend of two hundred dollars per day for candidates for up to 2 days beyond the school contract year to prepare for the certification assessments. Stipends are also available to national board certified teachers who serve as mentors to other teachers within the school district, or the Kentucky Tech system. Candidates may also receive federal subsidies in addition to the funds provided by the incentive trust fund. Successful completion of the National Board for Professional Teaching Standards can result in a teacher receiving a rank change.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Correspondence with NB educator and supporting documentation for incentive trust fund payments.
	Retention and Disposition	Retain for eight (8) years.
06279	Teacher Quality Reports - Title II, Part A	This series documents the monitoring activities and technical assistance provided by the Kentucky Department of Education to local school districts to ensure compliance regarding the use of Title II, Part A funds. The purpose of the program is to increase academic achievement by improving teacher and principal quality. This program is carried out by: increasing the number of highly qualified teachers in classrooms; increasing the number of highly qualified principals and assistant principals in schools; and increasing the effectiveness of teachers and principals by holding Local Education Agencies and schools accountable for improvements in student academic achievement. State-level activities include: (1) recruiting and retaining highly qualified teachers and principals; (2) increasing the number of highly qualified teachers in classrooms; and (3) reforming teacher and principal certification programs. In exchange for receiving funds, agencies are held accountable to the public for improvements in academic achievement. Title II, Part A provides these agencies the flexibility to use these funds creatively to address challenges to teacher quality, whether they concern teacher preparation and qualifications of new teachers, recruitment and hiring, induction, professional development, teacher retention, or the need for more capable principals and assistant principals to serve as effective school leaders.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Teacher Quality Program Budget, Title II, Teacher Quality Monitoring Tool Actions Needed Form, correspondence to districts regarding the initial identification for project monitoring and any post-monitoring actions that need to be completed by the district; Teacher Quality Plan 2141(1) for districts identified for Teacher Quality Improvement status; Teacher Quality Accountability Plan 2141(c) a funding agreement for districts identified for Teacher Quality Accountability status.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Educator Licensure and Effectiveness

Record Group
Number
0747

Series	Records Title and Description	Function and Use
06465	Local Educator Assignment Data (LEAD) Report	This series documents that educators assigned to positions in Kentucky's local school districts have appropriate certification. The LEAD report is a semiannual report submitted each fall and spring by local school districts to EPSB to help ensure there is a properly certified educator in every position. The Report provides information on all courses, and compares staff and course information for all teachers to the EPSB's teacher certification database. School districts submit data and receive a Preliminary Audit Report back. That report is used to make corrections.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contains: name of district, name of school, the teacher's name, teacher's EPSB ID number, teacher's certification, and teacher's course assignments.
	Retention and Disposition	Retain for five (5) years after date of report, then destroy.
06743	Minority Educator Recruitment and Retention (MERR) Scholarship File	This series documents administration by the Department of Education (KDE) of the Minority Educator Recruitment and Retention (MERR) repayable scholarship. The scholarship is a competitive and renewable award which provides financial assistance up to a yearly maximum for minority students enrolled in eligible teacher education programs. If any of the requirements of the program are not met the scholarship converts to a payable loan. All responsibility for collecting on payment obligations rests with the Kentucky Higher Education Assistance Authority (KHEAA)
	Access Restrictions	KRS 61.878(1)(a) - Regarding Personal information; 20 U.S.C. §1232(g) ; KRS 160.700 et. seq. - Regarding Family Education Rights and Privacy ActAgencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Scholarship application form; demographic data sheets; promissory note; MERR Report submitted by participating institution of higher learning.
	Retention and Disposition	Retain Minority Educator Recruitment and Retention Reports submitted by a participating institution of higher learning permanently. Forward promissory notes to Kentucky Higher Education Assistance Authority (KHEAA) for students that fail to fulfill the service requirements of the scholarship. Retain remainder of file for eight (8) years after completion of required qualified teaching service, then destroy.
06842	Special Education Waiver	This series documents the key information elements that substantiate a school district's request for a special education waiver for any special education teacher to work temporarily with another special education population not covered by the educator's current certification.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: correspondence, waiver application, any documentation submitted in support of waiver application.
	Retention and Disposition	Retain until two (2) years after the date waiver is granted, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
Associate Commissioner, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
04413	Official Ballot File for Board of Trustees Election (Teachers' Retirement System)	This series documents the election of candidates to fill positions on the Board of Trustees of the Kentucky Teachers' Retirement System each year as terms expire. An election is held each year on or before June 1, to elect a new trustee(s), as required by KRS 161.260. The elected trustee(s) assumes office on July 1, following the election and will serve for a term of four years. The elections are by ballot under the supervision of the chief state school officer. Each person who is a contributing member or an annuitant of the retirement system may vote. The ballots are mailed from the Teachers' Retirement System offices and returned to the Department of Education for counting.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Ballots and envelopes.
	Retention and Disposition	Retain election results for three (3) years. Paper ballots may be destroyed after one (1) year.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
Budget and Financial Management, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
04048	Authorization to Acquire Investments/Loans	This series documents the request and purchase information for investments of the Kentucky Department of Education (KDE). The Division of Budget and Financial Management (KDE) initiates this form upon request of a local school district. It is sent to the Office of Financial Management and Economic Analysis, Finance and Administration Cabinet, (OFMEA) for approval. OFMEA authorizes the Department of Treasury to secure the investment by issuing the warrant through the Division of Accounts, Finance and Administration Cabinet. This series aides the Division of Budget and Financial Management (KDE) in monitoring the investment for a local school district and may be referenced for routine accounting activities or to make corrections or changes.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Investment/Loan (IL) No.; Vendor; Vendor ID No.; Date; Acquired for; Requested by; Voucher No.; Description; Transaction Code; Fund; cabinet, department, division, program/project No.; and Amount.
	Retention and Disposition	Transfer to the State Records Center two (2) years after the maturity of the investment for an additional three (3) years. Total retention is five (5) years after the maturity of the investment.
04050	Auditor's Reports and Financial Statement	This series documents the financial audit of various agencies that are sub-grantees of federal monies with responsibilities to the Kentucky Department of Education. The federal Office of Management and Budget, Circular 128, Single Audit Act, requires all agencies receiving federal grant monies of at least \$25,000 to be audited. These agencies, such as a summer camp, private school, or a daycare, would apply to the appropriate division, School and Community Nutrition for example, for the grant money it is requesting.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Letter of Transmittal; Financial Statement; Statistics; Notes to Statements; Compliance Reports; Audit Results.
	Retention and Disposition	Retain for two (2) years, then transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years.
06185	State Grants Files	This series documents program initiatives, financial transactions and assurance that the Kentucky Department of Education has met specific requirements for grant funding. Allocations are made and funding is distributed to school districts, co-ops, the Kentucky School for the Deaf and the Kentucky School for the Blind.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Award notifications, grant applications, grant calculations and allocations, and expenditure reports.
	Retention and Disposition	Retain for three (3) years, then transfer to State Records Center for an additional (5) years for a total retention of eight (8) years. If litigation, claim, negotiation, audit or any other action involving the records has been initiated before the expiration of the total eight (8) year period, records are required to be held until completion of the action and resolution of all issues which arise from it, or until the end of the total eight (8) year period, whichever is longest.
06186	Federal Grants File	This series documents program initiatives, financial transactions and assurance that the Kentucky Department of Education (KDE) has met specific requirements for grant funding. KDE receives federal grant funding from various federal sources including, the US Department of Agriculture, the US Department of Education, the US Department of Health and Human Services, and the US Department of Energy.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Award notifications, grant applications, grant calculations and allocations, and expenditure reports.
	Retention and Disposition	Retain for three (3) years, then transfer to State Records Center for an additional (5) years for a total retention of eight (8) years. If litigation, claim, negotiation, audit or any other action involving the records has been initiated before the expiration of the total eight (8) year period, records are required to be held until completion of the action and resolution of all issues which arise from it, or until the end of the total eight (8) year period, whichever is longest.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
Budget and Financial Management, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06188	Textbook Procurement Files	This series documents the Kentucky Department of Education's oversight of district textbook procurement process when specific funds are available. Pursuant to KRS 156.400, the chief state school officer shall arrange the elementary, middle, and high school subjects included in the state courses of study as prescribed by the Kentucky Board of Education into six (6) adoption groups. The textbook cycle for choosing a new book is every six years for each group. There is Group I: Language Arts, Reading and Literature, Group II: Social Studies, Group III: Science, Group IV: Mathematics, Group V: Practical Living, Career Studies, Career and Technical Education, and Group VI: Arts and Humanities.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Textbook filing fees, bids, publisher's bonds sent in with the bids, tabulated bids, allocations, accounts, allocation statements, multi-textbook lists and adoption.
	Retention and Disposition	Destroy three (3) years after contract termination and audit.
06736	Medicaid Services File, School-Based Health Services	This series documents the Kentucky Department of Education's (KDE) participation in the Medicaid school-based health services (SBHS) program, a joint effort between KDE and the Department of Medicaid, Cabinet for Health and Family Services. Through an interagency agreement local school districts may enroll as a Medicaid provider and receive reimbursement for Medicaid covered services. Medicaid school-based health services are medically necessary health services included in an individualized education program (IEP) that are provided to children who are eligible under both Medicaid and the Individuals with Disabilities Act (IDEA). A school district must apply annually and be certified by KDE to participate as a school-based health care provider. Reimbursements are remitted to the provider from the Department of Medicaid Services.
	Access Restrictions	20 U.S.C. §1232(g) ; KRS 160.700 et. seq. - Regarding Family Education Rights and Privacy ActAgencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; practitioner list; practitioner licensure; approval notifications; amendments to application; Monitoring Folder; Monitoring Report; Monitoring Review Sheet; related correspondence; individualized education program (IEP); Evaluations; conference summary; parental consent forms; service logs; attendance records.
	Retention and Disposition	Retain file for three (3) years after corresponding school year, then destroy.
06737	Medicaid Services File, School-Based Administrative Claiming	This series documents the Kentucky Department of Education's (KDE) participation in the Medicaid school-based administrative claiming (SBAC) program, a joint effort between KDE and the Department of Medicaid, Cabinet for Health and Family Services. Through an interagency agreement KDE serves as payment distribution agent for participating local school districts and provides project administration, general oversight, technical assistance, and claims review functions for SBAC participants. The SBAC program is a federally funded program that allows schools to be reimbursed for some of their costs associated with coordinating school-based health services and providing Medicaid outreach activities. A local school district provides documentation through a quarterly time study process that identifies the Medicaid and Non-Medicaid related activities being performed, and a series of calculations are used to determine the percentage of the school districts cost that can be claimed under the SBAC program. SBAC reimbursement to the school district is made from Medicaid federal funds.
	Access Restrictions	20 U.S.C. §1232(g) ; KRS 160.700 et. seq. - Regarding Family Education Rights and Privacy ActAgencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Quarterly Claim; Medicaid Eligibility Rate (MER); Countywide Medicaid Numbers; payment document; practitioner list; practitioner licensure; Monitoring Folder; Monitoring Report; Monitoring Review Sheet; related correspondence; individualized education program (IEP); Evaluations; conference summary; parental consent forms; service logs; attendance records.
	Retention and Disposition	Retain file of each participating local school district for five (5) years after payment of claim or audit, whichever is longer, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Facilities Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02509	District Facility Plans	<p>This series documents local school district facility surveys and district facility plans (DFPs) pursuant to 702 KAR 4:180. The DFPs contain an assessment of the school district's attributes and operations including the district profile, demographic information, facility conditions and finances (cost of delivery of services). Local school districts are required to select a Local Planning Committee (LPC) to develop a DFP outlining capital construction priorities. Information reviewed in developing the DFP provides the LPC with a comprehensive view of program and facility needs required to provide an equitable educational opportunity. The DFP is the mechanism for accessing funds that are restricted for school Capital Construction and Major Renovation. The DFP is used in the calculation of "Needs Based" funding and also to allow use of the remaining restricted funds.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: DFP, district surveys, draft plans, architect and engineer submittals (pricing data, drawings, building evaluations, inventories) and related correspondence.</p> <p>Retention and Disposition Retain one (1) copy in agency twelve (12) years. After twelve (12) years transfer one (1) copy to the State Archives Center for permanent retention.</p>
02581	Capital Construction Projects, Submission Documents File	<p>This series documents capital construction project submissions for public school buildings and grounds, including new construction, additions, and renovations. The District Facilities Branch reviews project applications and other required submittals prior to the local board of education releasing these for advertisement and bidding. Projects are reviewed according to the priorities listed in the appropriate District Facility Plan (L6710 and 02509) and the proposed funding source. The review is to ensure compliance with requirements related to Model Program of Spaces per 702 KAR 4:180; design criteria per 702 KAR 4:170; and the Capital Construction Process per 702 KAR 4:160. This series does not document what is ultimately received by the bidders or what is actually built. It represents conditional approval to advertise for bids. Final plans and specifications are reviewed in full by the Department of Housing, Buildings and Construction (DHBC) or an authority having jurisdiction for compliance with Kentucky Building Code prior to any work being done. After all plans are reviewed and approved, they become the on-site, official contract documents. The building plans included in this series are not updated: they remain as they were in the design stage. As-built plans (record documents), which document final construction and are required under the owner/contractor contract, are transmitted to the applicable school district where they are maintained (L5320). Note: Record Series was previously titled, Building Design Submission Development Plans</p> <p>Access Restrictions KRS 61.878(1)(m). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Building and Grounds forms (BG-1 Form - Project Application; BG-2 Form - Outline Specifications Energy Design Criteria; BG-3 Form - Statement of Probable Cost; BG-4 Form - Construction Contract Closeout; and BG-5 Form - Project Closeout), change orders and project correspondence; two parts for each project to be bid, a project manual containing specifications and a set of drawings (civil, architectural, structural, mechanical and electrical); the drawings referencing site development, building sections and elevations, structural support, mechanical, electrical, plumbing and fire protection systems, copy of construction contract and special systems such as data and phone network wiring and audio systems, such as intercoms.</p> <p>Retention and Disposition Retain project file with full set of specifications and plans for three (3) years after project closeout. Transfer project file to the State Records Center for an additional seven (7) years. Total retention is ten (10) years, then destroy. NOTE: KDE must notify appropriate school district prior to any destruction of drawings.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Facilities Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06689	Building Sites and Property Inspections	This series documents the building site and property inspection activities of the Department of Education, District Facilities Branch. The District Facilities Branch reviews potential building sites and properties prior to a school district acquiring any property. The review is performed to ensure compliance with requirements in 702 KAR 4:050, building sites, inspections, and approval.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain written request for a site review by the district, tentative approval letter; letter from school district's attorney regarding title; forbearance agreement; plat by registered surveyor; letter(s) from local/state government regarding roadway assessments; funding commitments; letters and/or reports regarding environmental and safety hazard analysis; site survey of site development costs; geotechnical information; current assessed value and classification by property valuation administrator; certified property appraisal; certification by school board members regarding conflict of interest related to the purchase of the property; Kentucky Board of Education meeting minutes regarding approval of waivers of purchase price; final approval/disapproval letter from KDE; copy of executed deed; and certificate of title insurance.
	Retention and Disposition	Retain plat, final approval letter, copy of executed deed, copy of title insurance, forbearance agreements, and Kentucky Board of Education Action in agency permanently. Retain the balance of the file for three (3) years after approval or disapproval for purchase, then destroy.
06690	Real Property Disposal File	This series documents the disposal of surplus real property. Per 702 KAR 4:090, school property proposed for disposal shall be surplus to the educational program of the district. The District Facilities Branch reviews real property proposed for disposal to ensure compliance with the requirements of the regulation.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: written request for a disposal of surplus real property; local board of education order declaring real property surplus to the educational needs of the district; certification by school board members regarding conflict of interest with the disposal of the property; advertisements; appraisal; results of sealed bidding or public auction; correspondence with the purchaser, and an executed agreement.
	Retention and Disposition	Retain in agency for eight (8) years after termination of property ownership, or audit, whichever is longer, then destroy.
06691	Property Easements File	This series documents activity concerning property easements. The District Facilities Branch reviews property easements to ensure compliance with requirements in 702 KAR 4:090 regarding property disposal.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: written recommendation from the local board of education for an easement; board order declaring easement surplus to the educational needs of the district; plat by a registered surveyor; appraisal by a certified property appraiser; approval letter from KDE and an executed agreement.
	Retention and Disposition	Retain plat, deed, and executed agreement in agency permanently. Retain the balance of the file for three (3) years after disposal of property, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Financial Management Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02519	School Building Revenue Bond and Refunding Revenue Bond Files	This series documents the issuance of bonds to finance construction of school buildings and to repair and improve existing structures. It provides the demographic and economic background of the school district, as well as, the means and schedule for payment of the bonds. The issuing of School District Finance Corporation School Building Revenue Bonds is authorized under KRS 162.120; 162.300; 162.385; and KRS 58.180. This series also documents authorization of school districts to finance capital construction projects and to issue refunding bonds.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Correspondence between the fiscal agents, school districts, bond counsel, and the Department; preliminary and final official statements; related forms; schedules of the bidding; breakdown of fund sources; semi-annual debt service; districts' total local debt and related documents and correspondence.
	Retention and Disposition	When bond is paid in full, transfer to the State Archives Center for permanent retention.
03042	Treasurers' Bonds and Pledge of Collateral File	This series documents bonds executed by treasurers of local boards of education which ensure against loss of district funds due to the actions of the treasurer pursuant to KRS 160:560 (2) and bonds executed by the depositories selected by the respective local boards of education to receive its funds pursuant to KRS 160:570 (2), which ensure protection of the district's deposits should the financial institution fail.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Treasurer's Bond and Depository Bond documents; and collateral agreement for depository bond.
	Retention and Disposition	Retain for three (3) years after the end of the bonded period, then transfer to the State Records Center for an additional three (3) years. Total retention is six (6) years after the end of the bonded period.
03164	Local School District Audits	This series documents audits of local school districts pursuant to KRS 156:255 to 156:295. The statutes call for the creation of a State Committee for School District Audits (SCSDA) with sole responsibility for ensuring the accounts of each school district in the Commonwealth are audited not less than once every fiscal year. SCSDA enters into contracts with each public school district and their selected auditor who set certain requirements and deadlines related to the district's annual fiscal audit. KDE's Division of District Support acts as the committee's administer and reviews the audits. School districts expending more than \$750,000 in federal funds must have a Single Audit performed in accordance with the Uniform Guidance issued by the U.S. Office of Management and Budget. School districts expending less than \$750,000 in federal funds, are not required to have a Single Audit. The audit opines if financial statements are presented fairly, transactions have materially complied with laws and regulations that affect expenditures of federal funds and may uncover issues related to management's implementation of financial internal controls.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Facts and findings; copy of the audit report, Review per Uniform Guidance; financial review, and related documents and correspondence.
	Retention and Disposition	Retain for two (2) years, then transfer to the State Archives Center for permanent retention.
03563	District Payment Register Report	This series documents grant expenditure information for local school districts. The report is done twice annually.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of School District; Check and Voucher Nos.; Amounts; Budget Unit; Location Code; Invoice.
	Retention and Disposition	Retain for two (2) years, then transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Financial Management Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
05314	Monthly Insurance Billings for Local School Districts	<p>This series documents detailed allocations of local school districts funds for health insurance, health reimbursement accounts, flexible spending accounts, life insurance and administrative fees. KDE is invoiced by the Department of Employee Insurance (Personnel Cabinet) each month for employee related health benefits/insurance. As of 2010, KDE no longer collects the data that was used in determining employee's participation in health insurance, or the data required for auditing. This data is now captured by the Personnel Cabinet's Human Resource Information System (KHRIS).</p> <p>Note: This series combines previous series 02366, Record of Type of Health Insurance Contracts for Each Local School District; 02368, Discrepancy Refund Letters from Blue Cross/Blue Shield for Local School Districts; 02372, Records of Disbursement Cost of Health Insurance for Each Local School District; and 02374, Blue Cross/Blue Shield Monthly Billings for All Local School Districts.</p> <p>Access Restrictions KRS 61.878(1)(a) - medical information. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Monthly billing forms for Health Insurance, Administrative Fees, Healthcare Reimbursement Account, Dental and Vision Reimbursement Account and Life Insurance; discrepancy/refund letters collected until December 2010; Records of Flexible Spending Account for Health or Daycare for employee contributions for payment.</p> <p>Retention and Disposition Retain for two (2) years, then transfer to the State Records Center for permanent retention.</p>
05795	Federal Reimbursement for Health Insurance Report File	<p>This series documents the "Federal Reimbursement of Health Benefits On Behalf Payments" that the Kentucky Department of Education receives from local school districts for the reimbursement of the school district employer's portion of Health Insurance, Life Insurance, Administrative Fees, Health Reimbursement Account (HRA), and Dental and Vision Reimbursement Account paid for federally funded district employees.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Report from local school and copy of payments, backup documentation and related correspondence.</p> <p>Retention and Disposition Retain for three (3) years, then transfer to the State Records Center for an additional five (5) years. Total retention is eight (8) years.</p>
06361	Non-profit and For-profit Organizations Audit File	<p>This series documents the audits of non-profit and for-profit organizations that receive federal funds passed through the Kentucky Department of Education (KDE) and expend over \$500,000 in federal funds. KDE's Division of District Support reviews the audits to ensure that an A-133 audit was performed. The Single Audit Act, as amended, requires non-profit and for-profit organizations that expend federal funds in excess of \$500,000 to have an audit performed in accordance with the U.S. Office of Management and Budget Circular No. A-133. The audit confirms that financial operations are conducted properly, financial statements are presented fairly, recipients have complied with laws and regulations that affect expenditures of federal funds, that recipients have established procedures to meet objectives of federal programs and that recipients have provided accurate information concerning federal funds. Non-profit and for-profit organizations receiving federal funds passed through KDE, but expending less than \$500,000 in federal funds are not required to have an A-133 audit.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Facts and findings, copy of the audit report, Review per A-133 and related correspondence.</p> <p>Retention and Disposition Retain for three (3) years, then transfer to the State Archives Center for permanent retention.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02511	General Budget of Each School District File	<p>CLOSED: This series documented the setting of local district tax rates and the projected revenue from those tax rates. Each school district (Board of education) prepared an annual school budget to reflect the amount of money needed for current expenses, debt service, capital outlay, and other necessary expenses of the school during the succeeding fiscal year, as required in KRS 160.470. It included an estimated total that was received from the common school fund, the setting of tax rates in order to determine the amounts needed by local taxation, the assessed valuation of property subject to local taxation, and an estimate by the Revenue Cabinet of public service company assessments and assessments from other property subject to local taxation in the jurisdiction of the tax-levying authority, i.e., an independent school district. The budget was received by the Department thirty days before the working budget and presented to the State Board for Elementary and Secondary Education.</p> <p>Note: Series 05318, replaced this series.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Estimated expenditures (administration, instruction, attendance, health services, plant operations, pupil transportation); estimated receipts from district taxes; rate of levy specified for school year; addendum to the general budget.</p> <p>Retention and Disposition Transfer to the State Archives Center for permanent retention.</p>
02512	District Tentative Budget and Working Budget File	<p>This series documents an estimate, tentative, or working budget of the revenues and expenditures for the subsequent school year for each local school district. Pursuant to KRS 160.470(6)(a)(b), on or before May 30 of each calendar year, each district board of education must adopt a tentative working budget which must include a minimum reserve of two percent (2%) of the total budget and a working budget is submitted to the Kentucky Board of Education (KBE) for approval. School districts are required to submit a tentative budget by May 30th and a working budget by September 30th to the Kentucky Department of Education. The budget must conform to all state regulations prescribed by KBE. It is based on the tax levy approved in the Tax Rates Levied Form (05318) and other adjustments due to changes in estimated enrollment, staffing, etc. The working budget must be submitted even if the tax rates levied form has not been adopted by the district.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Code class of receipts (code number, item, year estimated for, year received for); expenditures (administrative, instruction, attendance, health services, pupil transportation, etc.); recapitulation of receipts and expenditures; FSPK (Facility Support Program of Ky.) Budget; Capital Outlay Fund Budget; signatures and related documents.</p> <p>Retention and Disposition Retain for one (1) year, then transfer to the State Records Center for an additional four (4) years. Total retention is five (5) years.</p>
02513	Annual District Financial Reporting File	<p>This series documents the receipts, expenditures and financial status of each school district for each fiscal year. Pursuant to KRS 157.060 and 702 KAR 3:110, school districts are required to submit their unaudited Annual Financial Report (AFR) data to KDE, Division of District Support by July 25, each year. The AFR and the Balance Sheet data are used in the calculation of local tax rates, Support Education Excellence in Kentucky (SEEK) allocations and federal funding.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Unaudited and audited Annual Financial Report (AFR), actual receipts and expenditures report, balance sheet/recap and related data.</p> <p>Retention and Disposition Retain for three (3) years, then transfer to the State Archives Center for permanent retention.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02514	Teacher Annual Salary Schedule - (Bound Volumes) -	CLOSED: This series documented salaries and positions of all certified staff (bound volumes). It was used to verify that a school district was paying according to the statutory salary level, based on state and local funding of 185 instructional days, and considering rank and experience of teachers in the current year as in the preceding year. The State Board for Elementary and Secondary Education approved the schedule. Older schedules are used to verify work history and staffing patterns in school districts. This series represents the only record retained by the Department of Education on individual teachers. Additional information may be found in Series 05320, Professional Staff Data Form File.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Form F10-6 Salary Schedule Summary Sheet (rank, number of teachers, cost of salaries, total salary, supervision, extra services, total cost of instructional salaries); Salary Schedule printout by rank and experience; individual salary by social security number; name, rank, experience, subject, grade, days employed; total contract salary; changes in salary schedule.
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.
02515	Tax Rate Calculation File	This series documents the calculation of local district tax rates, as provided for in KRS 160.460 and KRS 160.470. All school taxes shall be levied on all property subject to local taxation in the jurisdiction of the tax-levying authority. The taxes are levied by the board of education of each school district. The tax dollars support the programs of the respective schools. The amount levied also is a factor in determining the amount of state funds a school district may receive.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Assessment certification; tax collector's report and reconciliation; tax calculation worksheets; tax rate certification.
	Retention and Disposition	Retain for ten (10) years, then transfer to the State Archives Center for permanent retention.
02516	Statistical Records of Financial Data	CLOSED: This series documented the record used to distribute the state allotment of funds to Kentucky's 181 local school districts. In 1979-80, the allotment was \$656,511,927.28. It was through the cooperation of Pupil Personnel, School Transportation, Vocational Education, Education for Exceptional Children, and Instruction that the materials were gathered to complete the calculations. The tentative calculation of the Foundation Program was based on forms sent in by the local districts. A personnel audit was prepared by hand and from this audit the calculations were made, distributing the millions of dollars each year. This series also includes 02517, Old Assessment Data, Foundation Program, Calculations and Equalization and 02520, Capital Outlay Files - Foundation Program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Final calculation of Foundation Program; personnel audit; report from Bureau of Instruction, Division of Teacher Certification; change sheets (from local districts) correcting information of the personnel staff data forms; all correspondence from the Department to local districts and from local districts to the Department concerning the forms and information; tentative calculation of the Foundation Program; applications from local districts for the calculation of the tentative Foundation Program; monthly payments to the local districts from the state were based on the tentative calculation.
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02518	Historical File on Financial Facts, Studies, and Court Cases	CLOSED: This series documented issues and studies that the Division of Finance, Department of Education participated in or provided information for. This series primarily targeted issues related to funding, taxation, transportation, and appeals to court decision, even an early study of the (unequal) distribution of funds throughout the state for public education. The Series contains charts or logs that support the studies.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Attorney General opinions, study charts, memoranda, minutes of Council/Committee meetings and correspondence.
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.
02564	Application for Reimbursement for Transporting Students to Vocation Sites	This series documents local school district applications for reimbursement of costs associated with transporting students to/from vocational schools and vocational training sites.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Application for reimbursement, mileage and related information.
	Retention and Disposition	Retain for three (3) years, then destroy.
02565	District Certification of Payment for Pupil Transportation to/from Vocational School	This series documents reimbursement to local school districts for costs associated with transporting students to/from vocational training sites.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: District number, amounts, dates and related documents.
	Retention and Disposition	Retain for three (3) years, then destroy.
02566	District Certification of Student Transportation (KSB/KSD) File	This series documents the reimbursement of local school districts for the costs associated with transporting students who attend the Kentucky School for the Blind and/or the Kentucky School for the Deaf.
	Access Restrictions	KRS 160.700, et. seq., 20 U.S.C. 1232(g), KRS 61.878(1)(a).. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Student information, district information, actual mileage and related documents.
	Retention and Disposition	Retain for three (3) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02587	Annual School Census Reports (1922-1990s)	CLOSED: This series documented school census reports from 1922 to the 1990s.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.
05317	Classified Staff Data Report	This series documents salary information on classified staff employed by local school districts. The information is required to be reported to the General Assembly every two years.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Job class codes; hourly wage rates; and the number of hours worked by school district classified employees.
	Retention and Disposition	Retain for three (3) years, then transfer to the State Archives Center for permanent retention.
05318	Tax Rates Levied Form File	This series documents the official notification of levied tax rates from local school districts to the State Board of Education. School taxes are levied on all property subject to local taxation in the jurisdiction of the tax-levying authority. The tax-levying authority is the board of education of each school district, as defined in KRS 160.455. Annual school levies are to be made no later than July 1st of each year. The information is used to determine the district's levied equivalent tax rate, which is the basis for Support Education Excellence in Kentucky (SEEK) funding.
		NOTE: This series replaced 02511, General Budget of Each School District File.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Tax rates levied on real and tangible property and motor vehicles, as well as utility and occupational permissive tax levies.
	Retention and Disposition	Retain for three (3) years, then transfer to the State Archives Center for permanent retention.
05320	Professional Staff Data Report	This series documents the collection of salary information on certified employees, as well as the 185-day salary schedule, as required in 702 KAR 3:100. The form is to be completed for each teacher paid by, or under the supervision of the local district as of September 15 and is to be submitted to the Kentucky Department of Education prior to October 1 of each school year. Information from the series is used by state, local and federal agencies. The funding level for teacher salaries is based on categories of experience.
		Note: This series replaces 02514, Teacher's Annual Salary Schedule Report, and 02435, Professional Staff Data Forms.
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Extended and extra service pay, and districts' 185-day salary schedule.
	Retention and Disposition	Retain for three (3) years, then transfer to the State Archives Center for permanent retention.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
05323	Support Education Excellence in Kentucky (SEEK) File	This series documents the calculation of the distribution of SEEK funds to local school districts, as provided for in KRS 157.360. In determining the cost of SEEK, the guaranteed base funding level is computed by dividing the amount appropriated for this purpose by the prior year's statewide average daily attendance. As defined in KRS 157.320 (2), base funding level means a guaranteed amount of revenue per pupil to be provided for each school district, to be used for regular operating and capital expenditures. Support Education Excellence in Kentucky means the level of educational services and facilities that are to be provided in each district from the public school fund pursuant to KRS 157.320(6).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: By district tallies of free lunch applications, average daily attendance, growth, exceptional children, transportation, home and hospital, vocational average daily attendance, and prior year adjustments.
	Retention and Disposition	Retain for five (5) years, then destroy.
05324	Impact Aid Grant File	This series documents a duplicate of the applications submitted by local school districts to the U. S. Department of Education for impact aid grant funds. It includes the certification of local contributions rates and maintenance of effort. An impact aid grant is funds provided to a school district by the federal government for educating children who live in or on federal property, such as a military base for a federally subsidized housing project. A school district qualifies for the funds when 3% or greater of its average daily attendance is made up of these children.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Applications for impact aid grant funds, submitted by local school districts.
	Retention and Disposition	Retain for one (1) year, then transfer to the State Records Center for an additional four (4) years. Total retention is five (5) years.
06362	Local School District Capital Outlay Funds File	This series documents the approval or denial by the Kentucky Department of Education of an individual school district (on a case by case basis and dependent upon the financial stability of the district) requesting use of Support Education Excellence in Kentucky (SEEK) capital outlay funds below safety factors of twenty (20) percent to a minimum of ten (10) percent in determining the initial bonding potential of a local district. The following sources of revenue shall be eligible as annual revenues in support of school building revenue bonds or notes: (1) SEEK capital outlay funds (KRS 157.420); (2) Facilities Support Program of Kentucky funds (KRS 157.440); (3) School building funds (KRS 160.476); and (4) Special trust funds (if a legal opinion is provided by bond counsel). Capital Outlay Funds Requests Greater than 80% for Debt Service payment is authorized by 702 KAR 3:020 (4).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Correspondence between the fiscal agents, school districts, and the Department; preliminary and final official statements; schedules of the bidding; breakdown of fund sources; semi-annual debt service; and districts' total local debt School; Urgent need reports, KDE facilities reports, KDE financial reports, SEEK calculation reports; FSPK (Facility Support Program of Ky.) Budget; Capital Outlay Fund Budget; signatures, HB 940 Tax Rate reports and related documents.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Archives Center for permanent retention.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
District Funding and Reporting Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
06363	Local School District Capital Funds Request File	This series documents requests submitted by school districts to use Capital Funds for operating expenses as permitted by House Bill 1 of the 2010 legislative session and extended by the 2012 legislative session. The districts submit requests to the Office of the Commissioner (KDE) to use restricted capital funds from the Capital Outlay Fund, Building Fund and/or Construction Fund for operating expenses. The requests are then routed through the Division of District Support for analysis and approval. If the Division of District Support determines that the request is compatible with the district's facilities plan and that the district has sufficient funds available per the request, then the request is approved by the Commissioner.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Capital Funds Request documents and related correspondence.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Archives Center for permanent retention.
06644	Salary Supplement Reimbursement for National Board Certification File	This series documents reimbursements to eligible school districts of annual salary supplements made to teachers who attain National Board for Professional Teaching Standards (NBPTS) certification, and are employed as teachers or mentors in the field of the national certification, pursuant to KRS 157.395. Teachers must be teaching in Kentucky Public Schools in the subject and age range of their NBPTS certification for 50 percent or more of their time. The supplement is added to the teacher's base salary. The school districts first pay the salary to the teacher and then request reimbursement from the Kentucky Department of Education. Funds are provided in the state Support Education Excellence in Kentucky (SEEK) appropriation to reimburse districts for these payments.
	Access Restrictions	KRS 61.878(1)(a) - Regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Teacher's name; Field of National Certification; date of certification; job class code; subject taught; grade level taught; name of school; reimbursement amount requested; name of school district;
	Retention and Disposition	Retain in agency for eight (8) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
Pupil Transportation Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02555	School Bus Accident Summary	This series documents a summary of annual School Bus Accident Reports submitted by all Kentucky school districts to the Kentucky Department of Education (KDE). Per 702 KAR 5:030 superintendents are required to annually report all school bus accidents that occurred during the year. Accidents involving serious student injury, fatality, or failure of safety equipment must be reported to KDE immediately. Local school districts retain all relevant and pertinent information for four years per Series L2101, Kentucky School Bus Accident Report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: account of accident, injury and fatality report information, parties involved, vehicle damage, property damage and other related information.
	Retention and Disposition	Retain one (1) copy of the Accident Summary in agency permanently. Retain Annual School Bus Accident Reports submitted by school districts in agency until matching year's summary is distributed, then destroy.
02557	Intent to Purchase School Buses (Certification Process)	This series documents the authorization to purchase school buses and the certification by the Kentucky Department of Education (KDE) that those buses meet specific state specifications. KRS 189.540 and 702 KAR 5:060 set forth methods and procedures for cooperative, centralized purchasing of school buses by local school districts through contracts established through KDE.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Vehicle identification number, vehicle body number, vehicle cost, authorization to purchase, final inspection, vender information and delivery date and build records.
	Retention and Disposition	Destroy one (1) year after vehicle is sold or otherwise removed from the fleet.
02560	School Bus Drivers' Data Sheet	This series documents certified district school bus operators approved by the Kentucky Department of Education (KDE). Qualifications and responsibilities of school bus drivers are established per 702 KAR 5:080, and KRS 189.540 relating to the transportation of children to and from school. All driver trainers are required to complete an intense initial certification regimen with additional annual update training. All drivers are required to complete a minimum number of hours of initial training and, to maintain certification, must complete a minimum number of annual training hours.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Driver names, social security numbers, license numbers, school district names, test scores, and grades.
	Retention and Disposition	Retain active driver files in agency. Once drivers become inactive, retain files for thirty (30) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
District Support, Division of
Student Tracking and Data Branch

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
04781	Attendance Review Reports	This series documents school district attendance review information collected by the Kentucky Department of Education. Reviews are done to ensure school districts are complying with the mandated instructional days requirement by KRS 158.070 and 702 KAR 7:130. Additionally, Support Education Excellence in Kentucky funding is based on the average daily attendance, which is verified during these reviews.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Review reports, district schedules, and district responses to the reviews.
	Retention and Disposition	Retain for two (2) years, then transfer to the State Records Center for an additional three (3) years. Total retention is five (5) years.
05319	Growth Factor Report and Summary File	This series documents the submission of attendance data by local school districts, pursuant to KRS 157.360 (8) and 702 KAR 7:125. Attendance data for the first two months of the current school year must be submitted by November 1st of each year. Information from this series is used to calculate the percentage change in average daily attendance of a district, between the first two months of the current school year with the average daily attendance of the first two months of the prior school year. The Support Education Excellence in Kentucky (SEEEK) program base and transportation funds are increased by the percentage of increase in attendance. Negative changes in growth do not result in a loss of funding for a district. KDE compiles information into a final Growth Factor Summary. Reports are maintained in the local school districts (L1954). NOTE: This series replaced 02589, Adjusted Average Daily Attendance Certification - First Two Months (Growth Factor Report) - Local School Districts.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Data by grade and school used to calculate average daily attendance and average daily membership. Includes but is not limited to aggregate days attendance and absence; race and gender count; adjustments for less than full-time attendance (Partial Day); nonresident/non-contract students; and overage and underage students.
	Retention and Disposition	Retain one (1) copy of the annual Growth Factor Summary in agency permanently. Retain Growth Factor Reports submitted by school districts for three (3) years in agency, then destroy.
05321	Superintendent's Annual Attendance Report and Summary File	This series documents the submission by local school districts, to the Kentucky Department of Education, of data on aggregate days attendance and absence; entries, reentries, withdrawals; male and female count; promoted, retained and primary; ethnic count; graduates and adjustments for shared time, nonresident, no contract, over and overage students; released time and state vocational average daily attendance, as required by 702 KAR 7:125. The report is due June 30, upon completion of each school year. Attendance data is reported by school, grade level and transportation code. The information is used to calculate each district's enrollment, membership, average daily attendance, average daily membership and percent of attendance. Average daily attendance is a vital part of the Support Education Excellence in Kentucky funding formula. KDE compiles information submitted by districts into a final SAAR Summary. Reports submitted are maintained by the local school district (L2308). NOTE: This series replaces 02586, Superintendent's Annual Statistical Reports; 02591, Principal's Annual Attendance Reports; and 02593, Annual Overage Pupil Reports.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Data by grade and school and district to calculate average daily attendance, average daily membership, percentage of attendance, membership and enrollment. Information includes but is not limited to: race and gender count; adjustments for less than full-time attendance (Partial Day); non-resident/non-contract/overage and underage; virtual/performance based proficient; eligible suspensions and eligible expulsions; up to ten (10) low attendance days due to weather; and five (5) lowest attendance days.
	Retention and Disposition	Retain one (1) copy of the Superintendent's Annual Attendance Report Summary in agency permanently. Retain SAAR submitted by school districts for three (3) years in agency, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02453	National School Lunch and Breakfast Program File	<p>This series documents the administration of the National School Lunch and Breakfast Program (7 CFR Part 210) by the Kentucky Department of Education (KDE). It is the responsibility of the USDA to write regulations for distribution to the state agencies. Section 210.0 (a): Application - The school food authority must apply to (KDE) for any school in the jurisdiction in which it desires to operate the School Lunch and/or School Breakfast Program. Applications must provide KDE with sufficient information to determine the eligibility of the school for financial aid as required by federal regulations and guidance materials. Section 210.0(b): Annual Agreement - KDE requires each school food authority to maintain a current written agreement on file. This agreement must contain, as a minimum, specific administrative and operational conditions as prescribed by the Federal Regulations for the National School Lunch Program Part 210 and the School Breakfast Program Part 220.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Application: Name of Contact Person, Phases of School Food Services (lunch, breakfast, milk, residential), Classification of school (grade levels); Periods of operation; Estimated no. people; National School Lunch Prog. - Prices (full/reduced); School Breakfast Program - Prices (full/reduced); Severe Need breakfast eligibility; Special Milk Prog.; Signature of Superintendent or Administrator. Instructions. Agreement: What the state agency agrees to; What the school food authority agrees to; What the state agency and school food authority mutually agree to; This agreement is hereby executed on behalf of the local school district (requires signature of school superintendent or legal representative); This agreement is hereby executed on behalf of Ky. Dept. of Ed. (signature of KDE Rep.); Attachment A and B</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>
02456	National School Lunch / Breakfast Workshop File	<p>This series documents the Kentucky Department of Education sponsored workshops. The purpose of the workshops is to provide local School Food authorities, managers and cooks, food service program personnel training on current state and federal administrative and operational policies, procedures, and program regulations. They are generally 7-11 area workshops with an average attendance of 1500-2000 people. Each of the workshops are geographically located throughout the state. Information covers elementary through high school grade levels on the lunch program and the breakfast program. It is done during the summer months and attendance is voluntary. These workshops provide those who attend with an agenda, pre-registration forms (returned to the U.S. Dept. of Agriculture to document attendance), and a copy of the training manual that includes any current federal changes in the food service programs.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Federal program documentation consisting of State Agency Workshop attendance records, programs/agendas, set of training manuals/materials, and curriculum.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02457	Special Milk Program in Summer Camp File	<p>This series documents the agreement and the application that supplies the necessary information to receive federal aid and documents that an agency has met the proper requirements set by the USDA to receive financial assistance for the summer camp program. Each school food authority or child care institution must apply to the Kentucky Department of Education (KDE) for any school or child care institution which it desires to operate the Special Milk Program. The application includes information in detail (number of children, number that drink milk, those that pay full cost or reduced fees), to enable KDE to determine that the sponsoring agency is eligible to participate in the program and the extent of the need for program payments. KDE enters into an agreement with each school food organization that has been approved for participation in the program. This application and agreement are filed together. This series verifies that the school or sponsoring agency is in compliance with state and federal requirements for the Special Milk Program such as: 1) operating a nonprofit milk service, 2) serving milk free to all eligible children, 3) complying with requirements for non-discrimination, and 4) submitting the Report Claim for Reimbursements (SN 02458) only for milk. Schools or child care institutions with pricing programs use the reimbursement payments received to reduce the price of milk to children.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Agreement: Clarifies the responsibility of the state agency, the responsibility of the school food authority, signature of the legal representative of the school food authority, signature of Director, Div. School Food Services. Application: names of contact person, classification of school or camp, period of operation, estimated number of children, cost of milk per half pint.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>
02458	Report and Claim for Reimbursement	<p>This series documents that federal regulations have been met and financial aid has been reimbursed according to the agreements (the school has met necessary eligibility requirements to receive federal financial aid). Reimbursement payments finance nonprofit School Food Service operations. To be entitled to this reimbursement, each school submits to the School Food Authority, then to the Kentucky Department of Education a monthly claim for reimbursement. This claim includes data in detail (Number of lunches/breakfasts served, number served at reduced prices, number served free of charge, cost of food, cost of labor, cost of equipment, equipment depreciation, etc.) to justify the reimbursement claimed.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Section I - Name of school, month, year, school membership (adults/students), average daily attendance, number of days meals are served, average meals served for breakfast/lunch/milk, opening bank balance, income due, deposits, expenditures, closing balance. Section II - Reimbursement for School Lunch/Breakfast, number of school, number served at regular price/reduced price/free, total served, rate and amount reimbursed. Section III - Cash and Reimbursement for Lunch/Breakfast, other income, federal donated commodities received. Section IV - Cost of Food used, cost of labor, cost of equipment, supplies, equipment depreciation, other direct cost, indirect cost, donations.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>
02459	Monthly Reimbursement Claim Receipt Ledger	<p>This series documents the receipt by the Kentucky Department of Education of the Report and Claim for Reimbursement from school food authorities or sponsoring agencies approved to participate in the National School Lunch and/or School Breakfast program. As the claims are received, they are logged in and maintained for auditing purposes. If a claim is lost/misplaced, it can be determined as to whether it was received or not.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: School Food Authority/Sponsoring Agency name, Agreement, Code Number, Calendar Date of claim report received, calendar date or Claim Report received by Div. of School Food Services.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02460	School Food Service Reviews	This series documents that each school and school district is in compliance with all state and federal requirements that were originally agreed to and claimed. The Kentucky Department of Education ensures by review, that school food programs are in compliance with state and federal guidelines in regard to the National School Lunch and/or School Breakfast Program or Special Milk Program. Reviews are to assess, monitor and make or recommend improvements in the performance standards of each school's food service program. Reviews typically include corrective action plans and follow-ups.
	Access Restrictions	42 U.S.C. 1751, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Central Office Review; Individual School Review Form; Free and Reduced Price Application Verification Review; Procurement Review; Financial Management Review; Final Report.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
02461	School Food Service Review Receipt Ledger (Log)	This series documents the receipt of review records and is used as a management tool in assessing program compliance monitoring requirements and accumulative reporting data. This ledger consists of the assessment, improvement, and monitoring system (AIMS) reviews, and other compliance reviews conducted within a fiscal year (October 1-September 30).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Calendar date of record, name of school food authority, name of school(s) reviewed, calendar date initial review records were received, calendar date of corrective action response (follow-up). Also, dates of any supervisory assistance, training, technical assistance reviews (dates - nature of visit).
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
02464	U.S. Dept. of Agriculture (USDA) School Food Service Reports	This series documents several reports that are sent to the USDA to document financial expenditures, reimbursements and participation data for all food service programs administered by the Kentucky Department of Education (KDE) and that KDE has met its obligations with the funding it has been provided. These reports include the *FNS-10 (Monthly Report at School Program Operations), FNS-44 (Monthly Report of Child Care Programs), and the FNS-418 (Summer Food Service Program). These three reports are performance based or funded. The meal has to be served before money can be received, thus justifying that the money has been used for food services in the school or child care agencies. The SF-269 is a Quarterly Food and Nutrition Service Report or a quarterly financial report from the state agency. The last document that is included in this file/report is the FNS-13, the Annual Report of Revenue and Costs. It is filed once per year to the USDA. It reports information on state funds provided to meet the state matching requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Quarterly Food and Nutrition Service Report (SF-269); Monthly Report at School Food Operations (FNS-10); Monthly Report of Child Care Program (FNS-44); Summer Food Service Program (FNS-418); Annual Report of Revenue and Costs (FNS-13).
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02465	Request for Payment of Letter of Credit and Status of Funds Report	This series documents the requests and expenditures by the Kentucky Department of Education to reimburse institutions for their costs in connection with food service operations (administrative, school lunch, school breakfast, special milk, child care and summer food programs).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date, Fiscal year, Please Order the Following Money For; 1) State Administrative Expense; 2) Special Milk Program; 3) Section 4; 4)Section 11; 5) School Breakfast Program; 6) Administrative Expense-CCFPC; 7) Cash for Commodities-CCFP; 8) Health Inspection Expense-SFSPC; 9) Administrative Expense-CCFP; 10) Nutrition Education; 11) Child Care Food Program-CCFP; 12) Child Care-Sponsor Administration; 13) Summer Food Service Program for Children; 14) Summer Food Program-Administrative; Total \$; Signature.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
02876	School Food Service Accreditation Program	This series documents that school food authorities are in compliance with state and federal regulations. The School Boards have a Self-study Menu Document that contains 11 areas of compliance (Policy Statement for Child Nutrition, Daily Menu and Production Records, Written Policies and Procedures on Competitive Foods, Written Food Service Personnel Procedures, Nutrition Education Plan, etc.). The School Food Service Reviews (SN 02460) are included as a part of this report. The USDA, in cooperation with the Kentucky Department of Education, visit these schools to insure they follow these guidelines. They have a 5 year Accreditation Evaluation Cycle, just for this Accreditation Program Review. All public schools receiving federal funding must be in compliance with these guidelines, or have 30 days to take corrective action.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Districts Self-Study Menu and Production Records; Memorandum/Instructions; Team Visit Review Documents; Final Report follow-up; Hearing Officers.; Accreditation Evaluation Reports; Accreditation Visit Review Documents for School District Central Office and Schools; and School District's Written Policies, Manuals and/or Guides Submitted as Part of the Accreditation Evaluation Process.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
03165	Payment Document - DOA - 30	This series documents the reimbursements sent to districts at any given month (or cumulatively). The cycle starts with the Report and Claim for Reimbursement (SN 02458) when it is returned to the Kentucky Department of Education (KDE). Once this is completed, the amount of money to be requested can be determined. A Request for Payment of Letter of Credit and Status of Funds Report (SN 02465) goes to the Treasurer's Office and is sent to USDA. The Payment Document (DOA-30) is sent to the Kentucky Finance and Administration Cabinet and the Treasurer's Office where the checks are cut. Once the checks are ready from Treasury, they are sent to KDE for voucher numbers and mailed to the school districts.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Purchase Order, the Payment Document (DOA-30), LEA Reimbursement Listing (for School Food Authority), Check.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
03166	Local School District Audits	This series documents audits mandated by the Single Audit Act of 1984. This mandate establishes audit requirements for state and local agencies that receive federal aid, and defines federal responsibilities for implementing and monitoring those requirements. The audit is completed by the Kentucky Department of Education's (KDE) Division of Budget and Financial Management. It studies all funds that flow through the general funding of the Board of Education, whether it's local, state or federal money. The audit confirms that financial operations are conducted properly, financial statements are presented fairly, recipients have complied with the laws and regulations that affect expenditures of federal funds, recipients have established procedures to meet objectives of federally assisted programs, recipients have provided accurate information concerning grant funds. A copy of this audit is reviewed by KDE's Division of School and Community Nutrition and if corrections are necessary, staff make comments or recommendations to the KDE's Division of Budget and Financial Management.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Financial Statements (General fund, Building fund, capital outlay), Notes and Corrections, Supplemental Schedules (federal program funds), Schedule of Accounts Payable and Accounts Receivable, Insurance in force, Listing of Board members and administrative Personnel, general comments, compliance report (Federal and State), Internal Accounting Controls, and Internal Controls, Administrative.
	Retention and Disposition	Retain for two (2) years.
03167	Technical Assistance Report	This series documents the on-site assistance provided by the Kentucky Department of Education's (KDE) field consultants to sponsoring agencies. KDE is responsible for, and obligated by, federal regulations to provide consultative, technical and managerial personnel to administer programs and monitor performance to ensure compliance with all program requirements. Such assistance may be in the form of menu planning, record keeping, financial management or general program assistance. Consultants must, at a minimum, visit participating schools to monitor compliance of USDA nondiscrimination regulations and the USDA Uniform Federal Assistance Regulations. There is no set requirement for visits to be made. They may come as a result of a sponsor request, a School Food Service Review (SN 02460), which is a formal compliance review, or some question in relation to the Report and Claim for Reimbursement (SN 02458).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Program involved (School lunch, breakfast, milk, etc.); Date of Visit; Initiated by; Name and address of School Food Authority/Sponsor; Name and address of school/site; Summary of Technical Assistance provided; Recommendations; Signature of person and position/school sponsor; Submitted by/signature of state agency staff.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
03168	Child Care Food Program File	<p>This series documents the food services program administered by a child care facility. This package of material will verify that an agency or organization has met state and federal requirements per USDA regulations 7 CFR 226 for child care food program participation. A child care facility is defined as a Type I facility. The facility provides care for more than 12 children, ages 0-12 with 25% of its enrollment under purchase of care (federally assisted child care payments for low-income families). The file documents the application process (to determine eligibility), the agreement (entered into and executed by owner, pastor, chairman of the board and contains specific administrative and operational conditions prescribed by federal regulations), site information (detailed information on the facility describing feeding capacity, times of meal service, how many meals served), management plan (daily and yearly operations, financial operations, civil rights data), policy statement (concerning free/reduced-price meals), the Report and Claim for Reimbursement (SN 02458) and Administrative Review Reports and Key Element Review System (the state agency provides technical or supervisory assistance to facilitate program operations, monitor progress in achieving goals, ensure compliance with nondiscrimination regulations, documents assistance activities, reviews conducted, corrective action prescribed, follow-up efforts, etc.).</p> <p>Access Restrictions 42 U.S.C. 1771, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Application, Agreement, Site Information sheet, Management Plan, Policy Statement, Statement of Authority, Report and Claim for Reimbursement (SN 02458), Administrative Review Report and Key Element Review System (KERS) Which contains check-off of all above documents plus IRS tax status letter, bid procedures, training information and procedures, site monitoring, enrollment with free or reduced price information, record keeping procedures, personnel information and food equipment information.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>
03169	Family Day Care Home File-Child Care Food Program	<p>This series documents the food services program of a Family Day Care Home. This material verifies that the home or residence that is participating in the food service program meets state and federal requirements per USDA regulations 7 CFR 226 for child care food programs. A family day care home is defined as a Type II Facility. Such facility provides care for 4-12 children in a private residence, licensed by the Cabinet for Human Resources, up to 24 hours/day, with children ranging in age from 0-12. The file documents the application process (to determine eligibility), the agreement (entered into and executed by owner, pastor, chairman of the board and contains specific administrative and operational conditions prescribed by federal regulations), site information (detailed information on the facility describing feeding capacity, times of meal service, how many meals served), management plan (daily and yearly operation, financial operations, civil rights data), policy statement (concerning free/reduced-price meals), the Report and Claim for Reimbursement (SN 02458), and Administrative Review Reports and Key Element Review System (the state agency provides technical or supervisory assistance to facilitate program operations, monitor progress in achieving goals, ensure compliance with nondiscrimination regulations, documents assistance activities, reviews conducted, corrective actions prescribed, follow-up efforts, etc.).</p> <p>Access Restrictions 42 U.S.C. 1771, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Application, Agreement, Site Information sheet, Management Plan, Policy Statement, Statement of Authority, Report and Claim for Reimbursement (SN 02458), Administrative Review Report, Key Element Review System (KERS) Which contains check-off of all above documents plus IRS tax status letter, bid procedures, training information and procedures, site monitoring, enrollment with free or reduced price information, record keeping procedures, personnel information and food equipment information.</p> <p>Retention and Disposition Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
03170	Summer Food Service Program for Children	This series documents the food services program of private, non-profit residential camps such as church camps, the University of Kentucky 4-H camp, etc. These camps are maintained and operated by city, county, and/or state agencies. These camps are for young people up to 18 years of age. The information in this file verifies that this camp and its sponsors comply with 7 CFR 225 regulations in order to be reimbursed by federal monies for food served to eligible children.
	Access Restrictions	KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; Agreement; Site Information sheet; Management Plan; Application for Advance Funding for June; Policy Statement; Administrative Review; Report and Claim for Reimbursement (SN 02458); Sponsor Training Program; Summer Food Service Program Site Disallowance Form (Violations, Comments, Corrective Action taken).
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
03171	Report of Visit - Child Care Food Program	This series documents child care program visits by field consultants to sponsoring organizations, child care agencies, and /or camps on a drop-in basis. It describes the work performed, the purpose of the visit, persons that are/were contacted and includes any recommendations made.
	Access Restrictions	KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of consultant; name and address of School Food Service Authority; name and address of school; purpose of visit; person(s) contacted; list of activities/assistance given; recommendations.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
03283	Free and Reduced Price Policy Statement	This series documents that each school in each district has agreed to and been approved for the Free and Reduced Price program according to federal regulations 7 CFR 210 (National School Lunch and School Breakfast Program) and 7 CFR 245 (Free and Reduced Price Meals and Free Milk in Schools). This file verifies the schools participating in the programs. It is a form that is completed by the schools and returned to the Kentucky Department of Education (KDE) for approval. KDE's Division of School and Community Nutrition maintains the original and returns a copy to the school district. These are renewed each year.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: The Free and Reduced Price Policy Statement document consists of the following: Attachment A-Eligibility Standards for Free and Reduced Price Meals (for approving officials only); B-Sample Parent Letter; C-Application for Free and Reduced Price School Meals; D-Notification to Parent(s); E-Public release; F-Collection/Accountability Procedures; G-Declaration of Intent (Offer Versus Serve Provision).
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.
05315	Day Care Audit File	This series documents audits conducted by the Division of School and Community Nutrition of day care facilities, as required by Federal Circular A-87. Audited facilities receive federal funds for meal reimbursement.
	Access Restrictions	42 U.S.C. 1771, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Audit reports; work Reports; related correspondence.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Finance and Operations, Office of
School and Community Nutrition, Division of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
05316	Non-Local/Non-Profit Audit File	This series documents the review by the Kentucky Department of Education's (KDE) Division of Budget and Financial Management of non-local/non-profit entities that receive more than \$500,000 in federal funds that are passed through KDE. OMB Circular A-133 requires pass-through entities to monitor sub-recipients expending more than \$500,000 in federal awards from various federal government departments, such as the U.S. Department of Agriculture and the U.S. Department of Education. Examples of recipient agencies are the Archdiocese of Louisville; Fort Knox Dependent Schools; some larger day care centers; and the Ohio Valley Educational Cooperative.
	Access Restrictions	42 U.S.C. 1771, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Audit reports; A-133 review information; and related correspondence.
	Retention and Disposition	Retain for four (4) years, then transfer to the State Records Center. Destroy five (5) years after audit and submission of year end financial status report and after any litigation, claims or audit findings which were begun before expiration of the 5 year period have been resolved.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Legal Services, Office of

Record Group
Number
0900

Series	Records Title and Description	Function and Use
02352	Litigation Files	This series documents an attorney's working file of a case. The Office initiates court actions or appeals on behalf of Kentucky Department of Education (KDE). A party also may commence a civil action or administrative appeal against KDE or an employee. Note: Personnel action litigation is not included in this file. See series 06210 for Personnel actions files.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(k)(l); KRE 503. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pleadings, correspondence, briefs, court orders or judgments, interview notes, administrative documents and investigations, hearing transcripts, settlement agreements, exhibits, agency records, evidence, discovery, research, attorney work product.
	Retention and Disposition	Retain for five (5) years after all litigation has ended and case is closed, then destroy.
03640	Chapter 1 - 1974 Federal Audit File	CLOSED - This series documented the federal audit and court proceedings between the Kentucky Department of Education (KDE) and the U.S. Department of Education (USDOE), related to the use of federal dollars for the Chapter 1 Program in 1974. Chapter 1 is a program which addresses the needs of at-risk children in all public and some private schools. It serves children that are at some type of educational disadvantage, such as children of migrant workers, children with disabilities, and neglected or delinquent children. The USDOE found that local school districts were using federal funds in place of state funds, which is illegal. The districts were not supplementing school readiness programs with state funds, as required. The USDOE did an initial audit, determining that KDE owed the federal government \$1 million. KDE filed a lawsuit to appeal the findings, and won. The USDOE appealed that decision. Finally, the U.S. Supreme Court ruled that KDE owed the federal government approximately \$3,000. This series provides some correspondence related to the case, and the outcome of court decisions.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Opinions of the Court of Appeals and U.S. Supreme Court; audit work papers from 49 selected school districts; state audit information; and related correspondence.
	Retention and Disposition	Transfer to the State Archives for permanent retention.
06210	Personnel Actions Litigation Files	This series documents an attorney's working file of a personnel action case. The Office initiates court actions or appeals on behalf of the Kentucky Department of Education (KDE). A party also may commence a civil action or administrative appeal against KDE or an employee.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(k)(l); KRE 503. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pleadings, correspondence, briefs, court orders or judgments, interview notes, administrative documents and investigations, hearing transcripts, settlement agreements, exhibits, agency records, evidence, discovery, research, attorney work product.
	Retention and Disposition	Destroy one (1) year after employee termination and all litigation has ended and case is closed, whichever is longest.
06211	Subpoena Files	This series documents an attorney's working file resulting from a subpoena duces tecum or subpoena. A party may serve a subpoena or subpoena duces tecum upon Kentucky Department of Education (KDE) seeking to obtain testimony and/or public records in a case or appeal not involving KDE.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(k)(l); KRE 503. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pleadings, correspondence, court orders or judgments and copies of KDE records associated with the order.
	Retention and Disposition	Destroy three (3) years after all KDE involvement has ended.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Legal Services, Office of

Record Group
Number
0900

Series	Records Title and Description	Function and Use
06212	Investigations and Enforcement Case Files	This series documents investigative activity of the Kentucky Department of Education's Office of the General Counsel. The file is created by opening an investigation of a complaint or allegation relating to some form of possible misconduct and/or statutory violation. Upon examination of the complaint/allegation, the investigator will gather information and evidence and present it to a General Counsel or other designated authority. The General Counsel or other designated authority will determine from the evidence available whether a violation(s) has been committed and whether the complaint/allegation should be pursued further.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(k)(l); KRE 503. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint report (assignment of case number, name of investigator, date received, by whom; source of complaint/allegation, address, classification code-nature of complaint; subject of complaint; allegation statement; recommended action, open/close, reasons, date; signature of investigator and supervisor, date); investigative notes; witness statements; evidence; photographs; correspondence from complainant; newspaper articles; recordings (of interviews) and related correspondence.
	Retention and Disposition	Destroy five (5) years after all litigation has ended and case is closed.
06280	Teacher Tribunal File	This series documents a teacher's Notice of Intent to Answer Charges by a School District as required by KRS 161.790(4). The Office of Legal Services (OLS) receives, on behalf of the commissioner of education, notification from a teacher in order to appoint the hearing officer to preside over the proceeding and to appoint tribunal members. OLS serves as official records custodian for the tribunal proceeding during the pendency of the proceeding. If the decision of the tribunal is appealed, OLS maintains the file.
	Access Restrictions	KRS 61.878(1)(a), FERPA. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Notice to Answer Charges, Notice to Appoint Hearing Officer, Notice to Appoint Tribunal Members, Orders of the Hearing Officer, Orders of the Tribunal, transcript, and other proceeding related documents.
	Retention and Disposition	Retain during the pendency of proceeding and any appeals. Transfer to the State Records Center thirty (30) days after final appeal for an additional five (5) years.
06281	State Evaluation Appeals Panel (SEAP) File	This series documents a certified employees appeal to the Kentucky Board of Education when the certified employee alleges that a local school district has failed to properly implement an approved personnel evaluation system pursuant to KRS 156.557 and 704 KAR 3:345.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Notice of Appeal, any appointment orders, written statements, decisions and related documents.
	Retention and Disposition	Retain during the pendency of proceeding. Transfer to the State Records Center thirty (30) days after Final Order for an additional five (5) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Legal Services, Office of
Education Professional Standards Board

**Record Group
Number
0747**

Series	Records Title and Description	Function and Use
05000	Educator Disciplinary Records (V)	This series documents misconduct cases brought before the Education Professional Standards Board (EPSB) against certified/licensed educators. Pursuant to KRS 161.120, EPSB may revoke, suspend, or refuse to issue or renew, impose probationary or supervisory conditions, issue written reprimands or admonishments, or any combination of these actions regarding any certificate issued under KRS 161.010 to 161.100, or any certificate or license issued under any previous law to superintendents, principals, teachers, substitute teachers, interns, supervisors, directors of pupil personnel, or other administrative, supervisory, or instructional employees
	Access Restrictions	KRS 61.878(1)(a)(h)(j) - Personal information, Investigation information, Preliminary recommendations Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Initiating report, acknowledgement letter, rebuttal notice, rebuttal (if filed), probable cause order, supporting documentation (such as criminal court records), transcripts of tribunal hearings, and all official correspondence.
	Retention and Disposition	Destroy one (1) year after notification of death.
06113	Attorney Work Files (V)	This series represents individual attorney working files regarding misconduct cases brought before the Education Professional Standards Board (EPSB) against certified/licensed educators. Pursuant to KRS 161.120, EPSB may revoke, suspend, or refuse to issue or renew, impose probationary or supervisory conditions, issue written reprimands or admonishments, or any combination of these actions regarding any certificate issued under KRS 161.010 to 161.100, or any certificate or license issued under any previous law to superintendents, principals, teachers, substitute teachers, interns, supervisors, directors of pupil personnel, or other administrative, supervisory, or instructional employees
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(l) - Personal information; administrative investigations; preliminary drafts/recommendations; KRE 503, attorney-client privilege, work product Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Interview notes, negotiated offer, initiating report, acknowledgement letter, rebuttal notice, rebuttal (if filed), supporting documentation (such as criminal court records), transcripts of tribunal hearings, any administrative proceedings and all official correspondence.
	Retention and Disposition	Destroy five (5) years after all litigation has ended and case is closed.
06820	Complaints and Reports, Certified Individual	This series documents activity of the EPSB's Division of Legal Services relating to complaints and reports of possible educator misconduct. The file is created by the receipt of a complaint or report relating some form of possible misconduct and/or statutory violation of KRS 161.120. Upon examination of the complaint/report, the EPSB staff will gather information and evidence and present it to the Executive Director or other designated authority. The Executive Director in conjunction with EPSB staff will determine from the evidence available whether a violation(s) has been committed and whether the complaint/report should be pursued further.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(l) - Personal information; administrative investigations; preliminary drafts/recommendations; KRE 503, attorney-client privilege, work product; 20 USC Section 1232g et seq Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notes, initiating complaint or report, supporting documentation (such as criminal court records), school district investigations, and corresponding correspondence.
	Retention and Disposition	If there is a determination of a violation, forward to Series 05000, Educator Disciplinary Records, for final action. Retain until five (5) years after determination has been made that there is insufficient evidence that a violation has occurred, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Legal Services, Office of
Education Professional Standards Board

**Record Group
Number
0747**

Series	Records Title and Description	Function and Use
06821	Complaints and Reports, Non-Certified Individual	This series documents activity of the EPSB's Division of Legal Services relating to complaints and reports of possible misconduct of non-certified staff. The file is created by the receipt of a complaint or report relating some form of possible misconduct and/or statutory violation of KRS 161.120. Upon examination of the complaint/report, the EPSB staff will gather information and evidence and present it to the Executive Director or other designated authority. The Executive Director in conjunction with EPSB staff will determine from the evidence available whether a violation(s) has been committed and whether the complaint/report should be pursued further.
	Access Restrictions	KRS 61.878(1)(a)(h)(i)(j)(l) - Personal information; administrative investigations; preliminary drafts/recommendations; KRE 503, attorney-client privilege, work product; 20 USC Section 1232g et seq Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notes, initiating complaint or report, acknowledgement letter, rebuttal notice, rebuttal (if filed), supporting documentation (such as criminal court records), transcripts of tribunal hearings, any administrative proceedings and all official correspondence.
	Retention and Disposition	Destroy one (1) year after notification of death.
06822	Administrative Hearing Files (V)	This series documents final action relating to misconduct cases brought before the Education Professional Standards Board (EPSB) against certified/licensed educators. Pursuant to KRS 161.120, EPSB may revoke, suspend, or refuse to issue or renew, impose probationary or supervisory conditions, issue written reprimands or admonishments, or any combination of these actions regarding any certificate issued under KRS 161.010 to 161.100, or any certificate or license issued under any previous law to superintendents, principals, teachers, substitute teachers, interns, supervisors, directors of pupil personnel, or other administrative, supervisory, or instructional employees. KRS 13B.130 requires that the responsible agency maintain an official record of the proceedings.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: All notices, pleadings, motions, and intermediate rulings; any prehearing orders; evidence received and considered; statement of matters officially noticed; proffers of proof and objections and rulings thereon; proposed findings, requested orders, and exemptions; A copy of the recommended order, exceptions filed to the recommended order, and a copy of the final order; all requests by the hearing officer for an extension of time, and the response of the agency head; ex parte communications placed upon the record by the hearing officer; and a recording or transcript of the proceedings.
	Retention and Disposition	Destroy one (1) year after notification of death.
06851	Expungement Files	This series documents all records in the possession of the EPSB that include any reference to a criminal conviction that has been since expunged pursuant to state law (For Kentucky, see KRS 431.073, KRS 431.076, KRS 431.078, and KRS 431.079). Under Kentucky law, applicants for educator professional certification are required to disclose all criminal convictions when applying. If a court subsequently orders that the criminal record shall be expunged, Kentucky law requires the EPSB to restrict access to any records in its possession that reference the conviction, but requires the EPSB to retain the record in accordance with its retention schedule.
	Access Restrictions	KRS 61.878(1)(l) - Public records or information the disclosure of which is prohibited or restricted or otherwise made confidential by enactment of the General Assembly. KRS 431.073(6) - Once records have been expunged, "agencies shall reply to any inquiry that no record exists on the matter." Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: police reports, court orders, character and fitness applications, waiver requests, agreed orders and final orders for disciplinary action relating to the expunged action, and general correspondence.
	Retention and Disposition	Retain records in the Office of the General Counsel until death of certificate holder or until seventy (70) years after date of issuance of first educator certification, whichever occurs first, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
02597	IDEA Formal Complaint Process Files	This series documents the formal complaint process and dispute resolution pursuant to 707 KAR 1:340 and as required by the Individuals with Disabilities Education Act (IDEA).
	Access Restrictions	KRS 160.705 (1)(a), FERPA, 20 U.S.C 1232 (g).. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Initial Complaint letter, Report of Findings, Corrective Action Plan, Record of hearing process and outcome, Individual Child Referrals, Requests for a Hearing, Appeals, Follow-up, Hearing Officers, Transcript of Hearings, Surrogate Parents and related documents.
	Retention and Disposition	Retain for two (2) years from last official action or complaint closure, then transfer to the State Records Center for an additional thirteen (13) years. Total retention is fifteen (15) years after last official action or complaint closure, whichever is longest.
02614	Local School District Monitoring and Reporting File (IDEA)	This series documents monitoring of local school districts to ensure compliance with programmatic requirements of part B of the Individuals with Disabilities Education Act of 2004 (IDEA). Pursuant to 707 KAR 1:380, the Kentucky Department of Education conducts monitoring of local school districts and other agencies that provide educational services to children with disabilities on a regular basis to determine compliance with federal and state requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notification of visit, monitoring report, corrective action plan (CAP), CAP status updates, CAP closure/correction notification and related documentation.
	Retention and Disposition	Retain for two (2) years, then transfer to the State Archives Center for permanent retention.
02615	State Personnel Development Grant (SPDG) File	This series documents program plan and administration of State Personnel Development Grants (SPDG). This federal program assists state education agencies in reforming and improving their systems for personnel preparation and professional development in early intervention, education, and transition services in order to improve results for children with disabilities. This Series contains the program plan that describes the granting period initiatives and how they will be administered and carried out during the awarded grant time frame. Annual performance reports and a final performance report is submitted to the U.S. Department of Education, Office of Special Education Programs for each awarded grant.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application submitted for SPDG grant, award notifications from U.S. Department of Education (OSEP), annual performance reports, final performance report, no cost extension award notification from OSEP (if applicable), awards of memorandum of agreements for initiatives if outside vendor/s are utilized and related documentation.
	Retention and Disposition	Retain for 2 years after grant ending date. Transfer to the State Archives Center for permanent retention.
02619	Grant Entitlements File	This series documents local school district funding awards provided under the Individuals with Disabilities Education Act of 2004 PL 108-446 (IDEA). Each year Kentucky receives two awards under (IDEA). One is under Section 611, Awards to States and the other under Section 619, Preschool. Each year KDE must flow through a minimum specified amount as determined by the US Department of Education to eligible local districts in the state. IDEA specifies the formula states must use in determining each grant and the amounts provided to each local school district.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Grant proposals, letters of notification and awards, evaluation reports and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of

**Record Group
Number
0900**

Series	Records Title and Description	Function and Use
03075	Gifted/Talented District Program File	This series documents the progress of the Gifted/Talented Education program in each school district, as well as providing the information on which to base decisions as to which programs are funded and the amount pursuant to 704 KAR 3.285. In addition this series provides the data used to compile the Kentucky Gifted Education Program Directory, a publication distributed to all school districts summarizing the results of funded programs statewide by district, and the Advisory Council on Gifted/Talented Education's biennial report to the Legislative Research Commission. In order to receive state funding, local school districts must submit yearly funding applications for review and approval. In addition, districts must submit a summative evaluation at the conclusion of each school year.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Applications from school districts, a through plan of the content of the program and instruction area to be targeted; certification of teachers involved in the program; program evaluation; funding expenditure reports and updates as necessary; progress reports from the districts; designation of units funded; program related correspondence; and yearly reports from the school district.
	Retention and Disposition	Retain for one (1) year. Transfer to the State Records Center for an additional five (5) years. Total retention is six (6) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Blind

**Record Group
Number
0900B**

Records Title Series and Description	Function and Use
02623 Deeds and Titles	This series documents copies of deeds/titles for the Kentucky School for the Blind's real property. The County Clerk's Office maintains the official copy.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Property deed.
Retention and Disposition	Retain permanently.
02625 Student Master Folders	This series documents the cumulative educational history of each student. This may reflect a student's special education placement and any due process that occurs, as well as the student activity in a special education program. These records show yearly progress, grades, and provide documentation of student achievement. Also provided is the documentation necessary to qualify students for school attendance. This is the essential documentation for student evaluation, placement and graduation. After graduation it becomes a data file on the student that may be necessary for job placement, college entrance and other purposes vital to the individual student.
Access Restrictions	KRS 61.878(1)(a), KRS 160.700, et. seq., 20 U.S.C 1232 (g).. Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Student record card; various test scores; student activity participation sheet; senior check sheet; permission for release of school records; family rights privacy sheet; summary sheet of personal characteristics; career pathway; disciplinary documents; certifications earned; permission or recommendation records; census or pupil information, emergency contact information. In addition special education due process documentation may also include Individual Education Program (IEP); record of parent contacts; evaluations; referral to program; conference summary report; student testing; special education protocols; and program monitoring information.
Retention and Disposition	Retain transcripts with the student's name, date and contact information, GPA, classes taken, grades and years completed permanently. Destroy all other records three (3) years after student graduates or is no longer eligible for enrollment, whichever is longest.
02626 Student Enrollment List	This series documents student enrollment by grade for the school year. Information is updated as students enroll and as they exit.
Access Restrictions	KRS 160.700, et. seq., 20 U.S.C 1232 (g).. Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Name of student, grade, date of enrollment, date of exit and related information.
Retention and Disposition	Retain permanently.
02627 Personnel Files (Chapter 161)	This series documents the employment history/personnel files for teachers at the Kentucky School for the Blind as prescribed by KRS 161.00. This series verifies dates of employment, salary levels, sick and annual leave time accrual and other official personnel actions. This series is the equivalent of the General Schedule for State Agencies series P0001.
Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Application; Personnel Actions (P-1's); Resume; Insurance forms; Retirement forms; Salary placement forms; Personnel performance evaluations; Teaching Certificate; Letter(s) of Reprimand; Exempt/Non-exempt form; Health/Life Insurance forms; Qualifying Classification; Position Description; Teacher/Kentucky Retirement System information; Service Record; Workman's Compensation Injury Records; Withholding statement; Education Authorization; Payroll Deduction Authorization; Test Scores; Military records; Training, Emergency contact information, Correspondence.
Retention and Disposition	Retain for five (5) years after termination of employment, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Blind

**Record Group
Number
0900B**

Series	Records Title and Description	Function and Use
02628	Gifts and Bequests Documentation File	This series documents gifts and bequests received by KSB. KSB receives donations of cash, property and other valuable items directly and by bequest. This series documents the value and specific facts associated with the gift and/or bequest.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of person(s) making the donation/bequest, check numbers, amounts, deed and other related documentation.
	Retention and Disposition	Retain permanently.
02629	Capital Construction Improvements and Enhancements File	This series documents all construction, improvement and enhancement activities to school facilities and/or property.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Plans, drawings, blueprints, specifications, proposals, maps, plats, photographs and all other related documentation.
	Retention and Disposition	Retain permanently.
02633	Special Accounts	This series documents activity for special student accounts. Series covers 14BF restricted accounts, donations, tuition paid for out-of-state, and students "bank" accounts.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Bank statements, cancelled checks; invoices, student bank account information and related financial activity documents.
	Retention and Disposition	Retain for three (3) years after account closed, then destroy.
02634	Free and Reduced School Meals Files	This series documents the administration of free and reduced meal programs provided at the Kentucky School for the Blind (KSB). Records are created and maintained for the singular purpose to ensure that federal and state laws and regulations are being adhered to. The Kentucky Department of Education's Division of School and Community Nutrition regularly audits school food service programs and these records are the supporting documentation necessary for such audits.
	Access Restrictions	42 U.S.C. 1751, et. seq., KRS 61.878(1)(a)(k)(l).. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Eligibility standards, application for free and reduced meals, notification to parent, public release, collection procedures and declaration of intent, general guidelines for verification, recommended guidelines for selecting applications for verification, parent letter of notification, income verification statement, notification of adverse action, and verification summary sheet. Child's name, school, teacher, grade, total household size, list of all household members, monthly income by source, all income received last month, food stamp households: case number, child's ethnic background. Final action: approval, disapproval, etc. Calculation of standard cost of food used for MISC/ALA Carte, food and milk purchased documents, USDA Commodities and Allocation of Cost to Program and related documents.
	Retention and Disposition	Retain for five (5) years, destroy after audit.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Blind

**Record Group
Number
0900B**

Series	Records Title and Description	Function and Use
02638	Graduation and Dedication Programs - KSB	This series documents program specifics for graduation ceremonies and dedication ceremonies.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Names of graduates, speaker information, details of dedication and related information.
	Retention and Disposition	Retain permanently.
02641	Student Medical Records File	This series documents the cumulative student medical file. These records ensure that the student has met state mandated health requirements to attend school, verify immunizations, medication logs, evaluations, permissions and health history.
	Access Restrictions	KRS 61.878(1)(a) - medical information, FERPA. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Immunization record, dental record, religious--medical exemption and related documents, medical examination form signed by physician, request and consent for immunization, pupil health appraisal, physician's notes, nurse's notes, psychiatric evaluations, permission forms, medication logs and other medical documentation.
	Retention and Disposition	Release to graduates at the time of graduation, or destroy one year after graduation; or retain until non-graduate student reaches the age of twenty-two (22).
06341	Volunteer Verification File	This series documents volunteer background verification checks (KRS 160.380). A school volunteer may be subjected to a criminal background records check if the volunteer may, in the course of the work, supervise students without a certified or classified employee present.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name and contact information of volunteer and copies of background/criminal report received from local law enforcement agency.
	Retention and Disposition	Update as needed. Retain for five (5) years after last volunteer assignment.
06342	Suspected Child Abuse and Neglect Reporting File	This series documents the reporting of suspected child abuse by school personnel. Pursuant to KRS 620.030(2), any person who knows or has reasonable cause to believe that a child is dependent, neglected, or abused must immediately report to a local law enforcement agency or the Department of Kentucky State Police.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Reporter's name and contact information, name of child who is suspected of being abused and/or neglected and related information.
	Retention and Disposition	Retain for one (1) year, then destroy.
06344	Accident and Incident Report File	This series documents accidents and/or incidents occurring on school grounds/facilities involving students and/or guests.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s), address, phone number, date of incident, description of accident and medical attention rendered if applicable and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Blind

**Record Group
Number
0900B**

Series	Records Title and Description	Function and Use
06346	Food Safety and Facilities Inspections File	This series documents food service health inspections conducted by the local county health department. Food Service inspections are typically performed every 90 days to ensure safe food handling procedures are being followed and facilities meet specific health standards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports/results, pest control documentation and other related documentation.
	Retention and Disposition	Retain for one (1) year, then destroy.
06347	Vandalism and Break-in Reports File	This series documents reports of campus vandalism and/or unlawful facility entries (break-ins). Typically, local law enforcement is contacted and an Incident/Offense Report is completed and maintained by the city police department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Incident/offense number, case number, violation code, time of notification, time of arrival, time completed, originating agency number, date of report, date form is filed, unit number of investigating officer, location of event (address), reported by (complainant), address of complainant, type of event, date and time of event and related documentation and related correspondence.
	Retention and Disposition	Retain for three (3) years, then destroy.
06348	Fire Safety Inspections File	This series documents fire safety and life safety inspections. These inspections ensure that safety features such as means of egress, fire alarm systems, sprinkler systems and other necessary equipment are maintained in satisfactory condition.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports: Systems inspected, date, time, inspector, comments and related documents (maintenance, repairs, upgrades, etc.).
	Retention and Disposition	Retain for five (5) years, then destroy.
06349	Boiler Safety Inspections File	This series documents campus-wide inspections of boilers and pressure vessels. Power boilers are inspected annually. Low pressure steam or vapor heating boilers, hot water heating boilers and hot water supply boilers are inspected biennially. Pressure vessels are inspected at the time of installation to ensure compliance with regulations and thereafter triennially. This series contains both internal and external inspections where applicable.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of building, address, inspector, date of inspection and related documents.
	Retention and Disposition	Retain for six (6) years, then destroy.
06350	Hazardous Materials Exposure File	This series documents employee exposure to hazardous materials (lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation, asbestos).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date of exposure, amount, time, type of exposure, actions taken and related documentation.
	Retention and Disposition	Retain for thirty (30) years after employment is terminated, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Blind

**Record Group
Number
0900B**

Series	Records Title and Description	Function and Use
06351	Food Service Audits File	This series documents food service audits performed by the Kentucky Department of Education's Division of School and Community Nutrition. This audit ensures compliance with all state and federal requirements regarding the National School Lunch and School Breakfast or Special Milk Programs and claims for reimbursement made by the Kentucky School for the Blind.
	Access Restrictions	42 U.S.C. 1751, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: KDE review; Individual School Review Form; Free and Reduced Price Application Verification Review; Procurement Review; Financial Management Review; Final Report and related documentation.
	Retention and Disposition	Retain for five (5) years, then destroy.
06352	Buildings, Grounds and Facilities Usage and Rental File	This series documents application for buildings, grounds and facilities usage and rental. The application/approval process ensures that the school facilities and property will be used for the good of the school and community and that the applicant assumes liability for injuries and claims of loss or damage. Series contains agreements/contracts between school and applicant.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application of the individual and/or organization, purpose, date(s) and time for which the facility usage is requested, what facilities are to be used (classroom[s], halls, cafeteria, gymnasium, pool, library, etc.), other facilities required (kitchen equipment, piano, cafeteria tables, electrical hookups, audiovisual equipment, etc.) and any equipment that applicant would need to bring onto property, a signed contract, the assumption by the user of all liability for injuries or damage or loss, copy of applicant liability insurance policy, the fee charged, signatures and dates of the applicant and the approving authority of school and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06364	School District Folder	This series documents the enrollment of every blind or visually impaired student as of the first Monday of the new year, in all school districts, private schools and home schools.
	Access Restrictions	KRS 61.878(1)(a) - FERPA. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Current and last year's district certificate of enrollment, assurance of compliance, Certificate of Attendance for Final Registration, Certificate of Federal Quota Allocation and current state eye report.
	Retention and Disposition	Retain current year and last year's certificate of enrollment and current eye report. Retain Federal Quota Allocation and Certificate of Attendance for Final Registration for five (5) years, then destroy.
06365	Outreach Student Folders	This series documents the contact history with students, parents and school district staff regarding Outreach consultations and services.
	Access Restrictions	KRS 61.878(1)(a)(k) - FERPA. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Functional Vision and Learning Media Assessments, eye reports, consultation reports, copy of referral (request for assistance), Technology Evaluations, Orientation and Mobility Evaluations and related correspondence and documents.
	Retention and Disposition	Retain until student reaches the age of twenty-two (22), then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Deaf

Record Group
Number
0900E

Series	Records Title and Description	Function and Use
02644	Student Master Folders (V)	This series documents the cumulative educational history of each student. These records show yearly progress, grades, and provide documentation of student achievement. Also provided is the documentation necessary to qualify students for school attendance. This is the essential documentation for student evaluation, placement and graduation. After graduation it becomes a data file on the student that may be necessary for job placement, college entrance and other purposes vital to the individual student.
	Access Restrictions	KRS 61.878(1)(a) - Personal information, KRS 160.700, et. seq., 20 U.S.C 1232 (g).. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Student record card; various test scores; student activity participation sheet; senior check sheet; permission for release of school records; family rights privacy sheet; summary sheet of personal characteristics; career pathway; disciplinary documents; certifications earned; permission or recommendation records; census or pupil information, emergency contact information.
	Retention and Disposition	Retain transcripts with the student's name, date and contact information, GPA, classes taken, grades and years completed permanently. Destroy all other records three (3) years after student graduates or is no longer eligible for enrollment, whichever is longest.
02646	Student/Staff Information Cards	This series documents general information about students/staff and is used as a quick reference and research device for administrators and researchers.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, DOB, address, dates of employment, position, spouse name, photograph, education information, obituary and other information.
	Retention and Disposition	Retain permanently.
02650	Free and Reduced School Meals Files	This series documents the administration of free and reduced meal programs provided at the Kentucky School for the Deaf (KSD). Records are created and maintained for the singular purpose to ensure that federal and state laws and regulations are being adhered to. The Kentucky Department of Education's Division of School and Community Nutrition regularly audits school food service programs and these records are the supporting documentation necessary for such audits.
	Access Restrictions	42 U.S.C. 1751, et. seq., KRS 61.878(1)(a)(k)(l).. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Eligibility standards, application for free and reduced meals, notification to parent, public release, collection procedures and declaration of intent, general guidelines for verification, recommended guidelines for selecting applications for verification, parent letter of notification, income verification statement, notification of adverse action, and verification summary sheet. Child's name, school, teacher, grade, total household size, list of all household members, monthly income by source, all income received last month, food stamp households: case number, child's ethnic background. Final action: approval, disapproval, etc. Calculation of standard cost of food used for MISC/ALA Carte, food and milk purchased documents, USDA Commodities and Allocation of Cost to Program and related documents.
	Retention and Disposition	Retain for five (5) years, destroy after audit.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Deaf

**Record Group
Number
0900E**

Series	Records Title and Description	Function and Use
02653	Personnel Files (Chapter 161)	This series documents the employment history/personnel files for teachers at the Kentucky School for the Deaf as prescribed by KRS 161.00. This series verifies dates of employment, salary levels, sick and annual leave time accrual and other official personnel actions. This series is the equivalent of the General Schedule for State Agencies series P0001.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; Personnel Actions (P-1's); Resume; Insurance forms; Retirement forms; Salary placement forms; Personnel performance evaluations; Teaching Certificate; Letter(s) of Reprimand; Exempt/Non-exempt form; Health/Life Insurance forms; Qualifying Classification; Position Description; Teacher/Kentucky Retirement System information; Service Record; Workman's Compensation Injury Records; Withholding statement; Education Authorization; Payroll Deduction Authorization; Test Scores; Military records; Training, Emergency contact information, Correspondence.
	Retention and Disposition	Retain for five (5) years after termination of employment, then destroy.
06213	Vandalism and Break-in Reports File	This series documents reports of campus vandalism and/or unlawful facility entries (break-ins). Typically, local law enforcement is contacted and an Incident/Offense Report is completed and maintained by the city police department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Incident/offense number, case number, violation code, time of notification, time of arrival, time completed, originating agency number, date of report, date form is filed, unit number of investigating officer, location of event (address), reported by (complainant), address of complainant, type of event, date and time of event and related documentation and related correspondence.
	Retention and Disposition	Retain for three (3) years, then destroy.
06214	Fire Safety Inspections File	This series documents fire safety and life safety inspections. These inspections ensure that safety features such as means of egress, fire alarm systems, sprinkler systems and other necessary equipment are maintained in satisfactory condition.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports: Systems inspected, date, time, inspector, comments and related documents (maintenance, repairs, upgrades, etc.).
	Retention and Disposition	Retain for five (5) years, then destroy.
06215	Food Safety and Facilities Inspections File	This series documents food service health inspections conducted by the local county health department. Food Service inspections are typically performed every 90 days to ensure safe food handling procedures are being followed and facilities meet specific health standards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Inspection reports/results, pest control documentation and other related documentation.
	Retention and Disposition	Retain for one (1) year, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Deaf

**Record Group
Number
0900E**

Series	Records Title and Description	Function and Use
06216	Boiler Safety Inspections File	This series documents campus-wide inspections of boilers and pressure vessels. Power boilers are inspected annually. Low pressure steam or vapor heating boilers, hot water heating boilers and hot water supply boilers are inspected biennially. Pressure vessels are inspected at the time of installation to ensure compliance with regulations and thereafter triennially. This series contains both internal and external inspections where applicable.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of building, address, inspector, date of inspection and related documents.
	Retention and Disposition	Retain for six (6) years, then destroy.
06217	Hazardous Materials Exposure File	This series documents employee exposure to hazardous materials (lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation, asbestos).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date of exposure, amount, time, type of exposure, actions taken and related documentation.
	Retention and Disposition	Retain for thirty (30) years after employment is terminated, then destroy.
06218	Food Service Audits File	This series documents food service audits performed by the Kentucky Department of Education's Division of School and Community Nutrition. This audit ensures compliance with all state and federal requirements regarding the National School Lunch and School Breakfast or Special Milk Programs and claims for reimbursement made by the Kentucky School for the Deaf.
	Access Restrictions	42 U.S.C. 1751, et. seq., KRS 61.878(1)(a)(k)(l). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: KDE review; Individual School Review Form; Free and Reduced Price Application Verification Review; Procurement Review; Financial Management Review; Final Report and related documentation.
	Retention and Disposition	Retain for five (5) years, then destroy.
06219	Buildings, Grounds, and Facilities Usage and Rental File	This series documents application for buildings, grounds and facilities usage and rental. The application/approval process ensures that the school facilities and property will be used for the good of the school and community and that the applicant assumes liability for injuries and claims of loss or damage. Series contains agreements/contracts between school and applicant.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application of the individual and/or organization, purpose, date(s) and time for which the facility usage is requested, what facilities are to be used (classroom[s], halls, cafeteria, gymnasium, pool, library, etc.), other facilities required (kitchen equipment, piano, cafeteria tables, electrical hookups, audiovisual equipment, etc.) and any equipment that applicant would need to bring onto property, a signed contract, the assumption by the user of all liability for injuries or damage or loss, copy of applicant liability insurance policy, the fee charged, signatures and dates of the applicant and the approving authority of school and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Special Education and Early Learning, Office of
Kentucky School for the Deaf

**Record Group
Number
0900E**

Series	Records Title and Description	Function and Use
06220	Capital Construction Improvements and Enhancements File	This series documents all construction, improvement and enhancement activities to school facilities and/or property.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Plans, drawings, blueprints, specifications, proposals, maps, plats, photographs and all other related documentation.
	Retention and Disposition	Retain permanently.
06221	Volunteer Verification File	This series documents volunteer background verification checks (KRS 160.380). A school volunteer may be subjected to a criminal background records check if the volunteer may, in the course of the work, supervise students without a certified or classified employee present.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name and contact information of volunteer and copies of background/criminal report received from local law enforcement agency.
	Retention and Disposition	Update as needed. Retain for five (5) years after last volunteer assignment.
06222	Student Medical Records File	This series documents the cumulative student medical file. These records ensure that the student has met state mandated health requirements to attend school, verify immunizations, medication logs, evaluations, permissions and health history.
	Access Restrictions	KRS 61.878(1)(a) - medical information, FERPA. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Immunization record, dental record, religious--medical exemption and related documents, medical examination form signed by physician, request and consent for immunization, pupil health appraisal, physician's notes, nurse's notes, psychiatric evaluations, permission forms, medication logs and other medical documentation.
	Retention and Disposition	Release to graduates at the time of graduation, or destroy one year after graduation, or retain until non-graduate student reaches the age of 22.
06343	Suspected Child Abuse and Neglect Reporting File	This series documents the reporting of suspected child abuse by school personnel. Pursuant to KRS 620.030(2), any person who knows or has reasonable cause to believe that a child is dependent, neglected, or abused must immediately report to a local law enforcement agency or the Department of Kentucky State Police.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Reporter's name and contact information, name of child who is suspected of being abused and/or neglected and related information.
	Retention and Disposition	Retain for one (1) year, then destroy.
06345	Accident/Incident Report File	This series documents accidents and/or incidents occurring on school grounds/facilities involving students and/or guests.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s), address, phone number, date of incident, description of accident and medical attention rendered if applicable and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Education, Department of
Teaching and Learning, Office of
Program Standards, Division of

**Record Group
Number
0900**

Records Title Series and Description	Function and Use
<p>02594 Local School District Program Approval Files</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>CLOSED: This series documents funding for local school district special education teachers via the Minimum Foundation Units (each unit is essentially a teacher). Districts completed a Professional Staff Development (PSD) form for each special education teacher. The PSD provided the teacher's certification, their assignment (per period) and a count by disability and the number of students served each assignment.</p> <p>KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Professional staff data forms, Minimum Foundation Units, Tentative Allotment of Public School Foundation Program Fund, Classroom Unit Allocations (special education).</p> <p>Transfer to the State Archives Center for permanent retention.</p>
<p>04386 Textbook/Instructional Materials Plan File</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents the developmental plan in which a school district selects and purchases textbooks and instructional materials. In the past, the Department of Education adopted the textbooks/instructional materials to be used, and the school districts selected three choices from this list. With the passage of HB 545 in 1992, the school districts receive funds based on the per-pupil allotment for purchasing books and instructional materials. The local board may adopt the entire state multiple list or a list inclusive of the district's schools. Schools identify all purchases, including replacements of books and materials during the six year adoption period (part of a plan developed by each school and kept on file in the district office). A school may carry forward to the next school year any part of its textbook/instructional materials allocation. A school's selections are based on: 1) Kentucky Core Academic Standards, 2) students' needs, 3) philosophy of school/district, 4) existing school plans, and 5) assessment reports. To purchase materials not identified on the state multiple list, a waiver must be approved with information describing alternate choices.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Plan/selections for textbooks/instructional materials to be used; School name/Grades/Enrollment; Content areas; Persons responsible for plan; Six-year summary (Adoption cycle); Statement of Accountability (Council Signatures); Waiver Request when the district selects books outside of suggested list (Course Title/Grade level; Textbook Title; Cost; Publisher; Correspondence relating to reasons/justification for waiver); Signature of Superintendent or School Council Chair/Date.</p> <p>Retain for ten (10) years. Destruction must be approved by the State Archivist.</p>
<p>06145 Textbook/Instructional Materials Selection File</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This series documents the process of textbook selection for inclusion in the State Multiple List of approved materials for schools and districts. Schools identify all purchases including the replacement of books and materials during the six-year adoption period (part of a plan developed by each school and kept on file in the district office). To purchase basic items not on the State Multiple List, schools complete an Off-List Notification (KRS 156.445) that includes a local evaluation of items and local signatures, as well as documents from publishers, and notify the Kentucky Department of Education. The Off-List Notification documents from publishers are filed at the district level.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series may contain: Off-List Notifications; Content Area Evaluation Tools; Textbook reviewer notes and/or summaries; Vendor submitted bid packets; approved State Multiple Lists; approved Consumer Guides for State Multiple Lists; approved substitutions and related documentation and correspondence.</p> <p>Retain for seven (7) years, then destroy.</p>

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Number
0900**

Series	Records Title and Description	Function and Use
06373	School District Waiver Requests File	This series documents local school districts requests for waiver from the Kentucky Department of Education (KDE) for certain types of circumstances when their special education teachers are operating outside of state requirements. Examples may include, issues of teacher certification (area of assignment), caseload (request to exceed), class size (request to exceed), grade range (same age/grade peers), membership, and assignments. Additionally, this series documents local school districts notices to KDE of a shortened school day for students with disabilities.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Waiver request and notices of shortened school day, teachers name, certification, EPSB approval notice, approval letter from KDE and related documents.
	Retention and Disposition	Retain for five (5) years, then destroy.