



Cabinet for Health and Family Services

Kentucky Health Benefit and Information Exchange

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
Office of Health Benefit and Information Exchange

The Kentucky Office of Health Benefit and Information Exchange (KOHBE) began in 2012. KOHBE oversees, kynect, Kentucky's online health benefit exchange, where individuals and small-business employees in Kentucky can shop for health insurance, compare plan costs, benefits and quality and apply for premium subsidies and tax credits. Through kynect, participants also can determine their eligibility and apply for Medicaid and the Kentucky Children's Health Insurance Program. The Office also includes the Division of Health Care Policy Administration; the Division of Financial and Operations Administration; the Division of Education and Outreach; the Division of Kentucky Access and Quality Assurance; and the Division of Kentucky Electronic Health Information Exchange.

RECORDS RETENTION SCHEDULE

Signature Page

KY Health Benefit and Information Exchange
Agency

June 9, 2016
Schedule Date

Unit

Change Date

June 9, 2016
Date Approved By Commission

APPROVALS

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

Carol Baldwin
Agency Head

6/2/16
Date of Approval

Bradley S. Papp
Agency Records Officer

6/2/16
Date of Approval

State Archivist and Records Administrator
Director, Public Records Division

Date of Approval

T. M. ...
Chairman, State Archives and Records Commission

6/9/16
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

6/9/2016
Date of Approval

[Signature]
Appraisal Archivist

6/9/2016
Date of Approval

[Signature]
State/Local Records Branch Manager

6/9/2016
Date of Approval

The determination as set forth meets with my approval.

Mike Hamm
Auditor of Public Accounts

6/9/16
Date of Approval

[Handwritten signature]

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1413**

| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|--|
| 05411 | General Correspondence | This series documents requests for information and matters of a routine nature, such as eligibility, for the state's high risk insurees. The correspondence file is not crucial to the preservation of the administrative history of the agency, but rather deals only with general operations of a non-policy nature. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: copies of inquiries from individuals and insurance companies. |
| | Retention and Disposition | Retain in Agency five (5) years; destroy. |
| 05412 | Application File (Denied) (V) | This series documents application, eligibility, and other activities for applicants who are denied enrollment to the Kentucky Access program, pursuant to KAR 17:320. Kentucky Access is a state-authorized health plan that offers medical coverage to Kentuckians who find it difficult to obtain health insurance in the individual insurance market. Applicants must show eligibility for the program. An applicant is eligible for the program under several conditions: If one is eligible under HIPPA or the Guaranteed Acceptance Program (GAP); if one is a twelve month resident of Kentucky and: (1) has been rejected by a private insurer for individual medical coverage substantially similar to Kentucky Access coverage, or (2) has been offered individual medical coverage at a premium rate higher than the premium rate charged by Kentucky Access for substantially similar coverage, or (3) has one of thirty-five specified high cost medical conditions, or (4) is an eligible dependent of a Kentucky Access enrollee. Benefits are administered by an under-contract third-party administrator. Approximately 54% of applicants have been denied enrollment to date (April 2005). |
| | Access Restrictions | KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters. |
| | Contents | May contain: application; eligibility support documents; correspondence. |
| | Retention and Disposition | Retain in Agency one (1) year after termination of contract with third-party administrator; transfer to State Records Center for six (6) years. Total retention is seven (7) years. |
| 05413 | Enrollee File | This series documents enrollment, claims, and complaints received from Kentucky Access enrollees. Approximately 46% of applicants have been enrolled to date (April 2005). Issues complainants address include, but are not limited to, claims payment, network issues (Are providers in network or out of network?), customer service issues, identification cards not received, pharmacy problems, and eligibility issues. The complaints are administered through an under-contract third-party-administrator (TPA). Applicants and enrollees have complaint and appeals rights pursuant to KAR 17:320 (determinations of ineligibility) and KRS 304.17A-617 (denials of coverage). Applicants must file appeals of ineligibility determinations within 30 days of the determination. The TPA must issue a decision within 30 days of receipt of the request, and the applicant must request an administrative hearing on that decision, if a hearing is desired, within 30 days of its issuance. That hearing must be scheduled by the Office of Insurance within 60 days of receipt of appeal, and is subject to the requirements of KRS 13B. Enrollees' appeals of denials of coverage may be heard through an internal and/or an external procedure. The former may take up to 30 days upon receipt of appeal; the latter may take up to 35 days upon notice of appeal. |
| | Access Restrictions | KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters. |
| | Contents | May contain: correspondence, application copies, eligibility supporting documentation, copies of claims. |
| | Retention and Disposition | Retain in Agency one (1) year after termination of contract with third-party administrator; transfer to State Records Center for six (6) years. Total retention is seven (7) years. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1413**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 05414 | Enrollee Renewal File (V) | This series documents Kentucky Access policyholders' annual enrollment. Enrollees receive an enrollment packet 30 days prior to the first day of their effective date month. Unless and enrollee requests a different date, the effective date is the first day of the month following the application month. |
| | Access Restrictions | KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters. |
| | Contents | Contains: correspondence; rates sheet; benefits summary; enrollment change forms; plan change summary; rider information. |
| | Retention and Disposition | Retain in Agency one (1) year after termination of contract with third-party administrator; transfer to State Records Center for six (6) years. Total retention is seven (7) years. |
| 05415 | Third-Party-Administrator Contractor Review | This series documents the quarterly reviews of the Kentucky Access program's third-party-administrator's (TPA) enrollment and claims processes, as authorized by KRS 304.17B-011(3)(h) and 304.2-210 and conducted according to KRS 304.2 and 304.3. Reviews are conducted by the Office of Insurance's Kentucky Access staff. The purpose of the reviews is primarily to ensure that enrollee eligibility requirements under KRS 304.17B-015(2) are being met by the TPA. Findings are submitted to the Executive Director of the Office of Insurance and to the third-party-administrator. |
| | Access Restrictions | KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters. |
| | Contents | Contains: Random sample list of enrollees; findings worksheet; findings letter. |
| | Retention and Disposition | Retain in Agency one (1) year after termination of contract with third-party administrator; transfer to State Records Center for six (6) years. |
| 06721 | Eligibility Documentation (kynect) | This series documents determinations of the eligibility of individuals for qualified health plans. The kynect system contains documentation submitted with federal and/or state agency records, consumer household, residency, income documentation, and consumer selected options. |
| | Access Restrictions | 194A.060; KRS 61.878(1)(a) - personal information. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Eligibility determinations, eligibility verifications, enrollment transactions, demographic data, worker comments, correspondence, case documentation supplied by the consumer, APTC and CSR applied premiums, and any other actions such as termination for non-payment and other terminations or actions. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |
| 06738 | Consumer Complaints and Appeals | This series documents kynect's consumer complaints and/or appeals. If the consumer wants to file a complaint or appeal, they can log into the kynect system and file their complaint or appeal on line. Once the complaint or appeal is received by the Health Benefit Exchange, staff will review the issue and work through the issue until a determination is made. |
| | Access Restrictions | 194A.060; KRS 61.878(1)(a) - personal information. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains documentation of actions taken for complaints and appeals, such as the nature of the complaint, date filed, worker actions, correspondence, and final resolution. Documentation relating to appeals includes date of appeal, date filed, worker actions, correspondence, hearing information (if applicable), and final resolution. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 06739 | Qualified Health Plan Certification Records (Plan Management - kynect) | This series documents the review by HBE staff to certify qualified health plans for participation in the Exchange. Plans must first be approved by the Department of Insurance for offering in Kentucky. Then plans are further reviewed by HBE staff to ensure compliance with requirements for participating on the Exchange. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Documentation relating to qualified health plans offered in kynect, including Intent to Participate forms, completed certification criteria, checklists and documentation, plan details including metal levels, Summaries of Benefits and Coverage, and provider directories. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |
| 06740 | Navigator and Agent Oversight File | This series documents HBE staff review of performance of navigator functions and agent. Under the ACA a Navigator program is required to provide educational materials and assistance to individuals and small businesses accessing kynect. Potential navigators include public or private entities or individuals meeting federal requirements such as community- and consumer-focused non-profit groups; trade, industry and professional associations; or licensed insurance agents and brokers. This Series contains documentation of normal contract oversight requirements, as well as specific oversight functions of Navigator performance and materials relating to agent functions. For this Series, the term "Navigator" represents Navigators, In-Person Assisters and Certified Application Counselors, all of which perform the same functions but are identified using different terms due to funding source. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains documentation outlining kynector job duties, contract agreements, contract monitoring, training records, and other documentation relating to kynector job functions and oversight. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |
| 06741 | Consumer Outreach File | This series documents HBE outreach activities, including advertising and marketing, staff function, outreach plans approved by HBE staff, and pertinent supplies distributed at outreach activities. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains finalized education and outreach plans, statements of work and contract monitoring, documents related to marketing and advertising, finalized brochures and other outreach material, documentation of outreach activities, and analysis of outreach effectiveness. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |
| 06742 | Small Business Health Options Program File | This series documents activities related to the Small Business Health Options Program (SHOP). HBE administers this program, and activities include issuers offering small group health insurance, small business owners applying for participation, documentation relating to Exchange approval to participate, selection of coverage, and payments received from business owners and paid to issuers. |
| | Access Restrictions | KRS 61.878(1)(a) - personal information, social security number. Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains small business owners requests to participate in the exchange, exchange approval documentation, employee rosters, unemployment insurance forms, employer and employee insurance selections, payments made by small business owners and employees, payments made to issuers, and reconciliations. |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

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Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
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| Series | Records Title and Description | Function and Use |
|---------------|--------------------------------------|--|
| 06745 | Annual Financial Report File | This series documents the annual accounting of the financial status of an agency. Per KRS 48.800, each branch of government publishes a financial and program status report within ninety (90) days of the close of a fiscal year. The report details that fiscal year's activities, appropriations, allotments, expenditures, receipts, transfers, encumbrances and available balances of each budget unit of the branch, and an explanation of the programs and services provided by the branch. This series represents the financial information that is compiled by individual state executive branch cost centers in the Financial Closing Package (F0076) and that contributes to a Fiscal Year's Comprehensive Annual Financial Report. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Agency name; subunit name; fiscal year; expenditure source; detailed account of expenditures with object codes and descriptions; expenditures by category; actual budget; expenditure to date; available balance. |
| | Retention and Disposition | Retain permanently in agency. |
| 06746 | Operating Budget | This series documents the budget under which an agency operates for a biennium. Pursuant to KRS Chapter 48, each agency, the units and sub-units assigned to the agency are required to comply with budget allocations for a period of two (2) years as set forth in the State Budget. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Organizational units; revisions; requested items - next two years; General Fund, regular appropriations, salary equity allotments, projections from tax rates; total General Fund; federal funds, balance forward, current receipts, non-revenue receipts, total restricted receipts; total funds; expenditures by class, personnel costs, operating expenses, grants, capital outlay, total expenditures; expenditures by unit, policy statements with divisions, grand totals of finances |
| | Retention and Disposition | Retain permanently in agency. |
| 06747 | Budget Request File | This series documents funds requested by agencies for inclusion in the final budget. Pursuant to KRS Chapter 48, each branch shall complete a financial plan for each of the next two (2) fiscal years. Per KRS 48.050, the head of each Executive Branch budget unit submits its budget request to the Office of State Budget Director not later than November 15 of each odd-numbered year. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; fiscal year; administrative unit; total amount requested for agency for each year; principal budget classes of financial requirements; capital outlay items; debt service items; grants or loans; personnel costs; federal funds requested, anticipated receipts; funding sources |
| | Retention and Disposition | Retain for five (5) years, then transfer to State Records Center. Retain for an additional five (5) years, then destroy. Total retention is ten (10) years. |
| 06748 | Budget Workpapers | This series represents documentation/tabulations used in the calculation of budget requests, by line item. The forms are prescribed by the Legislative Research Commission. On or before September 1 of each odd-numbered year, the Finance and Administration Cabinet supplies each branch of the government with three (3) sets of the prescribed forms and instructions for preparation of estimates and statements and one (1) copy of the complete statement of the expenditures of each budget unit of the executive branch. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; fiscal year; administrative unit; total amount requested of budget unit per fiscal year; principal budget classes of needed expenses; capital outlay items; debt service item; grants or loans; personnel costs; anticipated receipts; funding sources. |
| | Retention and Disposition | Retain for five (5) years, then transfer to State Records Center. Retain for an additional five (5) years, then destroy. Total retention is ten (10) years. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

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STATE AGENCY RECORDS
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Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

Record Group
Number
1452

| Series | Records Title and Description | Function and Use |
|--------|---|--|
| 06749 | Audit Report File | This series documents the various audits completed in Kentucky state government. These include, but are not limited to, audits completed by the Auditor of Public Accounts under the Single Audit Act; state agencies' internal audit reports; audit reports of agencies prepared by private accounting/auditing firms; and those audits of agencies completed by the Finance and Administration Cabinet. Audits may be fiscal, compliance or programmatic. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; agency name; table of contents; introduction; independent auditor's report; financial statements; balance sheets; statements of income and retained earnings; statements of cash flows; schedules of federal financial assistance; report on internal controls; report on compliance; notes; recommendations; statistics |
| | Retention and Disposition | Retain permanently in agency. |
| 06750 | Journals and Ledgers | This series documents financial journals and ledgers that are maintained outside of the Advantage accounting system which is a component of the enhanced Management Administrative Reporting System (eMARS), formerly MARS. MARS was implemented July 1, 1999, and replaced the former Statewide Tracking and Reporting System. This series also includes journals and ledgers created prior to the implementation of MARS and which may be in either a manual or an automated format. NOTE: Journals and ledgers created prior to the implementation of MARS may, at the discretion of the State Archivist, be retained permanently. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; administrative unit; credit columns for receipts; expenditure columns; transaction entries; account codes; account categories; grand total expenses for month and year; remarks |
| | Retention and Disposition | Retain until ten (10) years after the year-end financial close out, and audit, then destroy. |
| 06751 | Contracts, Leases and Agreements | This series documents the contracts, leases and agreements (financial or otherwise) entered into with public or private agencies or individuals. All proposed personal service contracts, tax incentive agreements, and memoranda of agreement received by the Legislative Research Commission are submitted to the Government Contract Review Committee to examine the stated need for the services, examine whether the service could or should be performed by state personnel, examine the amount and duration of the contract or agreement, and examine the appropriateness of any exchange of resources or responsibilities, as required in KRS 45A.705 (4). Upon receipt of the Committee's disapproval or objection to a personal service contract or agreement, the Secretary of the Finance and Administration Cabinet will determine whether they should be revised to comply with the objections of the Committee, be canceled, or remain in effect as originally approved. (See KRS 45A.705 [6]). |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of filing; duration of service; name, address, and phone number of contracting agency; name, address, and phone number of vendor; payment dates; request for proposal/need for service; cancellation clause; required signatures of parties in agreement; date signed; approval by subcommittee of Legislative Research Commission; final approval by Secretary of Finance; notice of amendment to personal service contract; notice of extension of personal service contract; proof of necessity form |
| | Retention and Disposition | Retain until ten (10) years after completion, termination, expiration, or audit, whichever is longest, then destroy. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

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RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 06752 | Agency Allotment Adjustment Request File | This series documents the formal request by agencies, per KRS 48.605 (1)(a), to the Governor's Office for Policy and Management for adjustment of the amount of the agency's scheduled allotment. The request may include information as to the justification, purpose, estimated amount, and the recommended sources for funds for the adjustment. A copy of the request and determinations is transmitted to the General Assembly's Interim Joint Committee on Appropriations and Revenue prior to the implementation of the revision of the allotment. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: date; fiscal year; department; division; justification for adjustment; estimated amount of adjustment; balance of allocated receipts; authorized spending limit per quarter; yearly allotment total; recommended source(s) of funds. |
| | Retention and Disposition | Retain in agency two (2) years, then transfer to the State Records Center for an additional eight (8) years. Total retention is ten (10) years or after audit, whichever is longer. |
| 06753 | Availability of Funds Report | This series documents the total balance of funds available for agency use as of a given date. Fiscal staff verify that an item has been posted. In addition, the series aids in the reconciliation of funds at the end of a month. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Fiscal year; date; account numbers; document voucher number; explanation (name of employees); individual amounts paid to employees; cash increase; cash decrease; totals; available balance |
| | Retention and Disposition | Retain two (2) months, then destroy. |
| 06754 | Expenditure Detail Report | This series documents a monthly summary, in detail, of all expenditures from allotted funds by a state agency. It records a balance forward of funds paid for organizational units by separate categories. It is useful in providing information related to agency accounts, creating other ledgers, or furnishing records for audit purposes. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Fiscal year; account codes; month; document number; voucher number; explanation; allotment total for agency; expenditures; allotment balance of accounts |
| | Retention and Disposition | Transfer to State Records Center after audit. Retain until ten (10) years after creation of the record, then destroy. |
| 06755 | Expenditure Analysis Report | This series documents a monthly analysis of departmental expenditures broken down by subprograms, with category summaries and net totals for the month. It may include an account breakdown of multiple expense summaries, such as time and attendance, printing costs, and salaries, or an individual analysis such as telephone charges. Agencies utilize this series as a tool to produce budget analyses, determine expenditure totals up to that month, or produce a year-end report as an accumulation of the entire year. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Fiscal year; fund; department; agency; account number; expense categories; expenditure codes for transactions; description of accounts; I/A charge; I/A credit; monthly expense summary; balance forward |
| | Retention and Disposition | Destroy July-May reports after two (2) months. Destroy June report after ten (10) years, or audit, whichever is longer. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

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RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 06756 | Banking Record File | This record series documents all banking transactions, and is maintained to verify checks and reconcile accounts. It is also used as an audit trail and a reference. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Memoranda to establish/delete accounts; deposit records, bank reconciliations, bank statements, cancelled checks, check registers, check stop payment memoranda, authorizations for inter-bank transfer, inter-bank transfers, imprest/petty cash records, requests for approval of bank account. |
| | Retention and Disposition | Retain in agency three (3) years. Transfer to State Records Center for an additional seven (7) years. Total retention is ten (10) years or after audit, whichever is longer. |
| 06757 | Finance Closing Package | This series documents the end-of-year financial activity of each state agency as required by the Finance and Administration Cabinet. It is used in the preparation of line items within the closing package. The series represents a detailed financial statement of funds received and spent by agencies and reflects their financial status for a fiscal year. Information from the series is used to compile the agency's Annual Financial Report (F0001) and the Cabinet's Comprehensive Annual Financial Report (M0022). |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Expenditures; cash receipts; revenue; goods received; accounts payable; cash on hand; liabilities; accounts receivable; agency; date. |
| | Retention and Disposition | Retain in agency three (3) years. Transfer to State Records Center for an additional seven (7) years. Total retention is ten (10) years or after audit, whichever is longer. |
| 06758 | Work Order File | This series documents all approved requests by state agencies for services to be provided to the agency by internal personnel, another state agency, or by external vendors. Agencies may submit work orders to the Finance and Administration Cabinet or to their building's landlord. Agencies submitting requests to the Finance and Administration Cabinet use the FM Works Web-Based Work Request System. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of requestor/alternate requestor; contact information; location address and other information; problem type; urgency; equipment code or serial number; description of work to be done; whether the work is billable (y/n) and account number; request for an estimate. |
| | Retention and Disposition | Retain in agency three (3) years. Transfer to State Records Center for an additional seven (7) years. Total retention is ten (10) years or after audit, whichever is longer. |
| 06759 | Agency Insurance Coverage Files | This series documents the bonds or insurance coverage in effect within an agency for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). This is a commercial policy created upon request of an agency. The policy provides additional liability coverage that the agency elects to purchase. Liability protects the agency from an outside party electing to sue an agency. Types of liability coverage include professional liability, business income (interruption), boiler and machinery, auto, aviation, crime (against employee dishonesty, disappearance, destruction, forgery, or theft), or marine, among others. Bonds are required by office holders for at least the minimum periods reflected in KRS 62.160 to protect the agency against losses brought about by the misconduct or mishandling of affairs of the officer for whom the bond is executed, or because of an unwise decision in the performance of his duties that causes the state to be out an expense. KRS 62.160 identifies the minimum sum of bonds of state officers as determined by the governor (excludes the Governor, Lt. Governor). |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Copy of policy; amount of coverage/bond; premium; policy terms; agent and insurance company; expiration date; correspondence |
| | Retention and Disposition | Destroy ten (10) years after term of ownership ends or audit, whichever is longer. |

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| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 06760 | Monthly Report Permanently Assigned Vehicles Form | This series documents the usage of vehicles, which are permanently assigned to agencies. It is used to track mileage, minor maintenance, and purchases made with the credit card assigned to the vehicle. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Department; division; branch; location assigned; vehicle number; type of vehicle; and primary driver |
| | Retention and Disposition | Destroy after three (3) years or audit, whichever is longer. |
| 06761 | Vendor File - Agency Copy | This series documents information on each vendor doing business with state government. It is completed in the enhanced Management Administrative Reporting System (eMARS) by the processing agency to add a vendor to Commonwealth's Vendor file or to change data on an existing vendor. Before Vendors are activated, they must be approved by the Office of the Controller. The record is also used to place a vendor on hold until more information is received and the vendor is approved. If a vendor does not appear in the Vendor File, checks are not issued to that vendor. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Vendor/Customer Creation and Vendor/Customer Modification Materials; Vendor/Customer Code; alias/DBA; location; organization type; vendor's/customer's legal name; company/organization name; classification; Taxpayer ID Number (TIN); TIN type; Vendor's Procurement Card Merchant ID; disbursement options; Prenote/EFT information for electronic payment; Address type and other contact information; business type; certification information; commodity information; vendor status information; 1099 type report. |
| | Retention and Disposition | Retain for three (3) years, then destroy. |
| 06762 | enhanced Management Administrative Reporting System (eMARS) Supporting | This series documents the supporting records (print screens) related to the pre-audit functions on eMARS (enhanced Management Administrative Reporting System) transactions. These records are created for internal verification, validation, and reference purposes and are duplications of information captured electronically in the system. The pre-audit function provides agencies with the authority to make approvals on transactions utilizing agency appropriations and requires agencies to monitor transactions entered into the system to verify that they accurately reflect agency activity. Participating agencies are guided by a Pre-Audit Delegation Agreement executed between the agency head and the Secretary of the Finance and Administration Cabinet. Only agencies that do not have the technical capability for electronic workflow are exempted from the pre-audit delegation. Previously, many transactions required some form of central approval from the Division of Statewide Accounting, Finance and Administration Cabinet, or the Governor's Office for Policy and Management; with pre-audit delegation that is no longer required. Pre-audit delegation requires agency approval for transactions that were previously routed to the Finance and Administration Cabinet. eMARS is an enterprise-wide system that is designed to, among other things, reduce duplicate data entry and reconciliation between systems. Business functions affected by eMARS include procurement, cash receipts, accounts payable, accounts receivable, intra-governmental transactions, and budget preparation. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series is made up of screen prints of the various eMARS input screens and printouts of eMARS forms and reports. This may include: Journal voucher correction; internal vouchers; inter-account billing information; personal services contract information; travel authorization; manual warrant; payroll distribution summaries; close-out reports; monthly detail of expenditures; budget/expenditure reports by category; purchase information; receiving reports; and imprest cash records. The listing of contents is not comprehensive as there could be any number of supporting documents that could be a part of this manual file. |
| | Retention and Disposition | Destroy after three (3) years or audit, whichever is longer. |

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| Series | Records Title and Description | Function and Use |
|--------|--|--|
| 06763 | Agency Appropriation Adjustment Request Memoranda | This series documents the formal request submitted by state agencies through the Governor's Office for Policy and Management to the Legislative Research Commission for an adjustment of an appropriation enacted by the General Assembly. The original is received by the Governor's Office for Policy and Management and is forwarded by that office to the Legislative Research Commission. Financial data documenting the increase is maintained in the Kentucky Budgeting System. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Date of request; agency name; fund name and number; amount of request; justification for request; source of funding. |
| | Retention and Disposition | Retain two (2) years in agency. Transfer to the State Records Center for an additional eight (8) years. Total retention is ten (10) years or after audit, whichever is longer. |
| 06764 | Deed File | This series documents the purchase of property by the state for ownership. A deed is a legal instrument containing the transfer or contract for the purchase of land or property. Per KRS 56.020(1), the Secretary of State has custody of all deeds of land or buildings owned for governmental purposes by the state except deeds to rights-of-way for state or federal roads. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain title report, copy of deed or quitclaim deed, witness, certificate of acknowledgement, plat. |
| | Retention and Disposition | Retain permanently in agency. |
| 06765 | Agency Grant Project File - Federal and State | This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant draw down requests submitted by agencies to grantors requesting an electronic transfer of grant funds; and grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: grant applications and supporting documentation; authorization records; draw down records; periodic and summary financial and activity reports. |
| | Retention and Disposition | Retain in agency three (3) years. Transfer to State Records Center for an additional seven (7) years. Total retention is ten (10) years after end of project or after audit, whichever is longer. Agencies should pay particular attention to Federal audit requirements, as these are often not met in a timely fashion by the auditing entity. |
| 06766 | Investment Record File | This series documents the investments made by agencies and includes: broker confirmations, which are investment broker issued confirmations of the receipt and execution of orders to buy and sell investments; broker statements, which are periodic summaries of investment activities provided by investment brokers; and investment trade tickets, which are copies of orders to buy and sell investment securities issued to investment brokers. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: authorizations to acquire investments; broker confirmations; broker statements; investment trade tickets. |
| | Retention and Disposition | Destroy ten (10) years after the term of investment ends, and audit. |

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|---------------|---|---|
| 06767 | Tax Exemption Authorization File | This series documents the authorization for sales and use tax exemption, per KRS 139.470(7), issued to state agencies by the Revenue Cabinet. This exemption applies only to purchases of tangible personal property, digital property, or services for use solely in the government function. A purchaser not qualifying as a governmental agency or unit is not entitled to the exemption even though the purchaser may be the recipient of public funds or grants. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Authorization exemption letter; Application for Purchase Exemption Sales and Use Tax; Purchase Exemption Certificate. |
| | Retention and Disposition | Retain permanently in agency. |
| 06768 | Data Transfer Files | This series documents the transfer of financial data between a state agency's electronic system and the eMARS Advantage Financial accounting system. The series is made up of various templates, available through eMARS, into which state agency personnel enter data. That data is then uploaded into the eMARS system, allowing agencies to remain current in their accounting and reporting. These templates allow the user to enter data into eMARS in bulk rather than having to enter it one transaction at a time. These files are mainly used with the Checkwriter system, though they are used with other programs. The templates employ eXtensible Markup Language (XML), which facilitates the transfer of information from one computer system to another. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | May include: Header information; vendor name; other accounting information. |
| | Retention and Disposition | Retain until completion of audit for the fiscal year in which the file is created, or ten (10) years, whichever is longer. |
| 06769 | Accounts Receivable Records | This record series is used to document various monies received by state agencies in the conduct of business. These records are filed according to fund/account and are maintained to document all income from all sources. Information documenting these transactions is maintained in the eMARS System. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series covers all records related to monies received, including but not limited to: Memorandum to Establish/Delete Accounts; Sales Receipt/Cash Register Tape/Sales, Ticket/Sales Slip/Invoice, Agency-to-Agency Sales File; Request and Authorization for Refund; Loss Claim File; Inter-Account Bill; Request for Delivery on Contract; Accounts Receivable/ Revenue/Fees - Adjustment/Write Off File; Agency Price Lists/Catalogs for Agency Sales File; Bills of Sale; Credit Memoranda; Customer Order/Remittance Forms File; Daily Remittance Lists/Cash Receipt Log; Legal Claim File; License Fee Documentation File; Project/Grant Indirect Cost Charges Record File; retail sales-related inventories. |
| | Retention and Disposition | Destroy ten (10) years after transaction, end of contract or end of liability, or after audit, whichever is longest. Destroy Legal Claim Files ten (10) years after settlement closure. |
| 06770 | Procurement Records | This series documents all procurement activities by state agencies, but not payment. Payment by state agencies is covered under Series F0143, Accounts Payable Records. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series covers all records related to procurement, though not payment for, goods and services by state agencies. This includes but is not limited to: Agency Request for Quotation; Proof of Necessity; Bid Score Sheet File; Name and Address Entry/Change Record File; Packing Slips; Sealed Bid Solicitation Record File; Special Purchase Authority Approval File; Vendor Complaint File; Vendor Proposal/Price Quote File; Vendor Order Form for Goods or Services; Vendor Price Lists/Sales Catalogs. |
| | Retention and Disposition | Destroy ten (10) years after expiration of authority to purchase; date of transaction; termination or award of contract; or after audit; whichever is longest. |

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|---------------|--------------------------------------|---|
| 06771 | Accounts Payable Records | This series documents the payment of expenses and liabilities by state agencies, once the procurement process has been completed and a vendor has been selected. Procurement records are covered by Series F0142. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains all materials documenting accounts payable, including but not limited to: Memorandum to Establish/Delete Accounts; Departmental Authorization for Payment and Receiving Report; Warrants; Multi-Program Cost Distribution File; Inter-Account Bill; Request for Delivery on Contract; Central Stores Order and Voucher; Out-of-State Travel Authorization File; Travel Voucher File; Travel Report - Monthly; Receiving/Inspection Records; Order/Requisition - Stockroom Supplies; Warrant on State Treasury; Warrant - Voucher Register; Outstanding Encumbrance Report; Imprest/Petty Cash Records; Trip Ticket; Procurement Card Program Documentation File; Purchase Requisition/Order File; Voucher File; Journal Voucher Workpapers; Out-of-Country Travel Authorization File; Accounts Payable/Purchases - Adjustment File; Bills of Lading; Bills of Sale; Campaign Finance Law Affidavit File; Fiscal Agent Statement File; Warrant Fed Wire Transfer; Notes Payable; Lost Check Replacement Request File; Performance Bond Documentation File; Project/Grant Indirect Cost Charges Record File; Project/Grant Third Party Financial Report File; Shipping Order File; Transmittal Form File; Vendor Payment Offset Justification File; Vendor Sales Receipts/Sales Tickets/Invoices/Sales Slips; retail sales-related inventories. |
| | Retention and Disposition | Destroy ten (10) years after payment; termination of contract; end of project; end of liability; or after audit, whichever is longest. |
| 06772 | Capital Projects File | This series documents the disbursement of funds for state agency capital construction projects under KRS 7A.010 (1). Under the terms of KRS 7A.100, the Capital Planning Advisory Board of the General Assembly prepares a state capital improvement plan and makes funding recommendations to each branch head as to state spending for capital projects. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains all records related to agency capital construction projects, including but not limited to: Capital Projects Progress Payment Report File; Capital Construction Contract File; Capital Construction Form SAS 5; and Capital Construction Specification File. |
| | Retention and Disposition | Destroy Specification File ten (10) years after term of ownership ends. Destroy other records ten (10) years after completion of project, or after audit, whichever is longer. |
| 06773 | Agency Property File | This series documents a state agency's property assets in the form of equipment, office furnishings, etc. It is used to identify what equipment is currently held by a particular budget unit. Forms or listings are updated, generally, as changes occur, but at least yearly. The Series contains the annual inventory, usually conducted toward the end of each fiscal year. New lists are created each fiscal year to reflect changes in the status of equipment. These supersede the previous year's lists. According to KRS 45.313, each budget unit shall maintain a current inventory of equipment having an original cost of \$500.00 or more. The inventory must be available for inspection by the Finance and Administration Cabinet at all times. This series also includes agency inventories of property valued at less than \$500.00 |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains, but is not limited to: Loss Claim File; Central Stores Requisition; Central Stores Order and Voucher; Equipment Inventory; Order/ Requisition - Stockroom Supplies; Fixed Asset Donated/Confiscated Acquisition File; All Fixed Asset Inventory Listings; Fixed Asset Lost/Stolen Property File; Appraisals/Fair Market Documentation File; Property Condemnation Record File; Title File; and Warranty Record File. |
| | Retention and Disposition | Destroy ten (10) years after end of state ownership of property or audit, whichever is longer. Destroy Warranty Records eight (8) years after end of warranty period. |

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| 06774 | Agency Surplus Property File | This series documents state agency disposal or transfer of property that has been identified as surplus or below the requirement for what is needed to provide effective service in a particular agency. State agencies work through the Finance and Administration Cabinet, Division of Surplus Property to dispose of surplus property. Alternatively, authority to dispose of surpluses property may be delegated to an agency head by the Secretary of the Finance and Administration Cabinet. State-owned surplus property must be disposed of according to applicable Finance and Administration Cabinet policies and procedures. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains but is not limited to: Request for Disposal of Equipment; State Owned Personal Property Declared Surplus Form; Fixed Asset Transfer File; and Surplus Property Delegation File; Listings of Surplus Property Dispositions. |
| | Retention and Disposition | Retain current delegated surplus property authority, destroy all others when superseded. Destroy other records ten (10) years after termination of property ownership or audit, whichever is longer. |
| 06775 | Official Correspondence/ Messages (May be in paper or electronic format) | This series documents the major activities, organizational functions, history and programs of an agency and the events involving the formulation, evolution, and ultimate announcement of agency policy. Official correspondence is typically created by the upper-level administrative staff of an agency (director or above), or the general counsel. It can be in paper or electronic form. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Official correspondence is incoming and outgoing correspondence that may consist of: letters, notes, memoranda, directives, policy statements, and other information commonly found in the body of an e-mail message and/or any attachments to the message. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. |
| | Retention and Disposition | Retain permanently. Transfer to the State Archives Center when administrative value has ceased. |
| 06776 | Routine Correspondence/ Messages (May be in paper or electronic format) | This series documents general work activities related to administration of the functions, programs and policies of a state agency. Routine Correspondence documents day-to-day activities, including but not limited to: customer/constituent service, procurement, or internal communication. It can be in paper or electronic format. This series does not cover constituent services in the Governor's Office, which is covered under Series 04347, Governor's Official Correspondence File. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Routine correspondence is incoming and outgoing correspondence that may consist of: letters, notes, postcards, memoranda, announcements, or information commonly found in the body of e-mail messages and/or any attachments. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Routine correspondence does not include: non-business related messages, spam and junk mail. |
| | Retention and Disposition | Retain no longer than two (2) years, if not related to eligibility determinations, complaints or appeals. If related to eligibility determinations, complaints or appeals, transfer to State Records Center after audit, retain until ten (10) years from creation of the record, then destroy. |

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|--------|--|--|
| 06777 | Non Business-Related Correspondence/ Messages | <p>This series represents email and other correspondence that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: Spam and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related e-mail, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the state's e-mail and Internet acceptable use policy (see CIO-060, Internet and Electronic Mail Acceptable Use Policy). Given the nature of e-mail, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Non-business related correspondence is incoming and outgoing correspondence that may consist of: Personal messages - All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (See "Internet and Electronic Mail Acceptable Use Policy, CIO-060") Spam is the term for electronic junk mail. It is completely unsolicited and unwanted. Spam mail can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations. Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related e-mail from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.</p> <p>Retention and Disposition Delete or destroy all non-business related correspondence/messages immediately. Agencies are encouraged to train all employees with e-mail access to use the system properly for work-related activities and to remove all non-business-related records immediately.</p> |
| 06778 | Electronic Messages | <p>This series encompasses any communication using an electronic messaging system for the conduct of agency business. Electronic messaging systems manage and facilitate the sending and receiving of electronic messages with associated attachments and may also allow for calendaring and scheduling of appointments. These systems have become an increasingly important and common communication tool for public agencies. Unified messaging systems allow for a common user in-box for email, voicemail, and text messages allowing users to manage all three from a single point. Use of mobile technologies such as RIM's Blackberry, Personal Digital Assistants (PDA), and web-enabled cell phones enable users to access messages outside of the office setting. Electronic messaging systems such as a listserv allow for broad distribution of messages sent to a single address to multiple recipients. With the ability to attach files to electronic messages, electronic messaging systems have transitioned from simple messaging systems to repositories of public records. Most electronic messages have very limited value and can be deleted immediately upon receipt, but some document agency functions and provide evidence of agency business. The dynamic and often informal nature of electronic messages, coupled with the ease with which electronic messages can be sent and received, can lead to personal and other non-business related messages being mixed with business related messages. Electronic messages should be managed and retained in a manner that protects the integrity of the records and allows for the efficient management of the records over the prescribed retention period.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Electronic messages are any message sent or received by an electronic messaging system. Electronic messages may be in the form of electronic mail (email); text messages (such as on a Blackberry or other portable device); voicemail messages (in a voicemail box on a phone, or as an audio file in a unified messaging environment); or faxed messages (faxes are electronically transmitted with a paper output, or may be maintained electronically as an electronic fax.) In addition to the body of the message, text-based messaging systems (email, text messages, faxes and voicemail through a unified system) contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. Email messages may also include attached files.</p> <p>Retention and Disposition Electronic messaging systems are a form of communication. The messages found in these systems can be any type of record. Identify what type of record the message is and delete after the expiration of the retention period authorized in an approved records retention schedule.</p> |

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| 06779 | Policies and Procedures | This series provides a framework for the management of agencies and the administration of programs. Policies and procedures are developed to help agencies manage their programs and to assist staff in their administration. Policies derive from the authority of the agency, as established by the laws under which it operates. They are an authoritative communication that sets a definite course or method of action. Policies guide and help determine present and future decisions. Procedures reflect the steps resulting from policies to be followed in providing services or activities. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain but is not limited to: Year; date; department; division; branch; organization chart; index; introduction; mission statements; policy statements; responsibilities of division; services; program objectives; employee requirements; procedural actions; glossary of terms; sample forms; disaster or emergency plans. |
| | Retention and Disposition | Retain (1) one copy of each version of a policy permanently in the agency of origin. Copies in addition to the official copy may be destroyed when superseded. |
| 06780 | Administrative Orders | This series documents the directives issued by the chief administrative officer or executive officer within an agency. Orders designate that certain actions are to occur. The orders give direction on various policy issues that may be either internal or external to the agency. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of order; order number; agency head; action taken. |
| | Retention and Disposition | Retain (1) one copy permanently in the agency of origin. Copies in addition to the official copy may be destroyed when no longer needed. |
| 06781 | Publications Created By or For Agency | This series consists of any publication produced for general public distribution, regardless of format, that documents agency history, agency-related functions or agency activities. It does not include materials issued for internal administrative use, such as manuals of operation. Publications contain important facts and statistics about the operation of the agency and its policies. They provide information, often in summarized form, which aids in understanding the history or administrative functioning of an agency. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains publications and reports. |
| | Retention and Disposition | Retain one (1) official copy of all publications permanently in agency. Forward three (3) copies of publications issued in paper to the Department for Libraries and Archives when issued; or forward one (1) copy of publications held in electronic format or issued for general public distribution on the agency's web site. Copies in addition to the official copy may be destroyed when no longer needed. |
| 06782 | Minutes of Meetings | This series documents the official record of proceedings of meetings. It provides information about the activities of the entity, the actions it took in regard to the issues brought before it, and the decisions rendered. Minutes of meetings constitute adequate and proper documentation of essential agency transactions and organizational functions, as required in KRS 171.640. Boards, commissions, councils, task forces, etc, which were established by statute or executive order, or those entities which establish or administer policy are examples for which minutes should be created. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: 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. May also include agendas and materials distributed for discussion and approval |
| | Retention and Disposition | Retain one (1) copy permanently in the agency. Forward one (1) copy to the State Archives Center after each set of minutes has been approved. Copies in addition to the official copy may be destroyed when no longer needed. |

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| 06783 | Minutes - Agency Staff Meetings | This series documents the record of proceedings of internal meetings. The Series contains information for providing direction, clarifying procedures, decision making among staff, or development of new ideas. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable |
| | Retention and Disposition | Retain three (3) years then destroy. |
| 06784 | Speeches by Administrative Heads | This series documents the public addresses to assemblies by administrative heads. It includes the text and/or recording of speeches given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Date; duration; location; administrative head; text of speech |
| | Retention and Disposition | Retain permanently in agency. |
| 06785 | Organizational Charts | This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within the agency and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities |
| | Retention and Disposition | Retain (1) one copy of each revision permanently in the agency of origin. |
| 06786 | Mission Statements | This series documents the fundamental and global reason for the existence of a state agency. A mission is brief, clear and broad enough to allow flexibility in implementation. The series is a means by which managers and others can make decisions both internally and externally. It reflects the values, beliefs, philosophy, and culture of an organization. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Date; agency identification; text |
| | Retention and Disposition | Retain (1) one copy of each revision permanently in the agency of origin. |

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 06787 | Request to Inspect Public Records (includes responses to those requests) | This series documents requests to inspect, research, or review public records created, used or maintained by a public agency. In 1976, the General Assembly enacted the Open Records Act, KRS 61.870 to 61.884, which established a right of access to public records. All public records, regardless of format, must be open for inspection unless the records are exempted by one or more of the exemptions found in KRS 61.878, or are specifically exempted by another statute. All public agencies are required to make nonexempt public records available to any requester, and to provide suitable facilities for the exercise of the right of inspection. This series also includes the agency's responses to open records requests. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Name of agency; date; records requested to inspect; number of copies of each document; cost; signature of requestor, company, address, phone; disposition of the request; signature of custodian, name of agency, amount received, date. |
| | Retention and Disposition | Retain three (3) years then destroy. |
| 06788 | Open Records Register | This series documents the individuals who have requested to inspect public records of an agency and the records they requested. It provides a reference point should agencies need to review the number and type of records requested, as well as who requested them. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: administrative unit; date of inspection; name of person inspecting records; agency or group affiliated with; address of person |
| | Retention and Disposition | Retain five (5) years then destroy. |
| 06789 | Informational and Reference Material (Does not apply to correspondence) | This series documents materials of a non-technical or technical nature which may aid in or support the conduct of official agency business, but which are not critical to continued operations. This series may also include material used in the professional enhancement of agency employees or duplicate copies of material maintained for solely for reference purposes by the agency or individual employees. Informational and reference material may appear in paper or electronic format and may be as formal as a publication or brochure (usually external to the agency) or as informal as a news clipping. Records in this series may be destroyed when they become obsolete or no longer useful to the agency. This series should not be applied to correspondence. (See Series M0001, Official Correspondence; Series M0002, Routine Correspondence; and Series M0050, Nonbusiness Related Correspondence.) |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Informational and reference material may include published and/or non-published material (usually external to the agency) such as: Periodicals; books; brochures; reports; some logs and other tracking tools; professional literature not related to day-to-day activities; and duplicate copies of other records retained for reference purposes only. This series does not include correspondence (See Series M0002, Routine Correspondence). |
| | Retention and Disposition | Destroy when no longer needed, if unrelated to consumer outreach or eligibility determination. |
| 06790 | Legislative File | This series documents a working file which may be a review of actions taken by the General Assembly. It is maintained by agency officials to allow for available reference of legislative activity which relates to specific programs. The series may also contain information tracking proposed legislation, proposed administrative regulations from agencies, or changes brought before the General Assembly. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date of session; proposed legislative actions. |
| | Retention and Disposition | Destroy when no longer needed. |

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**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 06791 | Itinerary File | This series documents the schedules and/or travel plans for agency heads and other state agency personnel. The purpose of an itinerary is to advise others, often including the press, of the date, time, place, and purpose of an activity. Many itineraries are created days, weeks, or months in advance so that interested parties can monitor external activities of the administrator. An agency head is defined in KRS 13B.010(4) as "the individual or collegial body in an agency that is responsible for entry of a final order." |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Department; name of administrator; date; week or month of itinerary; list of destinations and organizations; dates and times of travel; topics of remarks; activities |
| | Retention and Disposition | Retain itineraries of agency heads until two (2) months after they leave office, then destroy. Retain itineraries of all other personnel two (2) months, then destroy. |
| 06792 | Annual or Summary Reports | This series functions as a comprehensive summary of agency activities, services, and results of the past year. Staff report initiatives, objectives, changes in responsibilities, or accomplishments to convey the mission of the agency. Summary reports condense the main points of programs or projects in the agency. The reports are usually published and are for general public distribution. The series provides essential and adequate documentation of agency transactions (KRS 171.640) and, as such, is crucial to an understanding of the administrative history of an organization. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; statement from chief administrative officer; programs administered; who was served; photographs; staff support; program accomplishments with comparison to previous years; financial information; project statistics; supporting materials |
| | Retention and Disposition | Retain one (1) official copy of all annual or summary reports permanently in agency. Forward three (3) copies of reports issued in paper to the Department for Libraries and Archives when issued; or forward one (1) copy of reports held in electronic format or issued for general public distribution on the agency's web site. Copies in addition to the official copy may be destroyed when no longer needed. |
| 06793 | Activity Report | This series documents a periodic summary of activities and operations at all levels of administration within an agency. Activity reports may be used by the agency to compile annual or other reports and document results of programs at regular intervals. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series may contain: Date; addressee; administrative unit; activities; statistical information |
| | Retention and Disposition | Retain ten (10) years then destroy. |
| 06794 | State Records Retention Schedule (Duplicate - original retained by the Archives and Records Management Division) | This series documents the basis for an agency's records management program. A records retention schedule identifies the records that are created and maintained by an agency. It provides the minimum timeframes the records must be retained and includes instructions for their disposition. When approved by the State Archives and Records Commission (KRS 171.420), the schedule becomes binding upon the agency and provides clear legal authority to destroy public records. In addition, the schedule identifies records that are vital to the continued operations of an agency and those whose access is restricted by law or regulation. It is the primary tool for an agency's management of its records. A schedule is inclusive of all records that are specific to an agency and provides accountability for their creation and maintenance. In the absence of an approved schedule, the agency does not have the legal authority to destroy public records and can incur liabilities if it does. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Agency name; schedule date; signature page; record status-indefinite, permanent, vital, confidential, or electronic; record title and description; series number; retention period at agency; retention period at the State Archives or State Records Center; disposition |
| | Retention and Disposition | Maintain current version of the schedule in agency. Destroy when superseded and when no longer needed by the agency. |

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RETENTION SCHEDULE**

Health and Family Services, Cabinet for
Health Benefit and Information Exchange, Kentucky Office of

**Record Group
Number
1452**

| Series | Records Title and Description | Function and Use |
|---------------|---|---|
| 06795 | Records Transmittal File - Permanent records (Agency locator copy) (Duplicate - original retained by the Archives and Records Management Division) | This series documents the transfer of custody of records of continuing or historical value from the creating agency to the Department for Libraries and Archives, as provided for in the agency's approved records retention schedule. The transmittal is completed by the agency's records officer and specifies the records that are being transferred by series number, title and date span. It provides the agency with an index to the records that have been transferred and provides specific information as to the location of the records in the State Archives Center, should their retrieval be necessary. Unless restricted, records housed in the State Archives are available for research by the public, through the Archives Research Room. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent; destruction date (none); accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of record; date span of record; access restricted/statute; signature/date of records officer; continuation page (if applicable). May include inventory of contents or box lists. |
| | Retention and Disposition | Retain permanently in agency. |
| 06796 | Records Transmittal File - Non-permanent records (Agency locator copy) (Duplicate - original retained by the Archives and Records Management Division) | This series documents the transfer of custody of records of non-permanent records from the creating agency to the State Records Center, Department for Libraries and Archives, as provided for in the agency's approved records retention schedule. The transmittal is completed by the agency's records officer and specifies the records that are being transferred by series number, title and date span. It provides the agency with an index to the records that have been transferred and provides specific information as to the location of the records in the State Records Center. Records that are transferred to the State Records Center are generally administrative in nature and are still needed for the conduct of agency business. Information from the locator copy of the transmittal is essential when requests to return records to agencies are made. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Cabinet/local jurisdiction; department/local government office; division; branch/unit; retention schedule date; total containers; permanent/yes or no; destruction date; accession number; compiler; date; shelver; volume; location in center; box, roll, book, bundle, other; series number; title of records; date span of records; access restricted/statute; signature/date of records officer; continuation page (if applicable). May include inventory of contents or box lists. |
| | Retention and Disposition | Destroy one (1) year after the destruction of the records specified on the records transmittal. |

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Number
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| Series | Records Title and Description | Function and Use |
|---------------|---|--|
| 06797 | <p>Microfilm Quality Evaluation Form (Duplicate - original retained by the Archives and Records Management Division)</p> <p>Access Restrictions</p> <p>Contents</p> | <p>This series documents the quality control process used to determine whether microfilm produced either by the Archives and Records Management Division, private certified vendors, or state and local government agencies has met quality control requirements and archival standards as set forth by the Department for Libraries and Archives. The form provides for the destruction of the hard copy records, providing all requirements and standards have been met. It is used to advise agencies that the records can be destroyed or that they must be retained, due to the film not having met all requirements. If the film passes all requirements and the hard copy is destroyed, it then becomes the original record and is used in lieu of the paper records. The silver master of all film where the retention of the record is seven years or greater must be stored in the Division's vault, as security backup to the records.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Agency; unit; date; roll number; schedule date; series number; title of records on schedule; inclusive dates; test roll number; density; resolution; reduction ratio; targets; security copy stored at Archives and Records Management Division; tested by; date; records destruction approved/disapproved; signature of agency records officer; signature of State Archivist; comments</p> |
| | Retention and Disposition | Retain permanently in agency. |
| 06798 | <p>Records Destruction Certificate File (Duplicate - original retained by the Archives and Records Management Division)</p> <p>Access Restrictions</p> <p>Contents</p> | <p>This series documents that destruction of records has been carried out by state and local government agencies, in accordance with approved records retention schedules. The series identifies the records being destroyed, the date span and amount, usually expressed in cubic feet, and the method of destruction. Records officers are responsible for ensuring that destruction requirements established by the Department are appropriately carried out by their agencies. The series documents that retention schedules are being implemented and that records that have ceased to have value are disposed of. The timely destruction of records whose retention periods have been met result in a savings to government. Agencies can incur liabilities if records are destroyed that have not had a retention period approved for them by the State Archives and Records Commission.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series contains: Planned destruction date; administrative units; schedule date; date of destruction; accession number; series number; title; security microfilm; confidential records; date span; cubic feet/rolls; unit number; location at state facility; signature of records officer</p> |
| | Retention and Disposition | Retain permanently in agency. |
| 06799 | <p>Special Studies and Reports</p> <p>Access Restrictions</p> <p>Contents</p> | <p>This series documents unpublished compilations of information related to agency activities or events. The studies or reports contain important facts and statistics about the organization, policies and operations of an agency. Information from the series can aid in long range planning by the agency.</p> <p>Agencies should consult legal counsel regarding open records matters.</p> <p>Series may contain: Date of report; administrative unit; authors; title; purpose of study; summary; recommendations; appendices; definitions; table of contents; text; associated publications; bibliography</p> |
| | Retention and Disposition | Retain one (1) official copy of all special studies and reports permanently in agency. Transfer one (1) copy to the State Archives Center after completion. Copies in addition to the official copy may be destroyed when no longer needed. |

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| Series | Records Title and Description | Function and Use |
|---------------|--|--|
| 06800 | Press Releases | This series represents the official release of information to the media informing the public of agency events and actions. The events or actions may be of special interest to the general public. |
| | Access Restrictions | Agencies should consult legal counsel regarding open records matters. |
| | Contents | Series contains: Agency name; date; phone number; contact person; lead; dateline; page number; description of information released |
| | Retention and Disposition | Retain permanently unless transferred to the Governor's Office or another agency for permanent retention. If a copy of the press release is transferred, retain for two (2) years, then destroy. |