



Cabinet for Health and Family Services

Department for Income Support

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.

RECORDS RETENTION SCHEDULE

Signature Page

Cabinet for Health & Family Services
Agency

December 1, 1976
Schedule Date

Department for Disability Determination
Unit

September 13, 2007
Change Date

September 13, 2007
Date Approved By Commission

APPROVALS

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

[Signature]
Agency Head

8/16/2009
Date of Approval

[Signature]
Agency Records Officer

2/16/2009
Date of Approval

[Signature]
State Archivist and Records Administrator
Director, Public Records Division

9/13/07
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

9/13/07
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

09-13-2007
Date of Approval

[Signature]
Appraisal Archivist

9/13/07
Date of Approval

[Signature]
State/Local Records Branch Manager

12 SEP 07
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

9-13-07
Date of Approval

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

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Income Support, Department for
Child Support Enforcement

**Record Group
Number
1420D**

Series	Records Title and Description	Function and Use
05543	Child Support State Plan (V)	This series documents the Child Support State Plan that describes the nature and scope of the Child Support program. It is administered under the specific requirements stipulated in the Social Security Act Title IV-D, the regulations in Subtitle A, 45 CFR 300-399, and other applicable official issuances of the Department for Community Based Services. The State Plan contains all information necessary for the Administration of Children and Families (ACF), Office of Child Support Enforcement (OCSE) to determine whether the plan can be approved, in order to receive Federal financial participation. The plan is updated only if there is a change in Federal or State laws/regulations.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: State Plan preprint pages, Code of Federal Regulations, Kentucky Revised Statutes and Kentucky Administrative Regulations relative to Child Support, Organizational Charts, Program Overview, and Child Support Manual material
	Retention and Disposition	Retain permanently in agency
05639	Noncustodial Parent Case Records - Active	This series documents material regarding the Noncustodial parent (NCP) and other case related information pertaining to administrative or judicial court ordered child support.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Material related to the NCP (name, SSN, date of birth, address, place of employment, administrative or judicial orders, financial data, forms, receipts, unemployment forms, etc).
	Retention and Disposition	Retain in Agency and transfer to inactive file (series 05640) upon completion of final action
05640	Noncustodial Parent Case Records - Inactive	This series documents information and records regarding the Noncustodial parent (NCP) and other case related information pertaining to administrative or judicial court ordered child support. The case becomes inactive/closed due to various reasons (emancipation of the child(ren), request of the custodial parent, death, incarceration, unable to locate NCP, etc).
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Information related to the NCP (name, SSN, date of birth, address, place of employment, administrative or judicial orders, other financial data, forms, receipts, unemployment, etc).
	Retention and Disposition	Retain in Agency and destroy three (3) years after case is no longer active.

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Income Support, Department for
Child Support Enforcement

Record Group
Number
1420D

Series	Records Title and Description	Function and Use
05641	Location Requests To or From Other Entities File	This series documents the information the Division of Child Support, State Parent Locator Section receives or requests regarding the location of the Noncustodial parent (NCP). The information may be requested or received from state or federal agencies or other entities by using federal forms or other resources available.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Information related to the NCP (name, SSN, date of birth, place of birth, last known address, last known employer or any other information available to determine the NCPs location).
	Retention and Disposition	Retain in Agency three (3) years; destroy after no longer useful.
05642	Negotiable Document	This series documents copies of negotiable documents of checks or money orders from the Noncustodial parent (NCP). These checks or money orders are payments applied toward the NCPs child support obligation and posted on the KASES system by the Central Collections Unit or Central Office.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Batch number, copy of check or money order, envelope, IV-D case number, name of NCP, date it was posted, correspondence
	Retention and Disposition	Retain in Agency three (3) years; destroy
05643	Request for Confidential Information	This series documents verification of income requests from a local Housing Authority or other agencies. Requests are received for information of payments the client has received in the last six months. A payment list detailing the amounts the Custodial parent (CP) has received is sent out. If the request is from anyone other than the local Housing Authority, the request has to be notarized by the agency requesting the information.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, date of birth, SSN, financial information of Custodial parent (CP) and Noncustodial parent (NCP).
	Retention and Disposition	Retain in Agency and destroy when no longer useful
05644	Child Support Financial Data - Microfilmed	CLOSED SERIES - The division no longer microfilms this data, but still references it occasionally. This series documents child support financial data such as payments, balances, and obligation information.(Series was assigned new series number on September 8, 2011 due to being permanent document.)
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: name of Noncustodial parent (NCP), check or money order information, SSN, receipts.
	Retention and Disposition	Retain permanently in Agency. Forward one copy of all microfilm to State Archives for security.