



Kentucky Housing Corporation

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.

Kentucky Housing Corporation

The Kentucky Housing Corporation (KHC) was established as a result of the passage of HB 27 during the 1972 General Assembly. KRS Chapter 198A specifies KHC's creation, purpose and powers. Among its powers, the KHC can provide low-cost housing to low- and moderate-income families. It can make insured construction loans to sponsors of land development and residential housing, make insured mortgage loans to sponsors of residential housing, purchase insured mortgage loans made to sponsors and to families of low and moderate income, and lease and sublease residential housing to families of low and moderate income.

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Housing Corporation

March 10, 2016

Agency

Schedule Date

June 8, 2023

Unit

Change Date

June 8, 2023

Date Approved By Commission

APPROVALS

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


Winston Miller (Jun 1, 2023 12:55 EDT)

Agency Head

Date of Approval


Agency Records Officer

Date of Approval

DocuSigned by:



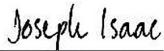
6/8/2023

State Archivist and Chairman, State Libraries, Archives, and Records Commission

Date of Approval

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

DocuSigned by:



6/8/2023

Records Analyst/Regional Administrator

Date of Approval



6/8/2023

Appraisal Archivist

Date of Approval



6/8/2023

State/Local Records Branch Manager

Date of Approval

The determination as set forth meets with my approval.

DocuSigned by:



6/8/2023

on behalf of

Auditor of Public Accounts

Date of Approval

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

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06693	Official Correspondence, Corporation	This series documents the major activities, organizational functions, history and programs of the Kentucky Housing Corporation and the events involving the formulation, evolution, and ultimate announcement of KHC policy. Official correspondence is typically created by the upper-level administrative staff of the agency (director or above), or the general counsel. It can be in paper or electronic form. For Official Correspondence generated by Executive Director, see series 06678.
	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 in agency .
06694	Routine Correspondence/ Messages	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.
	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.
06695	Informational and Reference Material	This series documents materials of a non-technical or technical nature which may aid in or support the conduct of Kentucky Housing Corporation business, but which are not critical to continued operations. This series may also include material used in the professional enhancement of KHC employees or duplicate copies of material maintained for solely for reference purposes by KHC 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.
	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.
	Retention and Disposition	Destroy when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Asset And Account Management

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06607	8823 IRS Form for Low-Income Housing Credit Agencies Report of Noncompliance or Building Disposition	This series documents all activity by the Kentucky Housing Corporation (KHC) in monitoring compliance for low-income housing tax credit (LIHTC) properties. KHC is responsible for monitoring LIHTC properties for compliance with the requirements of Internal Revenue Code (IRC)
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Building identification number (BIN), owners information or schedule listing owners, addresses, and tax identification numbers, employer identification number (EIN), social security number (SSN), date of earliest noncompliance issue, date noncompliance issue was corrected, type of violation which is out of compliance, total amount of credit allocated, total number of residential and low-income units, notification letter, correspondence, and additional supporting documentation.
	Retention and Disposition	Retain in agency for six (6) years from date of filing, then destroy.
06608	Real Estate Assessment Center (REAC) Inspection (V)	This series documents the annual physical inspection of properties to monitor their compliance to Real Estate Assessment Center (REAC) property standards. As a participant of the multifamily Risk-Sharing Program with the U.S. Department of Housing and Urban Development (HUD), KHC is obligated to perform periodic monitoring of the properties financed through the program. A Risk-Sharing project will be inspected subject to REAC once the project is placed into service. The inspection will occur within two years of the final endorsement of the note. Further inspections will be required according to the schedule determined by the property's REAC score. REAC uses Uniform Physical Condition Standards (UPCS).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notification of inspection, date, Resident Notification letter, rent roll, site map, property information, number of occupied units, participant information, certificates, area measurements, each buildings address, number of floors, construction year, and number of units, list of sample units, Environmental Health & Safety forms, and Final Inspection Score.
	Retention and Disposition	Retain in agency for six (6) years from date of inspection, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Business Logistics

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06635	Building Access Records	This series documents entrance into Kentucky Housing Corporations (KHC) buildings for business purposes by customers or employees. This is a reference to know who is in a building and who has had access in the past.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: building sign-in/sign-out sheet; employee badging system records; date; and time entering or leaving the building.
	Retention and Disposition	Retain in agency one (1) year, then destroy.
06636	Work Order File	This series documents the requests for service on Kentucky Housing Corporation office buildings. Neccessary maintenance requests are approved, subsequent work orders are prepared, and the specifics of the service and/or repairs are performed.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date of service; type of work requested; location of maintenance; name of requestor; contact information; urgency; equipment code or serial number; description of work to be done; request for estimate; approximate cost of work.
	Retention and Disposition	Retain in agency for three (3) years, then destroy.
06637	Building Plans, Drawings, and Blueprints	This series documents details of infrastructure construction and improvements completed on Kentucky Housing Corporation buildings. These materials are used as a reference when there is a need for information concerning buildings and projects that are still current. They also may provide a structural history of KHC office.
	Access Restrictions	KRS 61.878(1)(m) Subpart 1.g. Agencies should consult legal counsel regarding open records matters.
	Contents	This record contains drawings, name of architect, date of drawing, name of project or structure.
	Retention and Disposition	Retain in agency permanently.
06663	Procurement Records	This series documents all procurement activities by the Kentucky Housing Corporation, but not payment. Payment is covered under Series 06664, 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	Retain in agency eight (8) years after the expiration of authority to purchase, date of transaction, termination or award of contract, or after audit, whichever is longest, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Business Logistics

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06665	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 eight (8) years after term of ownership ends. Destroy other records eight (8) years after completion of project, or after audit, whichever is longer.
06666	Agency Property File	This series documents the Kentucky Housing Corporation'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 eight (8) years after end of Housing Corporations ownership of property or audit, whichever is longer. Destroy Warranty Records three (3) years after end of warranty period.
06849	Real Estate File (V)	This series documents all real estate transactions and holdings of the Kentucky Housing Corporation (KHC). These records document property ownership and other land associated transactions. These include deeds to Kentucky Housing Corporation owned property, easements, and right-of-ways.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: deeds, easements, and right-of-ways along with any legal documentation.
	Retention and Disposition	Retain in Agency permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Business Logistics

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06925	Surveillance Video/Audio Recording	This series documents recordings of activities in the public areas of Kentucky Housing Corporation facilities. The cameras either operate continually for 24 hour cycles recording all activity in a specific area or are triggered to record when motion is detected. Cameras or recording devices may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, state government offices, and anywhere the public has access. These recordings are used as a security measure in the identification of persons in case there are occurrences of destruction of property, breaking and entering, or other unlawful acts.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: recordings of certain areas of agency facilities.
	Retention and Disposition	Retain for thirty (30) days after date of recording, then destroy if no litigation is pending. Evidentiary recordings used in any investigation, pending investigation, litigation, or open records request must be kept until all investigative or legal activity is completed and all appeals are exhausted..
06967	Postal Records File	This series documents Kentucky Housing Corporation transactions with the U.S. Postal Service or other courier and delivery services.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This series may include: receipts for registered, certified, or special delivery mail deliveries and shipments; other similar records of transmittal by private carriers.
	Retention and Disposition	Retain for one (1) year, then destroy.
07010	Visitor Health Screening Form	This series is used to document that visitors have completed the health screening form required of anyone requesting admission to Kentucky Housing Corporation facilities. The purpose of the form is to limit the spread of COVID-19 or other contagious diseases by identifying those exhibiting COVID-19 symptoms or may have been in contact with someone with the COVID-19 virus.
	Access Restrictions	KRS 61.878(1)(a) - regarding personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: The information required on this form includes name, company name, date, temperature, and whether or not the visitor is experiencing various symptoms related to COVID-19. The form also includes questions regarding possible exposure to anyone exhibiting COVID-19 symptoms or who has been diagnosed with COVID-19.
	Retention and Disposition	Retain in agency one (1) year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Communications And Marketing Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06668	Publications Created by or for Housing Corporation	This series consists of any publication produced for general public distribution, regardless of format, that documents Kentucky Housing Corporation (KHC) history, KHC-related functions or KHC 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 KHC and its policies. They provide information, often in summarized form, which aids in understanding the history or administrative functioning of KHC.
	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. Copies other than the official copy may be destroyed when no longer needed.
06671	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. Copies other than the official copy may be destroyed when no longer needed.
06672	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 in agency.
06673	Audio/Video Records - Kentucky Housing Corporation Activities	This series documents Housing Corporation activities and functions in audio or video format. Such activities may document the administrative functioning of the agency, its programs, operations and training. Information in this format (if determined to be archival), often replaces or supplements more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in these formats, corporation personnel should properly identify the event being recorded and the participants. Additionally, each recording should be titled and properly dated and maintained in its original order, to facilitate transfer to the State Archives, where appropriate. This series does not include records scheduled according to content, such as audio or video recordings of meetings, which are used to create meeting minutes.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Audio or video recordings; may also contain: events, date, scripts, contracts, releases, finding aids
	Retention and Disposition	Retain permanently in agency.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Communications And Marketing Services

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06674	Photographic File - Kentucky Housing Corporation Activities	This series documents Housing Corporation activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Photographs and accompanying explanatory materials and finding aids.
	Retention and Disposition	Retain permanently in agency.
06916	Photo/Video Release Form	This series documents that individuals have given permission to Kentucky Housing Corporation (KHC) to use photographs and/or videos (individual likeness) in promoting KHC programs and events. May also consist of parent/guardian permission to release photos or videos of children.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Release policy; name of individual or guardian giving permission; address; names of children; date; signature of individual or guardian giving permission; description of photo; video; and promotional event or program.
	Retention and Disposition	Retain in Agency for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Corporate Planning And Accountability

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06612	Annual Allocation Plan (V)	This series documents the Kentucky Housing Corporations annual internal strategic plan for all available and forecasted funds for each fiscal year. This record series does not represent the agencys actual operating budget or final financial report. The allocation plan is a summary approved by KHCs Board of Directors.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Program areas; units/households assisted, allocated investment and investment per unit/Household for previous fiscal year and upcoming fiscal year; change between fiscal years; funding sources; allocation of funds for the previous and upcoming fiscal year; funding schedules; and estimates based on resource availability.
	Retention and Disposition	Retain permanently in agency.
06613	Annual Allocation Plan - Draft (V)	This series serves as the document used as a reference tool during the development of the Annual Allocation Plan. It is used to verify amounts, details, etc. until the final Annual Allocation Plan is approved.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Program areas; units/households assisted, allocated investment and investment per unit/Household for previous fiscal year and upcoming fiscal year; change between fiscal years; funding sources; allocation of funds for the previous and upcoming fiscal year; funding schedules; and estimates based on resource availability.
	Retention and Disposition	Retain in agency for one (1) year, destroy at the end of current fiscal year and audit.
06614	Annual Allocation Plan - Working Papers (V)	This series documents all activity in the process of preparing the Annual Allocation Plan. The working papers are used to draft a proposed Annual Allocation Plan that is submitted to the Board of Directors for approval.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: dates; fiscal year; total amount requested by organizational unit per fiscal year; principal classes of needed expenses; previous allocation totals; computations; working allocation requests; funding sources; and correspondence.
	Retention and Disposition	Retain in agency for current fiscal year, destroy at the end of current fiscal year and audit.
06615	Budget Draft and Proposal (V)	This series serves as the document used as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until the final budget is approved.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	The series may contain: each funding source; each departments proposed budget; agency request; executive recommendations; expenses of three (3) previous years; current years expenses; and estimated costs for the current year.
	Retention and Disposition	Retain in agency for one (1) year, destroy at the end of current fiscal years and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Corporate Planning And Accountability

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06616	Budget Work Papers (V)	This series documents all activity in the budget preparation process. The working papers are used to draft a proposed budget that is submitted to the Kentucky Housing Corporations Board of Directors for approval.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: dates; fiscal year; total amount requested of budget unit per fiscal year; principal budget classes of needed expenses; previous budget totals; computations; working budget requests; funding sources; and correspondence.
	Retention and Disposition	Retain in agency for current fiscal year, destroy at the end of current fiscal year and audit.
06622	Annual Approved Operating Budget (V)	This series documents the approved budget under which the Kentucky Housing Corporation (KHC) operates for each fiscal year. The record shows proposed revenues and expenditures for each program within KHC based on solid projections. The budget is binding for the fiscal year.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: organizational units and programs; date; narrative; total funds; total expenditures; operating expenses; grants; projected revenues; federal funds; and balance forward.
	Retention and Disposition	Retain one (1) copy in agency permanently.
06623	Record of Budget Amendments	This series documents amendments to the approved operating budget, adopted by the Kentucky Housing Corporations Board of Directors through the approval process.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain; date; bill number, signature amount; and nature of amendment.
	Retention and Disposition	Retain one (1) copy in agency permanently.
06645	Consolidated Plan, HUD Grant Block Programs	This series documents the affordable housing and community development strategies implemented by the Kentucky Housing Corporation in allocating funding from U.S. Department of Housing and Urban Development (HUD) block grant programs. Developed with the Kentucky Department for Local Government, this strategic plan includes narrative responses to specific questions that grantees of Community Development Block Grant Program (CDBG), HOME Investment Partnerships Program (HOME), Housing Opportunities for Persons with AIDS Program (HOPWA), and Emergency Shelter Grant Program (ESG) must respond to in order to be compliant with Consolidated Planning Regulations (24 CFR Part 91). Consolidated Plans are developed for 3 to 5 year periods. Each year of the current Consolidated Plan will be accompanied by an Annual Action Plan which establishes annual goals for keeping with the overall strategy in the Consolidated Plan, and Consolidated Action Plan Evaluation Reports (CAPER) that detail how the state utilized block grant funds during that fiscal year.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Executive Summary; identity of the agencies, groups, organizations, and others who participated in the process, consultations with public and private agencies, summary of citizen participation, public comments, housing needs assessment, homeless needs assessment, housing market analysis, strategic plan, action plan, certifications, monitoring, and amendments.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Corporate Planning And Accountability

Record Group
Number
1412

Series	Records Title and Description	Function and Use
	Retention and Disposition	Retain one (1) copy of each Consolidated Plan, including each Annual Action Plan and Consolidated Annual Performance and Evaluation Report (CAPER), permanently in agency.
06646	Corporate Business Plan File	This series documents all activity involved in outlining goals and objectives for each departmental unit of the Kentucky Housing Corporation, and the methods by which the operations of those departments are periodically evaluated. Each department coordinates with the Directors Office to develop and implement an annual business plan for that department. Points are assigned to certain functions of the department and performance throughout the year is reported through internal scorecards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: departmental business plan for each year, department scorecards, any other supporting documentation.
	Retention and Disposition	Retain in agency for eight (8) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Employee Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06563	Employee Medical and Sick Leave File	This series provides documentation of an employees illness, injuries, and treatment. In addition, this file also contains the employees participation in the Kentucky Housing Corporations (KHC) sick leave sharing (SLS) program and the documentation necessary to verify eligibility for the program. This information is considered confidential and must be maintained separately from the personnel file in a secure file to ensure access is granted on a strictly need-to-know basis. Documentation may be used to verify eligibility for sick leave, for the approval or denial of the request and for the transfer of sick leave from one employee to another via sick leave sharing, workers compensation benefits, Family Medical Leave (FMLA), American Disability Act (ADA) accommodation requests, and other supporting medical documentation.
	Access Restrictions	KRS 61.878(1)(a) - Regarding Confidential Medical Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: medical certifications to support requests for sick leave; FMLA application/certification; SLS application and supporting documentation; sick leave donation fomrs; documentation tracking the amount of sick leave requested; donated; used; and returned to donor; workers compensation first report of injury; medical statements from healthcare providers; test results; and any related correspondence.
	Retention and Disposition	Retain in agency, destroy five (5) years after termination of employment in the agency.
06564	Benefit Billing Working Papers	This series documents the records maintained by the Kentucky Housing Corporations (KHC) Employee Services department for use in administering benefit actions such as enrollment, beneficiary designation, and reconciliation of benefit invoices. KHCs employment services does not make payouts, records are reconciled and submitted to KHCs account department for payment.
	Access Restrictions	KRS 61.878(1)(a) - Regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notification of Health Insurance Status/Contribution; Deduction authorizations; Enrollment applications; Health Insurance/Flexible Spending Applications; Life Insurance enrollment forms; Verification of employment; Beneficiary Designation Form; invoices; and check copies.
	Retention and Disposition	Retain in agency for three (3) years, then destroy.
06624	Recruiting/Hiring Process Material File	This series documents the process and criteria used to select a candidate to fill a position with the Kentucky Housing Corporation. The series also documents the decision making process, including the screening and selection of candidates for interviews, the interview questions and answers and the other factors used in the selection process. Kentucky Housing Corporation employees are non-merit.
	Access Restrictions	KRS 61.878(1)(a) - regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Advertisement for position; application and/or resumes; correspondence; interview questions and answers; reference check notations; completed background check forms.
	Retention and Disposition	Retain in agency for five (5) years after closing date of employment position, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Employee Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06630	Form I-9, Employment Eligibility Verification	This series documents that each new employee (both citizen and non-citizen) hired after November 6, 1986, is authorized to work in the United States. All employees (citizen and non-citizen) hired after November 6, 1986 and working in the United States, must complete the I-9 Form, per U.S. Citizenship and Immigration Services. These are maintained separately from an employees personnel file.
	Access Restrictions	KRS 61.878(1)(a) - SSN. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Employee name, Address, Dob, SSN, citizenship status; Preparers/Translators name, address, signature, Employer Review and Verification; Document title, issuing authority, document number, expiration date; Certification; updating and reverification; new name, date of rehire; document title; number; expiration; employers signature, date.
	Retention and Disposition	Retain in agency for three (3) years after employee begins work, or one (1) year after employment is terminated, whichever is later, then destroy.
06661	Workplace Injury and Illness Reporting Forms	This series documents employees' injuries and illnesses sustained in work-related incidents. It includes OSHA Form 300 -- Log of Work-Related Injuries and Illnesses; OSHA Form 300A -- Summary of Work-Related Injuries and Illnesses; and the Injury and Illness Incident Report (state agency may substitute the Workers' Compensation First Report of Injury Form IA-1). The log series is used to record and classify reportable work-related injuries and illnesses and to document the severity of each case. It must be kept current and be presented to officials of the USDOL on request. The summary shows the total reportable injuries and illnesses for an establishment for a year and is required to be posted from February 1 through April 20 of the following year so employees are aware of the injuries and illnesses occurring in their workplace.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: OSHA Form 300; OSHA Form 300A; supporting documentation, either OSHA Injury and Illness Incident Report or Workers Compensation First Report of Injury and Lost Time/Return to Work form. The log contains the case #, Employee's name (or notation of privacy); job title; date of injury or illness; where the injury/illness occurred; description of injury/illness; classification of the case; number of lost work days or days of modified duty; indication of injury or type of illness. The summary records the total number of deaths, cases with days away from work, total number of cases with job transfer or restricted duty; number of other recordable cases; total number of days away from work; total number of days of job transfer or restricted activity; the numbers of the various types of injuries & illnesses.
	Retention and Disposition	Retain for five (5) years following the year to which each form pertains.
06667	Policies and Procedures	This series provides a framework for the management of the Kentucky Housing Corporation and the administration of programs. Policies and procedures are developed to help the agency manage 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 agency. Copies other than the official copy may be destroyed when superseded.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Employee Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06675	Personnel Folder - Corporation Copy	This series documents the employment history of each individual employee with the Kentucky Housing Corporation. It is the master file and may be used to verify dates of employment, salary, and positions held; to determine eligibility for promotions, reclassification, or awards; tuition assistance; training; and to review personnel actions throughout an employee's career. This file may contain payroll information.
	Access Restrictions	KRS 61.878(1)(a) - Regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Per KRS 18A.020, this Series contains employee name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, layoffs, transfers, disciplinary actions (as well as any employee written statements provided in response to a disciplinary action), commendations, awards, and preliminary and other supporting documentation for each action. Additionally, if an employee is reprimanded, a copy of the reprimand, as well as a copy of the employee's response (if provided) shall be stored in the agency personnel folder. The series may also include: orientation checklist, education/training verification, payroll deduction authorization, test scores, resume, military records correspondence, notice(s) of temporary assignment, and exempt/nonexempt form. The series should not include medical records, worker's compensation materials or grievances (unless the grievances support an employment action).
	Retention and Disposition	Retain until fifty (50) years after most recent date of separation, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed.
06676	Personnel Record - Departmental Duplicate	This series is the departmental duplicate of the personnel file, which is maintained as a working record while the employee is a current member of the staff. The official record is the corporation file (06675).
	Access Restrictions	KRS 61.878(1)(a) - regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employment application; Copy of personnel actions; orientation checklist; letters of reprimand and/or disciplinary report; supervisory report; yearly evaluations; letters of achievement; content regarding employee performance; exempt/non-exempt form; qualifying classification; position description; service record; education authorization; test scores; resume; military records; related correspondence
	Retention and Disposition	Retain no longer than two (2) years after termination of employment in the department.
06944	Equal Employment Opportunity Files	This series documents the submission by Kentucky Housing Corporation (KHC) of various Equal Employment Opportunity (EEO) reports to the federal government.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: forms required by federal regulation pertaining to Equal Employment Opportunity (EEO) including but not limited to EEO-1, Veterans Employment and Training Service (VETS) 100A, VETS-4212, or other related reports.
	Retention and Disposition	Retain in agency for two (2) years from date of filing, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Executive Director's Office

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06678	Official Correspondence, Executive Director	This series documents the major activities, organizational functions, history and programs of the Executive Directors Office and the events involving the formulation, evolution, and ultimate announcement of agency policy. Information included in this series can include directives issued by the Executive Director. For Official Correspondence generated by other agency personnel, see series 06693.
	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 in agency.
06679	Signatory Resolutions	This series documents the directives issued by the chief administrative officer or executive officer within the 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 other than the official copy may be destroyed when no longer needed.
06680	Minutes of Meetings	This series documents the official record of proceedings of meetings conducted by the Kentucky Housing Corporation. 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. Copies other than the official copy may be destroyed when no longer needed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Finance And Investments

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06603	Bond Issuance File (V)	This series documents all legal activities and agreements for each bond issued by the Kentucky Housing Corporation (KHC), and approved by the Finance and Administrative Cabinet, for the purpose of financing affordable housing projects. Per KRS 198A.090, KHC is authorized to operate revenue bond financing and a portion of KHCs funds are derived from the interest earned through the sale of mortgage revenue bonds. KHC issues the bonds with proceeds going to the developer for the purpose of constructing affordable housing.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date of issue, bond series number, bond transcripts, debt financing, debt retirement, purchase price information, official statement, and bond purchase agreement.
	Retention and Disposition	Retain in agency five (5) years after maturity of bond, final tax returns are filed, and audit, then destroy.
06604	Trustee Statements (V)	This series documents the outstanding indebtedness of the Kentucky Housing Corporation (KHC) through issued bonds. The trustee, being the bank which holds funds in trust for the administration and safeguarding of assets, submits to KHC a monthly statement for the accounts and associated bond series. The statement gives monthly activity in the account with ending amounts, activities involved in managing funds-investment earnings, market value and gains and losses. Repayment of the bond financing comes from revenue generated by the project and loan payments are made to the bond series that issued the loan. KHC is the designated bond issuing authority for all housing projects within the Commonwealth of Kentucky.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date, gains and losses, loan purchases and sales and bond redemptions, outstanding bond series, associated accounts, dividends, and interest. As well as correspondence, and supporting documentation.
	Retention and Disposition	Retain in agency fifteen (15) years from date submitted by trustee, then destroy.
06606	Timesheet Allocation Log (V)	This series documents time Kentucky Housing Corporation (KHC) employees spend performing work for specific grant programs. This time is charged against the corresponding grant program for which the employee was working since KHC administers multiple grant programs throughout the Commonwealth. Timesheet Allocation Logs are maintained separately from the Grant Project Files by KHCs accounting office. This series differs from record series P0011, Time and Attendance Report, on the General Schedule for State Agencies because it is not used to produce the salary of an employee.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employees name, dates of activity, amount of time worked, and corresponding grant program identifier.
	Retention and Disposition	Retain in agency for eight (8) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Finance And Investments

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06655	Annual Financial Report File	This series documents the annual accounting of the financial status of the Kentucky Housing Corporation. 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 years activities, appropriations, allotments, expenditures, receipts, transfers, encumbrances and available balances of each budget unit of the corporation, 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 Years Comprehensive Annual Financial Report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: 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.
06657	Journals and Ledgers	This series documents financial journals and ledgers that are maintained by the Kentucky Housing Corporation. These records are maintained as tracking instruments for financial transactions and periodic reconciliations for receipts and disbursements of funds.
	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 in agency eight (8) years after the year-end financial close out, and audit, then destroy.
06659	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 eight (8) years or after audit, whichever is longer, then destroy.
06660	Finance Closing Package	This series documents the end-of-year financial activity of the Kentucky Housing Corporation 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 the agency and reflects their financial status for a fiscal year. Information from the series is used to compile the agencies Annual Financial Report (06655) and the Cabinets 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 for eight (8) years or after audit, whichever is longer, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Finance And Investments

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06662	Accounts Receivable Records	This record series is used to document various monies received by the Kentucky Housing Corporation in the conduct of business. These records are filed according to fund/account and are maintained to document all income from all sources.
	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	Retain in agency for eight (8) years after transaction, end of contract or end of liability, or after audit, whichever is longer, then destroy. Destroy Legal Claim Files eight (8) years after settlement closes.
06664	Accounts Payable Records	This series documents the payment of expenses and liabilities by the Kentucky Housing Corporation, once the procurement process has been completed and a vendor has been selected. Procurement records are covered by Series 06663.
	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	Retain in agency eight (8) years after payment; termination of contract; end of project; end of liability; or after audit, whichever is longer, then destroy.
06677	Time and Attendance Reports	This series documents the time reported on a daily basis which is used to produce the salary of an employee during one pay period for work performed. Time and attendance reports also identify the leave time away from work that is charged to the employee.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Pay period ending date; number of administrative unit; employee name; identification number, dates of activity; hours worked-regular hours, any overtime hours; type of leave - sick, compensatory, annual, family, without pay; leave totals; signature of employee; signature of supervisor
	Retention and Disposition	Retain in agency for three (3) years. Destroy after audit.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Finance And Investments

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06937	Commercial Revitalization Deduction Program File	CLOSED: Deduction is not applicable to buildings placed in service after December 31, 2009. This series documented the activities of the Kentucky Housing Corporation (KHC) in performing its duties as the state Commercial Revitalization Agency for Kentucky pursuant to 26 USC
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contained: application with supporting documentation, notification of approval, compliance monitoring, and related correspondence.
	Retention and Disposition	Retain for sixteen (16) years after date of allocation, then destroy.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Housing Contract Administration

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06548	Specialized Housing Programs Files	<p>This series documents all activity of the Kentucky Housing Corporations (KHC) Housing Contract Administration in the administration of Specialized Housing Programs. The HCA administers multiple resources, programs and initiatives, that are for the benefit of no- to low-income and hardest to serve Kentuckians. These programs serve the homeless or special needs populations. Specialized Housing Programs include, but are not limited to Supportive Housing Program (SHP), Shelter Plus Care, Homeless Prevention and Rapid Re-Housing Program (HPRP) (KY Hearth), Emergency Solutions Grant (ESG), Housing Opportunities for People With Aids (HOPWA), Point-In-Time Count (PITC) (Continuum-of-Care).</p>
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain, but is not limited to: application for funding; evidentiary materials; grant agreement; required training vouchers; qualifying paperwork; paperwork required by the U.S. Department for Housing and Urban Development; draws; required certification(s); close out documentation.
	Retention and Disposition	Retain in agency for five (5) years after the termination of a project, then destroy. Where Emergency Solution Grant (ESG) funds are used for the renovation of an emergency shelter, or to convert a building into an emergency shelter, and the costs charged to the ESG exceed 75 percent of the value of the building before renovation or after conversion, retain for ten (10) years after the date that ESG funds are first obligated. Where Continuum-of-Funds are used for the acquisition, new construction, or rehabilitation of a project site retain fifteen (15) years after date of first occupancy or use
06549	Weatherization Assistance Program Files	<p>This series documents all activities related to the administration of the Weatherization Assistance Program. The Kentucky Housing Corporation, in partnership with Community Action Kentucky, administers the Federal Weatherization Assistance Program in Kentucky through a network of community action agencies with offices throughout the Commonwealth. Trained inspectors and crews retrofit housing for eligible low-income families, at no cost to the family. This enables low-income families the opportunity to lower their energy bills by making their homes more energy efficient.</p>
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application and prioritization for weatherization, income verification, proof of ownership, agency/landlord agreement, work order, completion report, completed dwelling report, energy systems check list, agency contractor agreement, contractor notice of completion, change order, private contractor invoice, EPA verification statements regarding lead and mold hazards, baseload checklist, health and safety client screening questionnaire, weatherization contractor application, weatherization contractor work reference, and other such records deemed necessary by U.S. Department of Energy.
	Retention and Disposition	Retain in agency for three (3) years after the termination of a project.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Internal Audit

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06652	Audit Work Papers File	This series documents the work papers gathered and support process used to prepare information for the completion of audits of Kentucky Housing Corporation activity. The information in this series is used to conduct internal operational and programmatic audits, quality assurance reviews, and compliance with the U.S. Department for Housing and Urban Development. It provides the supporting documentation for the issuance of a final audit report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain a variety of documents produced specifically for the audit function. Some contents may also be copies of other significant informational records maintained by the Kentucky Housing Corporation. Also included, but not limited to, correspondence, proposals from independent auditors, observations, detail testing, copies of pertinent documents as necessary to support audit conclusions, required documents from HUD, and supporting financial documentation.
	Retention and Disposition	Retain in agency for five (5) years, then destroy.
06656	Audit Report File	This series documents the various audits completed in the Kentucky Housing Corporation (KHC). These include, but are not limited to, audits completed by the Auditor of Public Accounts under the Single Audit Act; KHCs internal audit reports; audit reports of the agency 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 auditors 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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Legal Services And Compliance

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06591	Litigation File	All new litigation goes to outside vendor attorneys or firms who maintain the litigation file. This series documents the working litigation file of general counsel when the Kentucky Housing Corporation is a party to a case, including but not limited to cases involving Housing Development Fund, Housing Assistance Fund, Fair Housing Complaint and Appeals, foreclosures, and bankruptcy.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s) of parties, correspondence, briefs, case information, Fair Housing complaints, recordings, appeals, motions, and other evidentiary documentation.
	Retention and Disposition	Retain in agency three (3) years after close of case, then destroy.
06593	Contracts and Agreements (V)	This series documents the contracts and agreements the Kentucky Housing Corporation enters into with public or private agencies or individuals. Per KRS 198A.040, KHC has the power to employ such consultants and employees as may be required in the judgement of the corporation provided that any personal service contracts entered into shall be subject to review by the Government Contract Review Committee of the Legislative Research Commission. Upon receipt of the Committees 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	KRS 61.878[1][a] - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date of filing, duration of service; name, address, and contact information of contracting agency; name, address, and contact information of vendor; payment dates, request for proposal/need for service; cancellation clause; required signatures of parties in agreement; date signed; notice of amendment to personal service contract; notice of extension of personal service contract; proof of necessity form.
	Retention and Disposition	Retain in agency for eight (8) years after termination or expiration of contract, then destroy.
06669	Requests to Inspect Public Records with Response	This series documents requests to inspect, research, or review public records created, used or maintained by the Kentucky Housing Corporation. 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 and date received.
	Retention and Disposition	Retain in agency three (3) years, then destroy.
06670	Open Records Register	This series documents the individuals who have requested to inspect public records of the Kentucky Housing Corporation (KHC) and the records they requested. It provides a reference point should KHC 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 in agency five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Legal Services And Compliance

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06946	Public Housing Agency (PHA) Certificate of Consistency	This series documents certification by Kentucky Housing Corporation (KHC) that a Public Housing Agency's (PHA) plan is consistent with the Consolidated Plan or State Consolidated Plan. The PHA Plan is a comprehensive guide to PHA policies, operations, and strategies for meeting local housing needs and goals. There are two parts to the PHA Plan: the 5-Year Plan which each PHA submits to U.S. Department of Housing and Urban Development (HUD) once every fifth PHA fiscal year, and the Annual Plan which is submitted to HUD every year by non-qualified agencies. This data allows HUD to monitor the performance of programs and the performance of public housing agencies that administer the programs. Any local, regional, or state agency that receives funds to operate federal public housing or Section 8 tenant-based assistance (vouchers) programs must submit a PHA Plan.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Certificate of Consistency, copies of 5-year and Annual Plan, and related correspondence.
	Retention and Disposition	Retain in agency for eight (8) years, then destroy.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Loan Servicing

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
05452	Loan Files (V)	This series documents loans set up and serviced by the Kentucky Housing Corporation under the terms of KRS 198A.010-730. The Housing Corporation derives a portion of its funds from the interest earned through the sale of tax-exempt mortgage revenue bonds. With these funds, KHC can offer lower-than-market-rate home mortgages, rental housing production financing, low-rate construction financing, homeownership education and counseling as well as a variety of rental assistance programs. Loan Files are utilized by Single-Family Programs and Multifamily Departments.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Original note, mortgage and assignment (if applicable). May also include title policy for foreclosure, subsidy, loss draft, or bankruptcy; copies of deeds, marriage or death certificates.
	Retention and Disposition	Destroy seven (7) years after the close or termination of the loan.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Multifamily Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06554	Approved Application Projects (V)	<p>This series documents the Kentucky Housing Corporation's (KHC's) administration of its competitive funding process and all activity required to review and approve applications from development partners through each funding stage of Housing Credit or Non-Housing credit project. KHC offers a competitive funding process to create affordable housing in conjunction with their development partners. Through this process, KHC allocates federal and state resources to enable the development and rehabilitation of safe, affordable housing for Kentucky families. Applicants make initial contact with KHC and meet with program specialists to discuss program specific requirements relative to project design, underwriting, and construction and to review the online application process. Once completed, applications are reviewed, underwritten, scored and then ranked. KHC awards funds to projects from the top score down until funds are exhausted or the minimum score is reached. Projects selected for funding submit additional evidentiary documentation for technical submission review. After that review is completed, they submit final construction documents, underwriting projections, and other information necessary to move the project to loan closing. Once the project has had all appropriate loan and equity closings, KHC will authorize the start of construction. When construction is complete and the project has passed KHC's final inspection, it will receive a certificate of occupancy and be placed in service. Each project submits required document attachments and additional documentary evidence necessary for that project's application through the KHC's online Universal Funding Application.</p>
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	<p>The Kentucky Housing Corporation maintains annually updated Multifamily Finance Guidelines for projects. These guidelines provide a checklist of required documentation for each project based on funding source and project funding stage. Series may contain: Correspondence, Development Team Capacity Documentation, Credit Review Documentation, Application, Application Attachment Requirements, Preliminary Approval Letter, Pre-award documentation, Additional documentary evidence for Technical Submission stage, Required documentation for Pre-Construction/Pre-Closing Stage, Closing Documents, Change Orders, Documentation required to complete construction and be Placed-in-Service, and Certificate of Occupancy.</p>
	Retention and Disposition	Retain completed project file in agency for thirty-three (33) years from placed-in-service, then destroy.
06555	Denied Application Project Files (V)	<p>This series documents applications submitted to the Kentucky Housing Corporation's (KHC's) competitive funding process by development partners, including all activity associated with review and scoring, where funds failed to be awarded. Applications are scored based upon capacity of the development team, project design and location, and financial design. Once applications are completed, they are reviewed, underwritten, scored and then ranked. A minimum score threshold must be achieved for an applications to be eligible and KHC awards funds to projects from the top score down until funds are exhausted or the minimum score is reached. An award of funding can be denied because of scoring, incomplete application materials and at the discretion of KHC. KHC makes every effort to ensure funds are distributed geographically across the state and reserves the right to award funding to a lower-scoring project located in a congressional district where no other funds have been allocated. Each project will submit required document attachments and additional documentary evidence necessary for that project's application through the KHC's online Universal Funding Application.</p>
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	<p>The Kentucky Housing Corporation maintains annually updated Multifamily Finance Guidelines for projects. These guidelines provide a checklist of required documentation for each project based on funding source and project funding stage. Series may contain: Correspondence, Development Team Capacity Documentation, Credit Review Documentation, Application, Application Attachment Requirements, Score Sheets, Score Response, and Final Score Decisions.</p>
	Retention and Disposition	Retain in agency for three (3) years after date application was denied, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Multifamily Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06556	Qualified Allocation Plan (QAP) (V)	This series documents the annual plan prepared by the Kentucky Housing Corporation (KHC) and approved by KHC's Board of Directors and the Governor of the Commonwealth of Kentucky. Pursuant to Title 26 USC
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Sections may contain: Amount of Housing Credit Available, Type of Housing Credit Available, Distribution of Housing Credit Available, Competitive Pools and Set-Asides, Development Team Characteristics, Review Information, Application Thresholds, Housing Credit Application Requirements, Housing Credit Limits, Recapture of Housing Credit Under Reservation, Recapture of Carryover Allocation, Deadlines and Fees, Compliance Monitoring Procedures, and Effective Date.
	Retention and Disposition	Retain one (1) official copy of the QAP permanently in agency.
06557	Annual Competitive Allocation of Multifamily Resources	This series documents the authorization of resources for Multifamily projects made through the Kentucky Housing Corporation's (KHC's) annual competitive funding process. KHC works in conjunction with development partners to create affordable housing and each year oversees a competitive funding process for development partners applicants. Through this process KHC administers federal and state resources to enable the development and rehabilitation of safe, affordable housing for Kentucky families.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain the Qualified Allocation Plan for year, guidelines, list of applicants, checklists, score sheets, list of approved and denied projects, list of totals for each congressional district, and distribution of resources.
	Retention and Disposition	Retain in agency for eight (8) years, then destroy.
06631	Davis-Bacon Payroll Compliance File	This series documents compliance with the Davis-Bacon and Related Acts on qualifying projects by Kentucky Housing Corporation development partners. The Davis-Bacon Act requires that laborers be paid an amount not less than the prevailing wage of the locality as determined by the U.S. Secretary of Labor. A project may not be split into more than one contract for the sole purpose of avoiding Davis-Bacon requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: payrolls; wage rate determinations; any additional classifications if applicable; owner/contractor agreement; bid/contract documents with labor standards provisions included; debarment clearance; contractor eligibility verification; ten-day call verification; employee interviews; pre-construction checklist; notice of start of construction; statement of compliance; and correspondence.
	Retention and Disposition	Retain in agency for three (3) years after construction is completed for each project contract.

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Kentucky Housing Corporation
Single Family Programs

**Record Group
Number
1412**

Series	Records Title and Description	Function and Use
06848	Turn Down Letter	This series documents notification provided by the Kentucky Housing Corporation (KHC) to financial institutions per KRS 198A.040(3). This notice informs the financial institution of KHC's mortgage loan rates so each private lender can determine whether it will, in its ordinary course of business and with its own funds, originate mortgage loans for eligible persons and families of lower and moderate income upon reasonably equivalent terms and conditions. Each mortgage lender completes a KHC form indicating that it does or does not originate loans for eligible persons or families of lower or moderate income.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notice letter and Kentucky Housing Corporation form, with name of private mortgage lender, address of private mortgage lender, indication of mortgage origination, and date.
	Retention and Disposition	Retain in Agency for seven (7) years after date of response, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Single-family Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06542	Single Family Loan Files (V)	This series documents loans closed and purchased by Kentucky Housing Corporation (KHC) under the terms of KRS 198A.010-730. KHC derives its funds from the secondary market or tax exempt mortgage revenue bond (MRB) funds, offering competitive interest rates and down payment assistance (DAP) in the form of a second mortgage. Series is also utilized by KHC's Loan Servicing Team.
	Access Restrictions	KRS 61.878 (1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: credit underwriting package (application, financial disclosures, credit report, and applicants financial documentation), appraisal, purchase contract, closed loan package (settlement statement, escrow disclosure, and deed), security documents (note, mortgage, and title policy), Down Payment Assistant Program (DAP) documentation (note, mortgage, disclosures, payment coupons), and Mortgage Credit Certificate (MCC) documentation. Includes approved, denied, and withdrawn loan files.
	Retention and Disposition	Retain in agency the life of the loan plus seven (7) years after termination, then destroy.
06543	Lender Agreements	This series documents contractual agreements, the terms of the agreement and any recourse the agency has upon violation of the contract, between the Kentucky Housing Corporation (KHC) and mortgage lenders that originate or sell loans to KHC through the tax exempt Mortgage Revenue Bond (MRB), or the Secondary Market, or Mortgage Credit Certificate (MCC). A copy will be retained by Single-Family Department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: participation agreement for purchase transactions, Down Payment Assistance Program documentation, MCC documentation, proof of proper licensing to conduct business, signature authority, and Power-of-Attorney.
	Retention and Disposition	Retain in agency for thirty (30) years from effective date of agreement, then destroy.
06544	Housing Education and Counseling Files	This series documents the Kentucky Housing Corporation's (KHC) responsibility in its role as intermediary for funding sources and in managing its network of sub-grantee counseling agencies. KHC partners with non-profit housing counseling agencies across the state to provide housing counseling and education services. The agency's fees for these services are often covered by grants. KHC serves as intermediary for Federal funding sources, such as the U.S. Department of Housing and Urban Development (HUD), National Foreclosure Mitigation Counseling Program (NFMC), internal funding sources like KHC's Housing Assistance Fund (HAF), and the Attorney Generals National Mortgage Settlement Fund (NMS).
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain: Grant agreements between KHC and federal or state funders, grant agreements between KHC and its subgrantee agencies for each grant KHC receives, invoices, class rosters, evaluations, client lists, agency salary calculations, agency staff hours breakdowns, timesheets, client-level data, NFMC Level One and Two required documentation, funding reports, other required supporting documentation, and records for real property or equipment acquired with grant funds.
	Retention and Disposition	Retain in agency for eight (8) years after the end of the grant agreement or after audit, whichever is longer.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Single-family Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06545	Hardest Hit Funds Loan Files	This series documents all activity related to participation in the Unemployment Bridge Program (UBP), a forgivable loan option for eligible applicants who, due to unemployment or substantial underemployment, become delinquent or anticipate default on their mortgage. This statewide program is funded through the U.S. Department of Treasury's (Treasury) Hardest Hit Funds (HFF) where the Kentucky Housing Corporation is the only agency authorized to administer HFF funds in Kentucky.
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	This Series contains, but not limited to, hardship application, required disclosures, applicant financial documentation, credit report, closed loan file (note, mortgage, and terms and conditions), re-evaluations, payoffs. Includes approved, withdrawn, and denied loan files for all applicants and in some cases, for former or current KHC employees- in which case additional security measures will be taken to ensure only management may view.
	Retention and Disposition	Retain in agency three (3) years after the end of the program, then destroy.
06546	Homeownership Protection Center	CLOSED SERIES: This series documented foreclosure prevention counseling and loss mitigation efforts of Kentucky Housing Corporation (KHC) staff for South Central Bank and also loss mitigation files previously performed by Default Mitigation Management Company (DMM) for all KHC loans.
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains, but not limited to, request for mortgage assistance, financial documentation for mortgagors, credit reports required disclosures, correspondence, recommendations for retention and disposition, executed deeds-in-lieu, and pre-foreclosure sales.
	Retention and Disposition	Retain in agency three (3) years after end of program, then destroy.
06547	Hardest Hit Funds Treasury Audit Work Papers	This series documents requests for supporting documentation and work papers made by the U.S. Department of Treasury of the Special Inspector General over Troubled Assets Relief Funds (SIGTARP) during review. These items are boxed up, stored, and may be requested for up to three years after the Unemployment Bridge Program ends. Box content is not stored electronically and must be maintained undisturbed, with files left as Treasury reviewed them, until recalled by Treasury or SIGTARP.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain, but is not limited to approved, withdrawn, or denied file samples, financial documentation, audit materials, human resource information on Kentucky Housing Corporations Hardest Hit Funds staff, payment records, and the Treasury's teams work papers from the review.
	Retention and Disposition	Retain in agency undisturbed, leaving files as Treasury reviewed them, until recalled by Treasury or SIGTARP. Records may be destroyed three (3) years after the end of the Unemployment Bridge Program.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Single-family Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
07011	Homeowner Assistance Fund Files	<p>This series documents all activity related to participation in the Homeowner Assistance Fund Program (HAF). The Homeowner Assistance Fund was established under section 3206 of the American Rescue Plan Act of 2021 (ARP). The purpose of the Fund is to mitigate financial hardships associated with the coronavirus pandemic by providing funds to eligible entities for the purpose of preventing homeowner mortgage delinquencies, defaults, foreclosures, loss of utilities or home energy services, and displacements of homeowners experiencing financial hardship after January 21, 2020, through qualified expenses related to mortgages and housing. Funds from the HAF may be used for assistance with mortgage payments, homeowner's insurance, utility payments, and other specified purposes. The law prioritizes funds for homeowners who have experienced the greatest hardships, leveraging local and national income indicators to maximize the impact. This statewide program is funded through the U.S. Department of Treasury's (Treasury) Homeowner Assistance Fund (HAF) where the Kentucky Housing Corporation is the only agency authorized to administer HAF funds in Kentucky.</p>
	Access Restrictions	KRS 61.878(1)(a) - regarding personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Hardship application; required disclosures; applicant financial documentation; credit report; closed loan file (note, mortgage, and terms and conditions); re-evaluations; payoffs; and approved, withdrawn, and denied loan files for all applicants. In some cases the applicants are former or current KHC employees- in which case additional security measures will be taken to ensure only management may view.
	Retention and Disposition	Retain in agency three (3) years after the end of the program, then destroy.
07012	Homeowner Assistance Fund Treasury Audit Work Papers	<p>This series documents requests for supporting documentation and work papers made by the U.S. Department of Treasury or inspector general during review. These items are boxed up, stored, and may be requested for up to three years after the Homeowner Assistance Fund Program ends. Box content is not stored electronically and must be maintained undisturbed, with files left as Treasury reviewed them, until recalled by Treasury or inspector general.</p>
	Access Restrictions	KRS 61.878(1)(a) - regarding personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: approved, withdrawn, or denied file samples; financial documentation; audit materials; human resource information on Kentucky Housing Corporations Homeowner Assistance Fund staff; payment records; and the Treasurys teams work papers from the review.
	Retention and Disposition	Retain in agency undisturbed, leaving files as Treasury reviewed them, until recalled by Treasury or Office of the Special Inspector General for the Troubled Asset Relief Program (SIGTARP). Records may be destroyed three (3) years after the end of the Homeowner Assistance Fund Program.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Technology Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06681	Personal Information Security Breach, Notification and Investigation File	This series documents the Kentucky Housing Corporations investigation in to a breach of sensitive information it collects, stores, or maintains. Effective January 1, 2015, KRS 61.933 requires state agencies that are notified of or determine that a breach has occurred in security relating to personal information they collect, maintain, or store, to begin a reasonable and prompt investigation within no later than seventy-two (72) hours of discovery or notification of the breach. If the agency determines that a security breach has occurred and that the misuse of personal information has occurred or is reasonably likely to occur, it must notify certain state officers and affected parties within timeframes established by the statute. If the agency determines that the misuse of personal information has not occurred and is not likely to occur, the agency does not have to give notice, but must maintain records that reflect the basis for its decision. The requirements of KRS 61.933 also apply if non-affiliated third parties collect, receive, maintain, or store personal information for state agencies.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Related contracts or agreements; related correspondence/notices; any records that reflect the basis for the decision of the investigation; related reports from non-affiliated third parties.
	Retention and Disposition	Retain until five (5) years after conclusion of investigation or any notifications, whichever is longer, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed.
06682	Data Processing Policies	Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. These records may exist in either paper or electronic form.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Records covering access and security, systems development, data retention and disposition, and data ownership.
	Retention and Disposition	Destroy three (3) years after policy is withdrawn, revised, updated, or superseded.
06683	Special Purpose Programs/Source Code	These records consist of the application software or the automated program code which generates the machine-language instructions used to maintain a master file or database or operate an automated information system. Note: This item coincides with item E0027, System Backup Files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice; i.e., that 3 generations of backups be retained (see item E0027).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Retention and Disposition	Delete when related master file, database, or application is no longer in use and has been deleted, but not before audit requirements have been met. Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation/source code in an accessible format. This is particularly crucial if the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation.
06684	Operating System and Hardware Conversion Plans	These records deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance and should be part of regular migration/conversion schedule built into the design of the system. These records may exist in either paper or electronic form.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Retention and Disposition	Destroy one (1) year after successful conversion.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet
Kentucky Housing Corporation
Technology Services

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06685	System Backup Files	This series consists of copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. These backups are usually done on a regular basis and are not intended for recordkeeping purposes. Some backup media should be stored off-site in a secure location. Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. Note: It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Copies of master files or databases, application software, logs, directories, and other records
	Retention and Disposition	Systems are backed-up nightly. Keep backups for thirty (30) days, then destroy.
06687	Site/Equipment Support Files	This series consists of records documenting support services provided to specific data processing equipment or installations. These include site visit reports, program and equipment service reports, service histories, and correspondence and memoranda that document the day-to-day maintenance of the system equipment. These records may exist in paper or electronic form. (Related record E0047, E0049, E0050, E0051)
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Site visit reports, program and equipment service reports, service histories, maintenance logs, and correspondence and memoranda.
	Retention and Disposition	Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda three (3) years after creation. Destroy service histories and other summary records after the related equipment is no longer in use.
06688	Network or Circuit Installation and Service Files	This series consists of copies of requests by agencies to GOT or service provider for data communication service, installation, or repair and response to the request. They may include items such as work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents. (Related record E0045, E0050)
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Includes work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, and copies of fiscal documents.
	Retention and Disposition	Destroy one (1) year after request is filled or repairs are made. Note: Before disposing of these records, agencies must ensure that no legal actions have been initiated which might require access to them.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Tenant Assistance Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06536	Tenant Files - Tenant Based Programs (V)	This series documents a tenants participation with the Housing Choice Voucher (HCV) Program, which is serviced through Kentucky Housing Corporation and funded through the Department of Housing and Urban Development (HUD) under the terms of 24 CFR parts 5, 8, 35, 882, 982, and 983. Kentucky Housing Corporation receives a fee to fund Tenant Assistance Programs.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain, but not limited to: Housing Assistance Payments (HAP) contract, copy of executed lease, record that provides income, racial, ethnic, gender, and disability status data on program applicants and participants; an application from each ineligible family and notice sent to inform the family of its ineligibility, HUD required reports, unit inspection reports, lead-based paint inspection records as required by 24 CFR part 35, subpart B, records to document the basis for PHA determination that rent to owner is reasonable rent (initially and during the term of HAP contract), and Family Self-Sufficiency Addendum.
	Retention and Disposition	Retain in agency three (3) years after termination of assisted tenancy, then destroy.
06537	Owner Files (V)	This series documents all activity regarding the commitment by an owner to provide rental housing to eligible Section 8 participants in project-based rental assistance programs such as Project-Based Voucher, Certification, and Moderate Rehabilitation.
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain, but not limited to: Agreement to Enter Housing Assistance Payment (AHAP) contracts, , Housing Quality Standards (HQS) inspections, and contract rent adjustments.
	Retention and Disposition	Retain in agency for the term of the Housing Assistance Payment (HAP) contract and three (3) years after termination, then destroy.
06540	1099 IRS Forms for Housing Assistance Payments (V)	This series documents the amount of income paid to owners, in the form of housing assistance payments, by the Kentucky Housing Corporation and reported to the Internal Revenue Service (IRS). Per the requirements of the U.S. Department of Housing and Urban Developments Housing Choice Voucher Program Guidebook, a Public Housing Agency (PHA) with an agreement to make housing assistance payments to an owner on behalf of a specific family reports this information to the IRS; IRS Form 1099 is used for this purpose.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Form includes owners name, the business name and address, taxpayer identification number, and the amount paid by KHC.
	Retention and Disposition	Retain in agency five (5) years, then destroy.
06541	Section Eight Management Assessment Program File (V)	This series documents the performance rating of the Kentucky Housing Corporation (KHC) as administrator of the Housing Choice Voucher Program and measured by the U.S. Department of Housing and Urban Development (HUD). Per 24 CFR
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain: quality control samples including but not limited to program reports, tenant files, and sample selection criteria; certification, notifications, appeals, corrective actions plans, and related correspondence.
	Retention and Disposition	Retain in agency three (3) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Tenant Assistance Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06550	Tenant Files - Project-Based Contract Administration (V)	This series documents a tenants participation with the Section Eight program which is administrated through Kentucky Housing Corporation (KHC) and funded by the Department of Housing and Urban Development (HUD) under the terms of an Annual Contributions Contract (ACC). KHC receives an administrative fee to administer the Section Eight Project-Based Contract Administration program. HUD requires each property in KHCs portfolio to transmit this tenant data to KHC electronically through the HUD Secure Systems as well.
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: a HUD-50059 form for each tenant on the Section Eight program, record that provides income, assets, racial, ethnic, gender, disability status data, and additional information required by HUD.
	Retention and Disposition	Retain in agency three (3) years after termination of assisted tenancy, then destroy.
06551	Housing Assistance Payment (HAP) Contract Files (V)	This series documents Housing Assistance Payment (HAP) contracts administered by the Kentucky Housing Corporation (KHC) under Project-Based Contract Administration (PBCA). HAP contracts are administrated by KHC and the U.S. Department of Housing and Urban Development (HUD) to provide direct oversight and monitoring of property owners under the PBCA program to ensure financial and physical conditions of the properties are acceptable and in compliance with HUD requirements.
	Access Restrictions	KRS 61.878(1)(a) regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agreement to Enter Housing Assistance Payment (AHAP) and Housing Assistance Payment (HAP) contracts, Notice of Available Funding form, Funding approval letter from HUD, budget spreadsheets, back-up documents, utility allowance analysis, rent schedules, notification letters, and other letters approving or denying rent increase requests.
	Retention and Disposition	Retain in agency for life of the HAP contract and three (3) years after termination, then destroy.
06552	Housing Assistance Payment (HAP) Voucher Reports	This series documents Housing Assistance Payment (HAP) Voucher reports which ensure payment to the owner is accurate. These reports are submitted monthly to request subsidy payments on the behalf of the tenants living at the property. The U.S. Department of Housing and Urban Development requires that this process is completed electronically so all information stored in KHCs system matches what is stored in the HUD secure system and what the property receives.
	Access Restrictions	KRS 61.878(1)(a) regarding personal information; 24 CFR 982.158. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: HUD-52670 and HUD-52670A; with contract information, occupancy and income eligibility information, breakdown of assistance payment requested, distribution of subsidy earned, and owners certification; HAP voucher form, approval for payment to the owner, and repayment agreement forms.
	Retention and Disposition	Retain in agency three (3) years, then destroy.
06592	Section 8 Litigation File (V)	This series documents all action associated with a violation of the lease agreement between landlord and tenant which results in litigation. Most litigation involves early termination of tenancy and eviction action made by the owner or landlord. Pursuant to 24 CFR 982.310(f) an owner may only evict a tenant from a unit by instituting a court action.
	Access Restrictions	KRS 61.878[1][a] - - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of parties, type of litigation, Correspondence relating to the appeal, eviction notice showing grounds or violation of lease agreement, related notifications, appeal, record of hearing, and decision.
	Retention and Disposition	Retain in agency three (3) years from the date the final judgement was entered, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Finance and Administration Cabinet Kentucky Housing Corporation Tenant Assistance Programs

Record Group
Number
1412

Series	Records Title and Description	Function and Use
06621	Limited Remote Annual Compliance Review	<p>This series documents periodic monitoring by the United States Department of Housing and Urban Development (HUD) of the Kentucky Housing Corporations (KHCs) Performance Based Annual Contributions Contract. HUDs Compliance Review Team requests and reviews a sample of specific documents pertaining to Incentive Based Performance Standard (IBPS) tasks. No property site visits are conducted. KHC is then notified of the findings of the review. Note, while this periodic monitoring often occurs on an annual basis it does not represent the annual audit conducted through Asset and Account Management.</p>
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains notification of review and summary report of findings. Notification letter and Summary report of findings may contain dates for review, identified Incentive Based Performance Standard tasks, list of Compliance Review Team, list of contracts selected for review, documents selected for review, summary report, and correspondence.
	Retention and Disposition	Retain in agency for three (3) years, then destroy.
06817	Management and Occupancy Review File (V)	<p>This series documents the Kentucky Housing Corporations on-site Management and Occupancy Review (MOR) of assigned Section 8 projects. The review is conducted to evaluate, analyze, or assess the owners operating policies, procedures, and practices related to compliance with the HAP Contract as set forth in regulations, handbooks, forms, notices, and guidance issued by HUD.</p>
	Access Restrictions	KRS 61.878(1)(a) - Regarding Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: HUD 9384 report, correspondence, other reports obtained from property owner in response to the audit. Reports generated by HDS (HUD internal software) and reports drawn from HUD Secure Systems.
	Retention and Disposition	Retain in agency for three (3) years, then destroy.
07041	Section 8 Deed Copy	<p>CLOSED SERIES: Not used since 2009. This series represented the copy of the deed provided by the property owner to the Kentucky Housing Corporation (KHC). Previously, a landlord was required by KHC to provide a deed as evidence of property ownership in order to receive housing assistance payments. This series has been replaced by the landlord certification form, now included in the Initial Lease Up packet which is a document within series 06536, Tenant Files - Tenant Based Programs, certifying ownership of rental property.</p>
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel on matters related to open records.
	Contents	Series contains: copy of deed documenting ownership of property to be rented by tenant participating in the Housing Choice Voucher Program.
	Retention and Disposition	Retain for three (3) years after termination of assisted tenancy, then destroy.