



# Kentucky Public Pensions Authority

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 Public Pensions Authority**

The Commonwealth of Kentucky provides retirement benefits for most state and county employees through Kentucky Public Pensions Authority (KPPA), which operates three separate retirement systems:

1. Kentucky Employees Retirement Systems (KERS) established July 1, 1956 for state employees.
2. County Employees Retirement Systems (CERS) established July 1, 1958 for local government and classified school board employees.
3. State Police Retirement Systems (SPRS) established July 1, 1958 for uniformed Kentucky State Police officers.

KERS, CERS and SPRS are qualified governmental defined benefit plans established under Section 401(a) of the Internal Revenue Code. CERS is governed by the CERS Board of Trustees established pursuant to Kentucky Revised Statute 78.782. KERS and SPRS are governed by the Kentucky Retirement Systems (KRS) Board of Trustees established pursuant to Kentucky Revised Statute 61.645.

The three systems are governed by the following state statutes:

- Kentucky Revised Statutes 61.510 through 61.705 applies to KERS
- Kentucky Revised Statutes 78.510 through 78.852 applies to CERS
- Kentucky Revised Statutes 16.505 through 16.652 applies to SPRS

The administrative regulations necessary to carry out the statutes, policies and procedures covering the systems operated by KPPA are found in Title 105 of the Kentucky Administrative Regulations.

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Retirement Systems
Agency

December 9, 2010
Schedule Date

Unit

Change Date

December 9, 2010
Date Approved By Commission

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APPROVALS

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

[Signature]
Agency Head

12/15/10
Date of Approval

Rosemary Bebe
Agency Records Officer

12/15/2010
Date of Approval

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

12/9/2010
Date of Approval

Wayne Onit
Chairman, State Archives and Records Commission

12/9/2010
Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

12/09/10
Date of Approval

[Signature]
Appraisal Archivist

12/9/10
Date of Approval

[Signature]
State/Local Records Branch Manager

12/9/10
Date of Approval

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The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12/9/10
Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Finance and Administration Cabinet  
Kentucky Public Pensions Authority

Record Group  
Number  
2550

Series	Records Title and Description	Function and Use
01817	<b>Purchase and Sale of Securities File (V)</b>	This series documents the investment portfolio for retirement benefits of purchases and sales of securities by Kentucky Retirement Systems pursuant to the provisions established in KRS 61.510-61.705. Per KRS 61.650, the Kentucky Retirement Systems Board shall be the trustee of the several funds created by KRS 16.518 (Kentucky State Police); Kentucky Employee Retirement System (KRS 61.515 and 61.701), and County Employee Retirement System (KRS 78.520) and has the exclusive power to invest and reinvest the funds in accordance with federal law. Northern Trust Corporation is the investor contracted with Kentucky Retirement Systems and also stores the records electronically. Kentucky Retirement Systems has the ability to access and extract data as needed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Account transactions; Broker information; Dividends paid; Income earned; Maturity date; Purchased at a discount or premium; Securities sales and purchases; Total cash outlay amount; Asset and Liability Information from Series 01837 - Investment Portfolio System
	<b>Retention and Disposition</b>	Retain permanently in agency
01819	<b>Active Member File (V)</b>	This series documents the records of active members who are currently contributing to a Kentucky Retirement Fund either in the Kentucky Employees Retirement System, County Employees Retirement System or State Police Retirement System. If an employee resigns from state or local government and requests a refund the records are transferred to Refunded Member File (Series 01822) and the retention period is forty (40) years from date of request. If the employee retires, the records are transferred to Retired Member File (Series 01825) and the paper copies are destroyed ten (10) years from date of retirement.
	<b>Access Restrictions</b>	KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Annual account statements; Former Service verification; correspondence; Membership and beneficiary information; Personnel action forms; Retirement contribution information; Service purchase documents; Social Security documents; Wage and service information
	<b>Retention and Disposition</b>	Transfer to Refunded Member File (01822) and retention period is forty (40) years from date of request or Retired Member File (01825) and retention period is ten (10) years from date of retirement.
01822	<b>Refunded Member File (V)</b>	This series documents individuals who are no longer members of Kentucky Retirement Systems and have been refunded their retirement account of his accumulated contributions as set forth in KRS 61.625. A designated beneficiary shall have the right to request a refund if the contributing member is deceased. If the individual is rehired by a participating agency, the service and refund information is transferred back to the Active Member File (01819).
	<b>Access Restrictions</b>	KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Refund documentation; correspondence; retirement fund rollover documents; Annual account statements; former service verification; membership and beneficiary information; personnel action forms; retirement contribution information; service purchase documents; Social Security documents; wage and service information
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; then transfer to State Records Center for thirty five (35) years; destroy after audit. Total retention is forty (40) years.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Kentucky Public Pensions Authority

**Record Group  
Number  
2550**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>01825</b>	<b>Retired Member File (V)</b>	This series documents the retirement of a state or local government employee who is no longer contributing to a retirement fund, but instead is receiving retirement benefits pursuant to provisions stated in KRS 61.580. All of the information in the Retired Member File originates in the Active Member File (01819) except the retirement benefit calculations and the retirement plan election form. An employee must work five (5) years in state government in order to be vested (eligible to draw a retirement payment). When one decides to retire, a Notification of Retirement Form is completed, a retirement plan selected and calculations are computed. A member may change his retirement plan or beneficiary up to the time retirement becomes effective. Once benefits are received, the payment and beneficiary(s) cannot change. There may be address changes, or other administrative changes to the file following retirement. The files are maintained in-house with hard copy documents electronically imaged and accessible via the STARTLibrary Manager Kentucky Retirement System. IFiles referenced following retirement are largely due to legal activity, which generally happens in the early years following retirement.
	<b>Access Restrictions</b>	KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Active member records (Series 01819); Account audit documents; Benefit estimate calculations; Claim information (medical and pharmacy); Disability hearing transcription; Disability medical records; Disability retirement documents; Health insurance records; premiums, correspondence; Payroll documentation; Re-employment documents; Retirement notification; Tax and legal documents
	<b>Retention and Disposition</b>	Retain in Agency and destroy paper records one (1) year from the date records are verified into Electronic Member File. Purge electronic records ten (10) years from date all benefits cease.
<b>01840</b>	<b>Agency/Employer Monthly Pre-billing Report (V)</b>	This series documents monthly reports of retirement contributions from participating local government agencies as established in KRS 78.520. Pursuant to KRS 78.780, the government and control of the system is vested in the Kentucky Retirement Systems Board of Trustees. The county agency reporting official shall file the contribution report by the tenth day of each month to Kentucky Retirement Systems according to the provisions of KRS 78.625.
	<b>Access Restrictions</b>	(C) KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Report/Summary of wages earned; Retirement contributions
	<b>Retention and Disposition</b>	Retain in Agency three (3) years and destroy after audit
<b>03280</b>	<b>Contribution Report (V)</b>	This series documents the employer and employee contribution records and reports to the Kentucky Retirement Systems pursuant to the requirements of KRS 61.515 to 61.705. Each retirement membership employee shall contribute each pay period a percentage of his creditable compensation. Each employer shall solely for the purpose of compliance with Section 414(h) of the United States Internal Revenue Code pick up the employee contributions and are treated as employer contributions. The employer contributions are not included as gross income of the employee until such time as the contributions are distributed or made available to the employee. The employee/employer contribution rate amount is set by statute.
	<b>Access Restrictions</b>	(C) KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Member account adjustment documents; member service corrections; member wage and service information; payroll refund documents; reinstatement documents; Supplemental wage reports
	<b>Retention and Disposition</b>	Retain in Agency six (6) months and destroy when information is verified in Active Member Folder (01819)

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Kentucky Public Pensions Authority

**Record Group  
Number  
2550**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05880</b>	<b>Agency/Employer Setup Documents (V)</b>	This series documents the agency/employer setup process for participation in one of the Kentucky Retirement Systems: (Kentucky Employees Retirement Systems - KERS; State Police Retirement Systems -SPRS; County Employees Retirement Systems - CERS) pursuant to KRS 61.510-61.705. The process includes the requirements for participation and benefits, a description of retirement formulas for normal, early and disability retirement and survivor benefits, and statutory requirements for an agency to participate in Kentucky Retirement Systems.
	<b>Access Restrictions</b>	KRS 61.661. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Kentucky Retirement Systems agency setup (Form 7070); Order for Kentucky Retirement Systems participation; Board minutes approving agency's participation; Correspondence relating to KRS 78.530(2); Kentucky Personnel Cabinet's contract for health insurance installment payment plan (IPS) certification letter (Form 7085); sick leave resolution (Form 7030); current agency/employer budget County Articles of Incorporation; County By-Laws; Agency contact information (Form 7075); List of employees including Social Security Numbers, position status, job titles; Probation period of agency; Documentation on existing retirement programs; Name of agency/employer reporting official; Certification of hazardous position coverage (Form 7011); Job descriptions (Form 7020); Hazardous duty questionnaires (Form 7025); Certification of hazardous duty coverage (Form 2011); Actuarial study
	<b>Retention and Disposition</b>	Retain permanently in Agency.



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**Archives and Records Management Division**

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**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Finance and Administration Cabinet  
Kentucky Public Pensions Authority  
Disability

**Record Group  
Number  
2550**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04492</b>	<b>Administrative Hearings for Disability Retirement (V)</b>	This series documents the proceedings of an administrative hearing held to determine the disability retirement of a current employee. The proceedings are digitally recorded and a copy of the recording is available by request of the claimant employee. Pursuant to KRS 61.665, an employee requesting disability retirement must furnish the retirement office with names of at least two physicians who have the necessary information to report the employee's physical and mental condition, and a description of the job and duties from which he received his last pay. The employer also provides a description of the job and duties. Upon review of a medical examiner selected by the agency to evaluate the medical evidence, the examiner recommends that disability retirement be approved or denied. If the medical examiner(s) recommend approval, the General Manager makes retirement payments in accordance with the retirement plan selected by the employee. If denied, the General Manager notifies the employee, who has sixty (60) days to submit additional information or appeal by requesting a formal hearing. An appeal to Franklin Circuit Court may be filed within thirty (30) days of a Final Order by the Board of Trustees.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) (Medical); KRS 61.661 (Account). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Digital recording of an Administrative Hearing proceeding consisting primarily of claimant's testimony and medical review; and if applicable, transcripts of hearing.
	<b>Retention and Disposition</b>	Retain in Agency and destroy forty (40) years after case closure

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# *Electronic System With Included Records Series*

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## **General Government**

### *Retirement Systems - Kentucky Employees*

**System Description:** The Line of Business system (START) and the supporting applications of FileNet and Great Plains are used to administer Kentucky Employees Retirement. The system supports processes for active, inactive, and retired members. These members are part of five retirement systems which consist of state employees, state police officers, county and city employees, as well as non-teaching staff of local school boards and regional universities. The START system supports the processing of contributions, refund payments, and retirement payments to all systems.

**System Contents:** The general content of the START system consists of member, employer, and retiree data. This data consists of membership information, contribution details, employer details, and retiree benefit information. The system also consists of any data required to support business functions for Kentucky Retirement Systems. The data entered into the system is done by KRS Staff, employers, retirees, and members.

#### **General Schedule Items:**

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**System Title:** Kentucky Retirement Systems Line of Business      **Alternate Title:** START

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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
01817	Purchase and Sale of Securities File	Retain permanently in agency
01819	Active Member File	Transfer to Refunded Member File (01822) and retention period is forty (40) years from date of request or Retired Member File (01825) and retention period is ten (10) years from date of retirement.
01822	Refunded Member File	Retain in Agency five (5) years; then transfer to State Records Center for thirty five (35) years; destroy after audit. Total retention is forty (40) years.
01825	Retired Member File	Retain in Agency and destroy paper records one (1) year from the date records are verified into Electronic Member File. Purge electronic records ten (10) years from date all benefits cease.

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***System Title:*** Kentucky Retirement Systems Line of Business

***Alternate Title:*** START

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***Series #:*** ***Series Title:***

***Disposition Instructions:***

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01840	Agency/Employer Monthly Pre-billing Report	Retain in Agency three (3) years and destroy after audit
03280	Contribution Report	Retain in Agency six (6) months and destroy when information is verified in Active Member Folder (01819)
04492	Administrative Hearings for Disability Retirement	Retain in Agency and destroy forty (40) years after case closure
05880	Agency/Employer Setup Documents	Retain permanently in Agency.

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