



Cabinet for Health and Family Services

Department for Community Based Services

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.

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

The Department for Community Based Services (DCBS) was formed in 1998 within the Cabinet for Families and Children by KRS 194.030 to give local offices more decision-making authority and the ability to collaborate more effectively with other community service providers. The Cabinet for Families and Children and the Cabinet for Health Services were consolidated in 2004.

The department provides family support; child care; child and adult protection; eligibility determinations for Medicaid and food stamps; and administration of an energy cost assistance program. The department administers the state foster care and adoption systems and recruits and trains parents to care for the state's children who are waiting for a permanent home.

With offices in every county, DCBS provides services and programs to enhance the self-sufficiency of families; improve safety and permanency for children and vulnerable adults; and, engage families and community partners in a collaborative decision-making process.

RECORDS RETENTION SCHEDULE

Signature Page

Cabinet for Health and Family Services
Agency

December 1, 1976
Schedule Date

Department for Community Based Services
Unit

September 11, 2014
Change Date

September 11, 2014
Date Approved By Commission

APPROVALS

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

Telesca C. James
Agency Head

8-8-14
Date of Approval

L. A. W. B. Papp
Agency Records Officer

8-8-14
Date of Approval

Barbara Papp
State Archivist and Records Administrator
Director, Public Records Division

9/17/14
Date of Approval

Walter Ombert
Chairman, State Archives and Records Commission

9/11/14
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Ram Compton
Records Analyst/Regional Administrator

07-29-2014
Date of Approval

Jim Ingle
Appraisal Archivist

9/11/2014
Date of Approval

[Signature]
State/Local Records Branch Manager

9/11/14
Date of Approval

The determination as set forth meets with my approval.

Brian Perkins
Auditor of Public Accounts

9/11/14
Date of Approval

Shawhan
8-8-14

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

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

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

**Record Group
Number
1443**

Series	Records Title and Description	Function and Use
01783	Report on Children for Whom Adoption Petitions Were Granted During the Year	
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Retention and Disposition	Retain in Agency ten (10) years; transfer to State Archives Center for permanent retention.
04549	Title IV-E Random Moment Time Study File	This series documents information gathered to determine what percentage of time staff in the departments fourteen (14) districts spend on activities funded under Title IV-E of the federal Child Welfare Act. The purpose of the study is to determine if the appropriate state match regarding federal dollars has been achieved. If the match is achieved, the Department can then draw down its share of federal funds used to operate programs and provide services. Each district has a cluster (work group) made up of eight (8) to twelve (12) staff. The observer for each cluster will, on a specified date and at a specified time, ask employees to identify the code that approximates their work activity at that time. The dates and times are randomly selected using the Random Moment Time Study electronic application maintained at the central office level. A quarterly summary of all studies for the period is completed and is used to determine if the state match has been met and, if so, the amount of federal funds the state is eligible to receive.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Specific information about the gathering of statistics (forms RMTS 1, 3, and 4) for the quarterly report; Random Moment schedule; and copies of the quarterly report, which provides activity counts, proportions, standard errors, and number of sample moments needed to achieve the precision of a simple random moment survey of 1900 points
	Retention and Disposition	Retain in Agency one (1) year; transfer to the State Records Center for four (4) years. Destroy after audit. Total retention is five (5) years.
06147	Individual Case Records - Active (V)	This series documents active or ongoing case files assigned to Social Workers or Field Workers in each local office, pursuant to KRS Chapter 194A and the appropriate regulations. These cases include but are not limited to foster care, out-of-state investigations or correspondence, and child welfare. When a case file has been deemed inactive, it is transferred to Series 06150, Field Workers Investigative Files, with a retention of twenty (20) years.
	Access Restrictions	KRS 199.430. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Social or Field Worker assignment of cases; date(s) and action(s) taken by CHFS employee; amount of time of visitation(s); nature of case or incident. (Includes Foster Care, Out-of-State Investigations and Child Welfare)
	Retention and Disposition	Retain in Agency until inactive, then transfer to Series 06150, Field Workers Investigative Files - Inactive, when action is completed. Retention of series 06150 is twenty (20) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06148	Service Appeal Files	This series documents appeals by individuals who have been denied medical assistance from the Cabinet for Health and Family Services (hereinafter "Cabinet") per the technical eligibility requirements established in 907 KAR 1:011. An appeal must be filed within thirty (30) days from notification by the Cabinet that an individual has been denied.
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, date of birth, Social Security Number, address, and phone number of appellant; documentation of appeal and statements as to appeal; correspondence; legal documentation.
	Retention and Disposition	Retain in Agency ten (10) years after all appeals have been exhausted, then destroy.
06149	Child Abuse and Prevention Treatment Act Appeals	This series documents appeals through the administrative hearing process by individuals who have been found by the Cabinet for Health and Family Services (hereinafter "Cabinet") to have abused or neglected a child in accordance with 922 KAR 1:480. The appeal shall be filed in writing no later than thirty (30) calendar days of the notice of a substantiated finding of child abuse or neglect or delivery of notice if not mailed. Final administrative action of the Cabinet is taken within ninety (90) days from the date of the request for an administrative hearing unless waived by the appellant. Individuals subject to substantiated findings of child abuse or neglect shall be placed on Child Abuse Central Register for seven (7) years (series 06153).
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of individual accused; details regarding the charge and investigation; appeal request including reason the appellant disputes the Cabinets substantiated findings; all Cabinet employees involved with the investigation; Final Administrative Findings of the Cabinet; correspondence; legal documentation.
	Retention and Disposition	Retain in Agency ten (10) years from date of final resolution, then destroy.
06151	Adoption Records - Public Agency (V)	This series documents adoption records that are finalized and signed by the Circuit Court Judge when a county adoption has been filed pursuant to provisions of KRS 199.470 - .5955 and 922 KAR 1:100. Adoption records are sealed records and can only be opened by court order and only to parties named in an adoption petition.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, birth date, Social Security Number of Adoptee; names, address, birth dates, Social Security number of adoptive parents and biological parents; Petition for Adoption; supporting legal documentation, including termination of parental rights (if applicable); Final Order/Judgment of Adoption, medical history (if applicable), foster care documents (if applicable), family and child history.
	Retention and Disposition	Retain in Agency three (3) years, then transfer to State Records Center. Destroy seventy two (72) years from date of Final Adoption Court Order.

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06152	Prospective Foster Care Home File (V)	This series documents households that apply to participate in Kentucky's foster care program. When birth parents are unable to provide appropriate physical and emotional care or appropriate supervision to minor children under the age of eighteen (18), the minor child(ren) are then placed in the temporary and safe care of foster parents. Foster parents must be approved by the Cabinet for Health and Family Services and meet the requirements established by KRS Chapters 199 and 620. A foster home is approved for a five (5) year period and after that, an application must be re-submitted in the event that during that five (5) year period, the foster home does not receive foster children.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, date of birth, phone number(s), Social Security Number of foster parent; training records to become foster parents; medical, educational and employment history; number and ages of infant children approved by Cabinet for Health and Family Services for specific foster home for intake; correspondence.
	Retention and Disposition	Retain in Agency five (5) years after approval status as foster home expires, then destroy.
06153	Child Abuse Central Register (V)	This series documents information within the Cabinet for Health and Family Services (hereinafter "Cabinet") per 922 KAR 1:470 regarding individuals who have been found by the Cabinet to have abused or neglected a child and have waived the right to appeal a substantiated finding of child abuse or neglect or have had the substantiated finding upheld upon appeal. The Central Registry does not apply to Cabinet background checks required by 922 KAR 1:490 regarding foster or adoptive services. An individual shall remain on the Central Registry for a period of at least seven (7) years or seven (7) years after no additional incidents of child abuse or neglect have been substantiated by the Cabinet per 922 KAR 1:470.
	Access Restrictions	(C) KRS 199.430. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, date of birth and Social Security Number of individual; date and details of incident; correspondence; and if applicable, legal proceedings and court documents.
	Retention and Disposition	Retain in Agency, updating the Central Registry as needed
06154	Group Home Reports	This series documents all reports regarding group homes. KRS 199.011(10) defines "a group home as a homelife facility, excluding Department of Juvenile Justice operated or contracted facilities, for not more than eight (8) foster children, not adjacent to or part of an institutional campus, operated by a sponsoring agency for children who may participate in community activities and use community resources."
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of group home; Names of managers and employees; Names, ages and dates of birth of children; correspondence; Date of site visits and CHFS employee conducting site visit; deficiencies and recommendation(s) of correction(s); list of available community activities.
	Retention and Disposition	Retain in Agency and destroy when obsolete.

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06155	Prospective Adoptive Home Files	This series documents applicants who are prospective adoptive parents in the Commonwealth of Kentucky and have met the requirements and qualifications pursuant to KRS 199 and appropriate regulations. Persons on the register remain on the register five (5) years from date of final approval and if adoption does not occur within that timeframe and prospective adoptive parents want to continue to be considered, a new application and process must begin. Once an adoption does occur, the record becomes part of the adoption record (Series 06151, Inactive Adoption Records).
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, date of birth, Social Security Number, criminal history check, educational history, employment and medical history of prospective adoptive parent(s); correspondence.
	Retention and Disposition	Retain in Agency five (5) years from date of approval as prospective adoptive parent(s). Once adoption occurs, transfer to series 06151, Inactive Adoption Records.
06156	Field Office Inactive Case Adoption Records	This series represents local Field Office workers administrative records documenting adoptions of infant children. The administrative records include those related to the prospective adoptive parent(s) and infant child. Once an adoption is finalized, these records are transferred to the Central Office in Frankfort, series 06151, Adoption Records, which is a permanent record.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s) of prospective adoptive parents; name of infant child; background history and interviews regarding parent(s), adoptive parent(s), and infant; Social Security Numbers; dates of births; addresses; educational and employment history; medical history.
	Retention and Disposition	Retain in Agency and transfer to Central Office Records Management Section immediately after notice of judgment.
06158	Day Care Program Files	This series documents day care centers and programs offered for each day care center in the Commonwealth pursuant to KRS Chapters 194A and 199 and regulations promulgated thereo.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of day care; owner; programs; correspondence; blueprint schematic; inspection reports.
	Retention and Disposition	Retain in Agency five (5) years, then destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06159	Foster Parent Group File (V)	This series documents a list of foster parents who have met the requirements established by KRS Chapters 199 and 620 and have been approved to house infant children who have been placed in foster care. The children are in foster care as the result of a court proceeding or an emergency situation in which an infant child(ren) is in imminent danger so deemed as the result of an investigation by the Cabinets Field Office staff.
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Names, addresses, phone numbers of foster parent(s); foster care approval status.
	Retention and Disposition	Retain in Agency five (5) years then destroy
06160	Hotline Help for Runaways Program File	This series documents contact with minor runaways calling the HELP line requesting assistance or looking to re-connect with parents and/or family.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date, time, and nature of call; detailed information re situation; may also include name, age, sex of minor and location.
	Retention and Disposition	Retain in Agency two (2) years then destroy
06161	Tuition Assistance Program File	This series documents tuition assistance for secondary education of foster children committed to the Cabinet for Health and Family Services pursuant to KRS 194A and 922 KAR 1:450. Individuals must complete the Free Application for Federal Student Assistance Form (FAFSA), be in good academic standing, enrolled in a Kentucky public post secondary school and between ages of eighteen (18) and twenty three (23).
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, date of birth, Social Security Number of child; name of educational institution; amount paid; correspondence.
	Retention and Disposition	Retain in Agency two (2) years after last date of tuition assistance then destroy
06162	Register of Children Available for Adoptions	This series documents the names and descriptive information of infant children available for adoption pursuant to KRS 199 and appropriate regulations. The series documents the child's life from the time the child was placed in custody of the Cabinet for Health and Family Services by court order until the child is adopted or reaches the age of eighteen (18) years.
	Access Restrictions	(C) KRS 199.430. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, date of birth, age, Social Security Number, birth and medical history, current location and address of infant child; legal documentation; correspondence; Court Order, including Termination of Parental Rights Order, Adoption Petition, Presentation Summary, if applicable.
	Retention and Disposition	Retain in Agency and destroy when superseded

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06163	Adoption Report Book	CLOSED: Series no longer created and is obsolete.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Retention and Disposition	Retain in Agency ten (10) years; transfer to State Archives Center for permanent retention.
06164	Adoption and Foster Care Subsidy Benefit Records	This series documents adoption and foster care assistance benefits to help an adoptive or foster care family meet the special needs of a child placed by the Cabinet for Health and Family Services pursuant to the provisions of Federal Title IV and established at 42 U.S.C. sec. 673 and KRS 199.555 and 199.557.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address and Social Security Number of adoptive parents; name and Social Security Number of child; amount of payment; information re the special needs of the child.
	Retention and Disposition	Retain in Agency three (3) years after case closure, transfer to State Records Center for three (3) years, then destroy. Total retention is six (6) years after case closure.
06165	Register of Adoptions and Judgments	This series documents an electronic listing of all adoptions and court judgments regarding adoptions that have taken place in the Commonwealth of Kentucky and received by the Cabinet for Health and Family Services per KRS 199.470 - .590 and the regulations promulgated thereto.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, and county of residence of adoptive parent; date of Judgment granting/denying adoption; name of child and age.
	Retention and Disposition	Retain permanently in Agency
06223	Adoption Records - Independent (V)	This series documents adoptions records that are finalized and signed by the Circuit Court Judge when an adoption has been filed by relatives of adoptee and pursuant to provisions of KRS Chapter 199 and 922 KAR 1:010. Adoption records are sealed records and can only be opened by court order and only to parties named in the adoption petition.
	Access Restrictions	KRS 199.570. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, birth date, Social Security Number of adoptee; names, address, birth dates, Social Security Number of adoptive and biological parents; Petition for Adoption; supporting legal documentation; including termination of parental rights (if applicable); Final Order/Judgment of Adoption; medical history (if applicable); foster care documentation (if applicable); family and child history.
	Retention and Disposition	Retain in Agency three (3) years, then transfer to State Records Center, destroy seventy two (72) years from date of Final Adoption Court Order.

STATE AGENCY RECORDS RETENTION SCHEDULE

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

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06336	Guardianship and Patient Financial Records Files	This series documents a patients spending account, including monies deposited into the account and withdrawn accounts.
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Patients name, Social Security Number, personal account information, date and amount of money deposited, date and amount of money withdrawn and by whom (patient or guardian).
	Retention and Disposition	Retain in Agency three (3) years. Transfer to State Records Center for five (5) years. Destroy after audit. Total retention is eight (8) years or after audit, whichever is longer.
06483	Background Investigations (V)	This series documents the background investigations and conviction information of individuals applying to Cabinet for Health and Family Services (CHFS) to provide foster care, relative caregiver services, or receive a child for adoption, pursuant to KRS 199.462 and the regulations promulgated thereto. The investigation includes the applicants adult household members. During a certified adoptive or foster homes annual re-evaluation, CHFS may then require a background investigation for each adult member of the household. Background investigations are required but not limited to the following types of employment: Day Care employee or volunteer and applicant for Day Care Center licensure (922 KAR 2:090), Child-Placing Agency employee (922 KAR 1:310), Child-Caring facility employee (922 KAR 3:030) and IMPACT-PLUS subcontractor (907 KAR 3:030).
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Applicant name, address, phone number, Social Security Number; type and date of application (i.e. foster home, adoption, etc.); criminal background information; background investigation results and findings; date of background results, investigative unit; correspondence.
	Retention and Disposition	Retain in Agency three (3) years after applicant has been determined as inactive, then destroy.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Community Based Services, Department for
Bellewood Presbyterian Home for Children

**Record Group
Number
1443**

Series	Records Title and Description	Function and Use
06515	Bellewood Presbyterian Home for Children Records (V)	This series represents the case records of minor children who were placed at the Bellewood Presbyterian Home for Children from 1919 through 1969. Records during this time period have been housed at the State Archives because they have historical significance and contain documents that are not located elsewhere. Bellewood Presbyterian Home for Children is currently operated as a private contractual home. Records may be accessed in accordance with the Kentucky Open Records Act, KRS 61.870 to 61.884 and/or by court order.
	Access Restrictions	KRS 199.430 and KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Personal and medical information; case investigation; referral to Bellewood Presbyterian Home for Children; court orders; education history; disciplinary actions; birth parents information; time spent in the Home; release date; and list of personal belongings
	Retention and Disposition	Records transferred to State Archives Center for permanent retention.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Community Based Services, Department for
Child Care, Division of

**Record Group
Number
1443**

Series	Records Title and Description	Function and Use
01954	Child Care Placing Agencies or Facilities File (V)	This series documents facilities or agencies that have been licensed by the Cabinet for Health and Family Services to conduct, operate or maintain a child-caring facility or child-placing agency pursuant to provisions established in KRS 199.640 and 922 KAR 1:305. A "child-caring facility" is defined in KRS 199.011(6) as any institution or group home, including institutions and group homes that are publicly operated, providing residential care on a twenty-four (24) hours basis to children, not related by blood, adoption, or marriage to the person maintaining the facility. A "child-placing agency" is defined as any agency licensed by the Cabinet for Health and Family Services which supervises the placement of children in foster homes or child-caring facilities, or which places children for adoption per KRS 199.011(7). Licenses are issued annually.
	Access Restrictions	KRS 199.430 & KRS 199.640 (7)
	Contents	Series may contain: Name, location, and address (if different) of facility; Name, address, phone number, Social Security Number, date of birth, criminal background check of owner of facility; Names, addresses, phone numbers, Social Security Numbers, criminal background of staff, including position or title and qualifications; application for license; License, if issued; type of operation; State Fire Marshal survey and approval of facility; Facility's mission statement and program narrative; copy of annual financial audit conducted by independent accountant or certified public accountant; if applicable, list of officers, board members, advisory board members, addresses and profession, titles of each officer and term; and copy of Articles of Incorporation, if applicable; and correspondence. File may also include name, age, Social Security Number, county of origin, all former residences of the child; names, residences, and occupations, if available of child's parents; date child received by the agency or facility, brief and continuing written narrative history of each child while child in the care of the agency or facility.
	Retention and Disposition	Retain in Agency and destroy when obsolete

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Community Based Services, Department for
Family Support, Division of
Local Offices

**Record Group
Number
1443**

Series	Records Title and Description	Function and Use
05386	Medical Assistance Individual Case Record - Inactive	This series documents recipient eligibility or ineligibility for Medical Assistance, Transitional Assistance for Needy Families and for the Food Stamp Program. The record is created and maintained by Cabinet local offices across the state.
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Documents that verify income resources; various expenses, such as utilities; and medical expenses
	Retention and Disposition	Retain in Agency until inactivation of cases; transfer to State Records Center for five (5) years; total retention is five (5) years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Community Based Services, Department for
Kentucky Children's Home

Record Group
Number
1443

Series	Records Title and Description	Function and Use
06189	Kentucky Children's Home Case Records (V)	CLOSED: Kentucky Childrens Home no longer exists. (Formerly series 2042)This series documents the case records of minor children that were placed at the Kentucky Childrens Home. The Kentucky Childrens Home was in operation from 1895 through 1945 in Louisville, Jefferson County. Records may be accessed by a court order only.
	Access Restrictions	(C) KRS 199.430. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Personal and medical information re infant child; case investigation; referral to Kentucky Childrens Home; court orders; adoptions; education history; disciplinary actions; birth parents information; time spent in Childrens Home, release date and to whom and reason; evaluations; work and room assignments; list of personal belongings.
	Retention and Disposition	Records transferred to State Archives Center for permanent retention.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Community Based Services, Department for
Protection And Permanency

**Record Group
Number
1443**

Series	Records Title and Description	Function and Use
06150	Field Workers' Investigative Files - Inactive (V)	This series documents investigations conducted by field workers of alleged complaints from the public to local field offices, pursuant to the provisions of KRS 194A and the regulations promulgated thereto, including but not limited to child or domestic abuse or mistreatment of individuals.
	Access Restrictions	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date and time complaint received and nature of complaint, name of employee receiving complaint; individuals or parties involved; addresses; date(s) and time(s) of incident(s); field workers observations; action/referral by field worker; updates to investigation, if determined that continuous investigation or visits are required.
	Retention and Disposition	Retain in Agency three (3) years from date of resolution of Agency action plan. Then transfer to State Records Center for seventeen (17) years, then destroy. Total retention is twenty (20) years from date of resolution of Agency Action Plan.