



# Commonwealth Office of Technology

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.

**Finance and Administration Cabinet  
Commonwealth Office of Technology**

The Commonwealth Office of Technology is charged with developing strategies and policies to support and promote the effective applications of information technology within state government as a means of saving money, increasing employee productivity, and improving state services to the public as well as developing, implanting, and maintaining the technology infrastructure of the Commonwealth.

The Office of IT Services and Delivery has authoritative purview of all IT Infrastructure within the Executive Branch. The Office of Project Management is responsible for overseeing large and/or critical information technology projects across the executive branch, with the goal of mitigating risk while averting avoidable delays that could lead to increased spending. The Office of the Chief Information Security Officer is responsible for IT security functions. The Office of KY Business One-Stop is responsible for project management, analysis, and application development support for the Kentucky Business One Stop (KBOS) Program. The Office of IT Architecture and Governance provides the governance and guidance necessary to ensure that a cohesive IT strategy and the enabling technologies are designed and deployed.

RECORDS RETENTION SCHEDULE

Signature Page

Commonwealth Office of Technology

September 1, 1983

Agency

Schedule Date

March 14, 2019

Unit

Change Date

March 14, 2019

Date Approved By Commission

APPROVALS

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

Robert E. Guille  
Agency Head

21 FEB 19  
Date of Approval

John W. Ba  
Agency Records Officer

2-20-19  
Date of Approval

Bern Shus  
State Archivist and Records Administrator  
Director, Archives and Records Management Division

3/19/19  
Date of Approval

[Signature]  
Chairman, State Libraries, Archives, and  
Records Commission

3/6/19  
Date of Approval

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

[Signature]  
Records Analyst/Regional Administrator

3-14-19  
Date of Approval

[Signature]  
Appraisal Archivist

3/20/19  
Date of Approval

[Signature]  
State/Local Records Branch Manager

3-14-19  
Date of Approval

The determination as set forth meets with my approval.

Janak Peltier  
Auditor of Public Accounts

3/14/19  
Date of Approval

**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Commonwealth Office of Technology

**Record Group  
Number  
1475**

| <b>Series</b> | <b>Records Title and Description</b>  | <b>Function and Use</b>  |
|---------------|---|--|
| <b>00389</b>  | <b>Information Resource Plans Closed Series</b>   | <p>Closed: This series was created to address projected information resource needs and expenditures for state agencies and to describe the anticipated growth and management of automation within the agency. Each plan provides an overview of the major components and describes the planning process within the agency. The plan provides the reader with an understanding of why the agency exists and what its most important tasks are and to establish a link between the agency's strategy for carrying out its mission and its strategy for managing and utilizing information resources. Part of the plan describes the agency's long-range goals related to managing and sharing the information and information technology resources and addresses the agency's conception of how it will move toward those goals in the next four to five years. The plan provides information about current information processing in the agency and identifies trends that affect its utilization in the future, and addresses issues which it considers critical to the improvement of information processing in the Commonwealth. <b>CLOSED SERIES 12-31-1999</b> The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Executive Summary; Planning Methodology; Mission and Objectives; Addendums; Records Management; Critical Issues; Situation Assessment; Projects; Information Resources Management; Departmental Project Expenditures by Fund Source and Category; Governmental Branch; Cabinet/Function; Department; General Fund; Restricted Agency Funds; Federal Funds; Road Fund; Bond Fund; DIS Services; Professional; Technical; Training; Hardware; State-Level; Desktop; Software; Telecommunications; KY Statewide Network; Other Networks; Maintenance; Contractor Services; Data Entry; Personnel; Training; Total Departmental Project Expenditures; Actual; Budgeted; Projected</p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years; transfer to State Archives for permanent retention</p> |
| <b>00390</b>  | <b>Managing Information Resources for Kentucky - Statewide Information Resources Plan Closed Series</b> | <p>Closed: This series was developed to formulate a long-range statewide planning process for computerized information systems. The statewide plan was also developed to assist the Governor's Office and the General Assembly during the preparation of the biennial budget. The statewide plan is an overview of the Information Resources Plan (00389). It contains the planning process, information resource expenditure data and the Kentucky Information Systems Commission's recommendations on state-level information management issues. <b>CLOSED SERIES 12-31-1999</b> The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Planning Process; Information Resources Expenditure Data; Recommendations; Commission's Findings</p> <p><b>Retention and Disposition</b> Retain 1 copy in Agency. Forward 2 copies to the Publications Section of ARMD when issued 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**

Finance and Administration Cabinet  
Commonwealth Office of Technology

**Record Group  
Number  
1475**

| <b>Series</b> | <b>Records Title and Description</b>  | <b>Function and Use</b>   |
|---------------|---|---|
| <b>03391</b>  | <b>Guidelines and Instructions-Biennial Information Resource Plan Closed Series</b> | Closed: This series is the guidelines and instructions for state agencies to use in submitting their Information Resource Plan (03389) to the Kentucky Information Systems Commission. These guidelines and instructions are updated every two years and sent to the agencies. CLOSED SERIES 12/31/1999 The Kentucky Information Services Commission was abolished in October of 1999 by Executive Order 99 - 1359. The functions of the Commission and its existing administrative office were incorporated into the new Governor's Office for Technology. The Governor's Office for Technology was reorganized back into the Finance and Administration Cabinet as the Commonwealth Office of Technology by Executive Order 2005 - 562 in June of 2005. Under this order, and in accordance with KRS 11.511(3)(a), the Executive Director of COT is charged with assessing, recommending, and implementing technology governance and organization design. |
|               | <b>Access Restrictions</b>  | Agencies should consult legal counsel regarding open records matters.   |
|               | <b>Contents</b>   | Date; Background; Authority; Use of Plans; Scope; Time Frames; Overview; Basic Premises; Use of Planning Documents; Plan Review; Definitions; Plan and Project Identification; Planning Team; Plan Instructions; Executive Summary; Planning Methodology; Mission and Objectives; Information Resources Management; Situation Assessment; Projects; Records Management; Critical Issues; Plan Submission Instructions   |
|               | <b>Retention and Disposition</b>  | Transfer to State Archives Center when no longer needed. Retain permanently in State Archives Center.   |
| <b>06534</b>  | <b>Notification of Security Breach Files (V)</b>                                    | This series documents the notification form used by agencies or a nonaffiliated third party on behalf of the agency that a security breach of personal information has occurred or has possibly occurred per the requirements of KRS 61.933. The notification of a security breach is also retained by the Commonwealth Office of Technology.   |
|               | <b>Access Restrictions</b>  | KRS 61.878 (1)(a) and KRS 61.933 - Personal information. Agencies should consult legal counsel regarding open records matters.  |
|               | <b>Contents</b>   | Series may contain: Name of agency involved; Date and time of security breach; checklist of procedures completed and signed designated personnel at affected agency (agencies)  |
|               | <b>Retention and Disposition</b>  | Retain in Agency five (5) years after resolution of investigation and case closure, then destroy.   |

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**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Commonwealth Office of Technology  
Geographic Information

**Record Group  
Number  
2729**

| <b>Series</b> | <b>Records Title<br/>and Description</b>                  | <b>Function and Use</b>  |
|---------------|---|--|
| <b>05431</b>  | <b>Kentucky Geography<br/>Information Records<br/>(V)</b> | This series documents the map layers in Geographic Information System database. The layers store graphic information about map features (parcels, streets, utility lines) and geographic areas (tax neighborhoods, subdivisions, service districts) and are linked to detailed attribute information or descriptions stored in a database. |
|               | <b>Access Restrictions</b>                                | KRS 61.878 (1)(m) and KRS 42.744 (3). Agencies should consult legal counsel regarding open records matters.  |
|               | <b>Contents</b>   | Series may contain: Raster graphic image layers and Vector data layers superimposed individually or cumulatively. Organized into categories: Agriculture, Boundaries, Environment, Fish & Wildlife, Geodesy, Geophysical, Historic, Imagery, Institutional, Misc., Soils, Standards, Transportation, Utilities, Water Resources.           |
|               | <b>Retention and Disposition</b>                          | Retain permanently in agency. Replace information as updated; move data offline as necessary. Provide periodic data snapshots to KDLA.   |



**STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION**

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Commonwealth Office of Technology  
Office of the Chief Information Security Officer  
Forensics Investigations Branch

**Record Group  
Number  
2723**

| <b>Series</b> | <b>Records Title and Description</b>   | <b>Function and Use</b>   |
|---------------|--|---|
| <b>06931</b>  | <b>Litigation Cases Data Request</b>   | This series documents a request for all Electronically Stored Information (ESI) identified in a legal hold demand. When a Litigation request is sent to COT for assistance, the Forensics Investigations Branch coordinates the preservation and gathering of all responsive ESI related to a Litigation hold. This will include the suspension of any routine destruction policy for the identified data. The Forensics Investigations Branch will request that all data from departing employees be retained for collection during the discovery phase. During the discovery phase, the Forensics Investigations Branch will collect the data and cull according to a predefined set of criteria and provide the results to the requesting agency for review. |
|               | <b>Access Restrictions</b>             | Agencies should consult legal counsel regarding open records matters.   |
|               | <b>Contents</b>                        | Series may contain: correspondence, data related to request and timestamped by time of culling (including home folders, custodian computers, SharePoint, OneDrive, Outlook Exchange emails), job reports, authorized form.  |
|               | <b>Retention and Disposition</b>       | Retain copies of custodian data for thirty (30) days following final judgment and release of data back to the originating agency, then destroy. Retain COT-derived case data for three (3) years, then destroy. Case data includes keywords, reports, processing conditions, and criteria.  |
| <b>06932</b>  | <b>Open Records Request Data</b>       | This series documents records requests submitted by agencies to respond to an Open Records Request. The Forensics Investigation Branch has the responsibility to assist in gathering Electronically Stored Information (ESI) per the request. If fulfilling the request will take longer than three days, the COT Security Investigation team will notify the requesting agency so they may inform the requester of the delay.  |
|               | <b>Access Restrictions</b>             | Agencies should consult legal counsel regarding open records matters.   |
|               | <b>Contents</b>                        | Series may contain: correspondence, data related to request and timestamped by time of culling (including home folders, custodian computers, SharePoint, OneDrive, Outlook Exchange emails), job reports.   |
|               | <b>Retention and Disposition</b>       | Retain until ninety (90) days following the release of the information to the requesting agency, then destroy. Retain COT-derived case data for three (3) years, then destroy. Case data includes keywords, reports, processing conditions, and criteria.   |
| <b>06933</b>  | <b>Employee Investigation Requests</b> | This series documents data gathered to aid in discovering evidence of alleged misuse of state resources and other policy violations. The Forensics Investigation Branch gathers information for employee investigations to support personnel actions based on employee acceptable use violations. Investigations with a criminal component are referred to the Kentucky State Police and this Branch coordinates activities with law enforcement.   |
|               | <b>Access Restrictions</b>             | Agencies should consult legal counsel regarding open records matters.   |
|               | <b>Contents</b>                        | Series may contain: correspondence, data related to request and timestamped by time of culling (including home folders, custodian computers, SharePoint, OneDrive, Outlook Exchange emails), job reports.   |
|               | <b>Retention and Disposition</b>       | Retain until ninety (90) days following the release of the information to the requesting agency, then destroy. Retain COT-derived case data for two (2) years, then destroy. Case data includes keywords, reports, processing conditions, and criteria.   |
| <b>06934</b>  | <b>Separated Employee Data Request</b> | This series documents an agency's request to review Electronically Stored Information (ESI) of an employee who is no longer with an agency. This request does not involve litigation or investigation.  |
|               | <b>Access Restrictions</b>             | Agencies should consult legal counsel regarding open records matters.   |
|               | <b>Contents</b>                        | Series may contain: correspondence, data related to request and timestamped by time of culling, authorized forms, Outlook Exchange emails, job reports.   |
|               | <b>Retention and Disposition</b>       | Retain for thirty (30) days following the submission to the requesting agency, then destroy. Retain authorized forms 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**

Finance and Administration Cabinet  
Commonwealth Office of Technology  
Office of the Chief Information Security Officer  
Forensics Investigations Branch

**Record Group  
Number  
2723**

| <b>Series</b> | <b>Records Title<br/>and Description</b>     | <b>Function and Use</b>  |
|---------------|--|--|
| <b>06936</b>  | <b>Declared Incidents<br/>Investigations</b> | This series documents the initial research and analysis of an action or reported event that may or may not be a security incident. The information is used for analysis of security threats. |
|               | <b>Access Restrictions</b>                   | Agencies should consult legal counsel regarding open records matters.  |
|               | <b>Contents</b>                              | Series may contain: hard drives, Outlook data file, emails, PDFs, portable devices, investigative data.  |
|               | <b>Retention and Disposition</b>             | Retain until two (2) years from the action or reported event, then destroy.  |

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**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Commonwealth Office of Technology  
Telecommunications, Division of

**Record Group  
Number  
2723**

| <b>Series</b> | <b>Records Title<br/>and Description</b>                            | <b>Function and Use</b>  |
|---------------|---|--|
| 00579         | <b>Kentucky Emergency<br/>Warning System<br/>(KEWS) Site Files.</b> | This series documents emergency communications and information network for public safety in the event of emergency situations and/or disasters in the Commonwealth. Kentucky Emergency Warning Systems (KEWS) provide the citizens with needed information, i.e., Next Generation 911, Situational Awareness; Amber and Golden Alert services, E-health services and weather alerts.   |
|               | <b>Access Restrictions</b>  | Agencies should consult legal counsel regarding open records matters.  |
|               | <b>Contents</b>   | Series may contain: FCC Licenses, FAA/Federal Aviation Administration Approvals, Exact Location Descriptions and Drawings, Property Leases, Condemnations, Copies of deeds, Co-location Agreements (Kentucky State Police, Kentucky Educational Television, Department of Military Affairs - Division of Emergency Management, Fish and Wildlife, Energy and Environment Cabinet - Division of Forestry, Kentucky Transportation Cabinet) Tower Drawings, Road Repairs, and Correspondence; Photos |
|               | <b>Retention and Disposition</b>                                    | Retain permanently in Agency.  |