



# Lottery 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 Lottery Corporation**

Kentucky Lottery Corporation was created and effective December 15, 1988 by Kentucky Acts Chapter 1, Section 2 and is governed by KRS Chapter 154A. The Kentucky Lottery Corporation is a public agency which is accountable to the Governor, the General Assembly and the people of the Commonwealth through a system of audits, reports and financial disclosure.

The Kentucky Lottery Corporation conducts lottery games that provides revenues to the Commonwealth as well as provides entertainment to its citizens.

The Board of Directors is composed of eight (8) members and one member shall be the State Treasurer who serves in an ex officio capacity. The other seven (7) members are appointed by the Governor and confirmed by the Senate.

# RECORDS RETENTION SCHEDULE

## Signature Page

Kentucky Lottery Corporation

June 10, 2021

Agency

Schedule Date

September 9, 2021

Unit

Change Date

September 9, 2021

Date Approved By Commission

\*\*\*\*\*

## APPROVALS

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

*Mary Hanville* 8/29/2021  
D9E000AAC6C64F0...  
 Agency Head Date of Approval

DocuSigned by:  
*Annette Dohler* 8/30/2021  
BA4344B4C0CF495...  
 Agency Records Officer Date of Approval

DocuSigned by:  
*Terry Manuel* 9/9/2021  
D447D53F7EC5447...  
 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:

*Taylor Metzger* 8/24/2021  
A396FB4EFC6D46B...  
 Records Analyst/Regional Administrator Date of Approval

*[Signature]* 8/25/2021  
767A3F5G540E417...  
 Appraiser/Archivist Date of Approval

*[Signature]* 8/24/2021  
F25FB2B0E0434BA...  
 State/Local Records Branch Manager Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

DocuSigned by:  
*Farrak Petter* 9/9/2021  
3E7D3BB5E0E548E...  
 Auditor of Public Accounts 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**

General Government  
Kentucky Lottery Corporation  
Audit

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03879</b>	<b>Internal Audit File (V)</b>	This series documents corporate internal audit information including audit objectives, procedures, working papers, and the findings and results of an audit. The audit information is incorporated into the work done by (state) contractual auditors.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Audit planning, process understanding, fieldwork, reporting and wrap up.
	<b>Retention and Disposition</b>	Retain permanently.
<b>05963</b>	<b>Draw Site Visits</b>	This series documents KLC Audit Department's quarterly unannounced visit to either the midday or evening lottery drawing site to observe internal and external procedures performed by the drawing team. This provides assurance of consistent drawing application and the Audit Department's awareness of drawing procedures.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Checklist of draw site procedures.
	<b>Retention and Disposition</b>	Retain three (3) years, then destroy.
<b>05964</b>	<b>Reconstructs File</b>	This series documents KLC Audit Department's independent reconciliation of all ticket reconstruction requests made by the KLC Security Department. A monthly report of reconstruction activity is received by the Audit Department from the instant ticket game vendor and reconciled to the KLC Security Department Log.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: KLC security department log, instant ticket vendor(s) reconstruction report(s).
	<b>Retention and Disposition</b>	Retain three (3) years, then destroy.
<b>06011</b>	<b>External Audits</b>	This series documents KLC Audit Department's coordination efforts with third parties performing miscellaneous, external audits for KLC.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Third party audit reports.
	<b>Retention and Disposition</b>	Retain permanently.
<b>06012</b>	<b>Promotional Drawing Audit Review (V)</b>	This series documents the Internal Audit Department's participations in applicable drawings as required to ensure compliance with the rules and regulations for the promotion.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: promotional drawing checklist, appropriate game documentation.
	<b>Retention and Disposition</b>	Retain in Agency until three (3) years after expiration date of game, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Audit

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06013</b>	<b>Random Number Generator (RNG)/Ball Certifications and Ball Scale Calibrations (V)</b>	This series documents the services of the Kentucky Lottery Corporation's (KLC) vendor providing certification for ball calibrations and Random Number Generator (RNG).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Statements of work, certification letters, internal audits, checklists.
	<b>Retention and Disposition</b>	Retain until three (3) years after expiration date of game and audit, then destroy.
<b>06896</b>	<b>Operational Reporting</b>	This series documents the Internal Audit Department's operational activities performed on a quarterly basis sent to the Audit Committee.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Quarterly operational report.
	<b>Retention and Disposition</b>	Retain three (3) years, then destroy.
<b>06897</b>	<b>Annual Audit Planning/Audit Risk Assessment</b>	This series documents the Internal Audit Department's audit risk assessment and development of annual audit plan.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Audit universe, risk assessment, annual audit plan.
	<b>Retention and Disposition</b>	Retain permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Kentucky Lottery Corporation  
Communication

Record Group  
Number  
1783

Series	Records Title and Description	Function and Use
05965	<b>Donation Tracking Log for Community Events</b>	This series documents the requests for coupons and/or premium items given as donations through the sponsoring of community affairs as stated in the Community Affairs Sponsorship Policy. The purpose is to assist the KLC in maintaining a strong relationship with the minority community and the community-at-large. Requests are directed to a specific KLC employee. Premium items include but are not limited to t-shirts, mugs, and umbrellas with the Lottery logo.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of business or event requesting donation, date of event, game and packet number list(s) of the tickets donated, quantity and value of tickets, date tickets are activated and picked up, name of responsible person picking up tickets, proof of non-profit status.
	<b>Retention and Disposition</b>	Retain for three (3) year, then destroy.
06991	<b>Winner Awareness Information File</b>	This series documents "high-tier" winner's contact information received by the Validations Department via series 03957, Winner Information File. A "high-tier" winner refers to a winner who has won one hundred thousand dollars (\$100,000) and more. This information is needed for communication and possible public relations reasons.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - personal information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Duplicate of claim form, copy of the winning ticket, winner announcement, news releases, photos, date of prize won, winner's name, Social Security number, date of birth, email address, retailer name and address, claimant signature, and claim date.
	<b>Retention and Disposition</b>	Destroy when no longer needed.



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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Finance and Administration  
Accounting

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03897</b>	<b>Master Control Report</b>	This series documents the year-to-date payroll summaries for employees at KLC. The printout is provided by Automated Data Processing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of payee, date of printout, amount of money paid YTD, department number, Social Security number, deductions.
	<b>Retention and Disposition</b>	Retain until after one (1) year and audit, then destroy.
<b>03900</b>	<b>Accounts Payable File</b>	This series documents expenses and liabilities of KLC. Once an invoice is received, it is matched to the receiving report, and the proper account number is encoded. The information is input into the Lottery ERP System so that payment may be processed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of vendor, invoice number, description of item(s) purchased, cost of item(s), date of billing, dept. approval certification, duplicate of check.
	<b>Retention and Disposition</b>	Retain until after three (3) years and audit, then destroy.
<b>03902</b>	<b>IGT Liability Report (from IGT Corporation) (V)</b>	This series documents monthly information from daily and weekly drawings for online lottery games by identifying the drawing dates, results, amounts claimed, and remaining liabilities. IGT is the company that owns and operates the electronic equipment and software. The office based in Louisville and is electronically connected to KLC.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Game type, draw date, winner count, amounts won, amounts claimed, amount remaining to be claimed.
	<b>Retention and Disposition</b>	Retain until after three (3) years and audit, then destroy.
<b>05966</b>	<b>Retailer Weekly Batch Detail</b>	This series documents the detail of all transactions posted to a retailer's account for each weekly billing cycle. These include credits, debits, payments, and adjustments to accounts and may include any non-sufficient check charges and penalties.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Dates of billing cycle, billing transactions, retailer name and address, assigned retailer number.
	<b>Retention and Disposition</b>	Retain until after three (3) years and audit, then destroy.
<b>05973</b>	<b>Multi-State Lottery (MUSL) Investment File (V)</b>	This series documents the investments held to pay KLC winners of jackpot games generated in several states. The spreadsheets and bank statements are received annually from the Multi-State Lottery (MUSL) Headquarters located in Urbandale, Iowa. The information is required to reflect value of holding on the KLC General Ledger.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date, security type, face value, maturity date, accreted cost, CUSIP number.
	<b>Retention and Disposition</b>	Retain until three (3) years after maturity and audit, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Finance and Administration  
Accounting

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06831</b>	<b>iLottery Transactions</b>	This series documents player transactions that occur online via iWallet. These transactions include wagers, wins, and deposits. Funds may be deposited into a player's iWallet with debit card, credit card, iFunds, and iGifts. iFunds and iGifts are a way to add funds into a player's account through a purchase at a participating retail store. Winnings in iWallet may be directly deposited into a player's linked bank account, or a mailed check may be requested by the player.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Transaction date, transaction time, transaction type, transaction comment.
	<b>Retention and Disposition</b>	Retain five (5) years, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Finance and Administration  
Licensing

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03872</b>	<b>Retailer Licensing File (V)</b>	This series documents all retailers who have applied to participate in the selling of lottery tickets. The records identify those that have been approved, inactive, cancelled, or rejected. A file will become inactive if there is a temporary period in which a retailer will not be selling lottery tickets. For example: the store is closed for remodeling purposes. An application may be cancelled or rejected if the retailer has not paid his/her taxes properly, or if there is incriminating information found in the police/security check. Once the file is approved or disapproved, most activity is administrative, such as correcting addresses, changing a contact name, etc.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Retailer application (application type, business name, address, contact name, Federal Employer ID number, Kentucky sales tax number, business type, ownership type, current tax election), personal data form, Retailer contract, Retailer EFT authorization, Retailer agreement for lottery games, cashing agent addendum form, web access form.
	<b>Retention and Disposition</b>	Retain until three (3) years after application is cancelled or rejected and audit, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Finance and Administration  
Purchasing

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03874</b>	<b>Supplier Profile Form (V)</b>	This series documents the vendors who have applied with KLC to sell equipment and/or supplies for the KLC office. The file verifies a company's history, financial status, and a security check (relating to criminal information from state police records). The Purchasing Director determines if the application is rejected or accepted. If the application is rejected, the file will reflect why. If the application is accepted, it serves basic administrative purposes in the purchasing of equipment and supplies. Pursuant to KRS Chapters 45 and 45A, state purchasing procedures have been implemented.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of vendor, security check information, financial status of vendor, statement of acceptance or rejection.
	<b>Retention and Disposition</b>	Retain until three (3) years after vendor file becomes inactive, then destroy.
<b>03875</b>	<b>Purchase Requisition</b>	This series documents the request for a purchase(s) of goods or services. It verifies internal approval by KLC required for purchases.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of employee requesting purchase, date, product or service required, amount, vendor's Name, management authorization.
	<b>Retention and Disposition</b>	Retain until three (3) years after purchase requisition and audit, then destroy.
<b>03876</b>	<b>Purchase Order/Price Contract</b>	This series documents the approval for the disbursement of funds for the contracted purchase of goods, services or supplies to a vendor. It identifies the price agreement with a vendor over the course of the contract period. All purchases are in accordance with KRS 45A, the Kentucky Model Procurement Code. The file helps to provide a vendor history and documentation should corrections need to be made in accounting activities.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Name of vendor, date, purchase amount, terms and conditions, description of purchase or service, authorized signatures.
	<b>Retention and Disposition</b>	Retain until three (3) years after expiration of contract (if applicable) and audit, then destroy.
<b>03877</b>	<b>Bid Document File (V)</b>	This series documents the terms, conditions, and/or product specifications for a purchase of KLC. Each bid is processed in accordance with Chapter 45A of the Kentucky Revised Statutes (Kentucky Model Procurement Code), which defines all procedures and regulations for bid purchases. All responses are retained in the file.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Signed bid documents from vendors, list of approved vendors, terms/conditions/specifications of product, vendors' quotes, determination and finding report (who was awarded the bid, at what cost, who all bid, who declined, who was disqualified).
	<b>Retention and Disposition</b>	Retain until three (3) years after expiration of awarded contract and audit, then destroy. If not awarded, retain until one (1) year after denial and audit, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Human Resources  
Benefits

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05960</b>	<b>Recruiting/Hiring Process Materials File</b>	This series documents the process and criteria used to select a candidate to fill a position with the Kentucky Lottery Corporation. The series also documents the decision making process, including the screening and selection of candidates for interviews, the interview questions and answers and other factors used in the selection process. Kentucky Lottery Corporation employees are non-merit.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: advertisement for position, applications and/or resumes, correspondence, interview questions and answers, reference check notations, completed background check forms.
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5) years after closing date of employment position.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Information Security

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05979</b>	<b>Game Purge Approval File (V)</b>	This series documents the approval process for purging traditional instant games that have reached their approved purge date. KLC traditional instant games are systematically eligible to be purged from KLC systems three (3) years after the last date to claim. Designated personnel from Marketing, Sales, and Finance electronically review/approve all games to be purged.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Game number, game name, last date to claim, game end date, electronic approval signatures.
	<b>Retention and Disposition</b>	Retain three (3) years from date of purge, then destroy.
<b>05999</b>	<b>Internal Assessment File</b>	This series documents assessments of various KLC processes such as, system controls, system configurations, system access, vulnerability scan results, etc. Information Security functions to provide management and stakeholders with assessments of organizational controls in place to protect KLC data and systems across all platforms from various threats and risks.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: System/process name, device name, procedures, findings, recommendations, security controls framework with validation steps, system scans.
	<b>Retention and Disposition</b>	Retain three (3) years from assessment date, then destroy.
<b>06001</b>	<b>External Assessment File</b>	This series documents outsourced, periodic assessments and tests performed to assess KLC security policies, standards, practices, and configurations.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: System/process name, device name, procedures, findings, recommendations, security controls framework with validation steps, system scans.
	<b>Retention and Disposition</b>	Retain three (3) years from date external assessment or test conducted, then destroy.
<b>06985</b>	<b>User Access Review File</b>	This series documents the review process performed on or facilitated by Information Security to identify user account activity and privileges. Activities and privileges reviewed include accounts assigned excessive privileges, accounts with access that has not been updated to reflect recent changes, dormant accounts, etc.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: System or application name, individual user names and corresponding access, access changes during the period under review, access changes as a result of the review, electronic signature of person(s) completing the review.
	<b>Retention and Disposition</b>	Retain three (3) years after review, then destroy.
<b>06986</b>	<b>Employee Education Reports</b>	This series documents reports generated to assess completion status for all employee assigned educational courses.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee name, employee email address, course completion date, pending employee completion status.
	<b>Retention and Disposition</b>	Retain three (3) years after course completion, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Information Security

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06987</b>	<b>Service Organization Control (SOC) Report Evaluation File</b>	This series documents Information Security's review and evaluation of SOC reports. SOC reports are administered by an independent third party that must be a certified public accountant and typically cover the design and effectiveness of controls for a 12-month period of activity with continuous coverage from year to year to meet user requirements from a financial reporting or governance perspective. For vendors providing certain outsourced services, KLC may request a SOC report to provide assurances over controls in place at the service organization.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Vendor name, SOC report, type of SOC report, date of SOC report, audit firm conducting review, test results, complementary user entity controls with KLC responses.
	<b>Retention and Disposition</b>	Retain three (3) years after report completion, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Legal

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03848</b>	<b>Super Sports Litigation File</b>	<p>CLOSED-- This series is no longer created by the Agency.</p> <p>This series documents the legal activity of the suit filed against the Kentucky Lottery Corporation (KLC) by the Kentucky Thoroughbred Association (KTA) in October, 1989, in order to prevent the startup of the Super Sports Lottery Game. The game was based on the outcome of professional football games, but was not identified or associated with any particular team. The KTA felt the game was not based on chance, but on skill. Initially, the KTA won, but the KLC appealed, and the decision was reversed by the State Appellate Court. Governor Wallace Wilkinson intervened, however, and requested the Lottery to refrain from implementing the game.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Transcript; Motions; Opinions; Correspondence with Attorneys; News releases; Memoranda; Copies of newspaper articles.</p> <p><b>Retention and Disposition</b> Retain in Agency three (3) years and transfer to State Archives for permanent retention.</p>
<b>03850</b>	<b>Game File (V)</b>	<p>This series documents the rules and regulations for the games implemented by the Kentucky Lottery Corporation. This file governs the prize structure, drawing procedures, audit information, description of tickets, trademark verification, and how the game is won. It reflects the details of any supplemental drawings that may be part of the game. The President and CEO, or the designee, has the responsibility for game development and implementation of games. All aspects of the games are coordinated and approved.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Working papers, rules and regulations of games, trademark verification, auditor's reports, drawing procedures.</p> <p><b>Retention and Disposition</b> Retain until three (3) years after game ends and audit, then destroy.</p>
<b>05970</b>	<b>Kentucky Lottery Corporation Retirement Plan/Cafeteria Plan (V)</b>	<p>This series documents the Kentucky Lottery Corporation employees' retirement plan (including amendments and updated plans, which provides for employee retirement benefits) and the cafeteria plan (including amendments and updated plans, which provides for benefits under Section 125 of the Internal Revenue Service Code, some of which can be paid for with pretax deductions from wages).</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Correspondence, retirement plan, amendments, renewals, publications, benefit information.</p> <p><b>Retention and Disposition</b> Retain until three (3) years after expiration of the plan, then destroy.</p>
<b>05997</b>	<b>Trademark Files (V)</b>	<p>This series documents the trademark and service marks registered by the Kentucky Lottery Corporation (KLC). The trademarks and service marks are used for advertisement purposes and identifies intellectual property owned by KLC.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Correspondence, designs, renewal information, official gazette, trademark registration.</p> <p><b>Retention and Disposition</b> Retain in Agency permanently.</p>



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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Legal

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06002</b>	<b>Litigation Files</b>	This series documents the Attorney working litigation files when the Kentucky Lottery Corporation is a party to a case, including but not limited to retailer collection files, vehicle accidents, bankruptcy/foreclosure, personnel actions, and other court cases.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Names of parties, addresses, Social Security numbers, correspondence, copies of retailer licensing file (03872), releases, Secretary of State verification, copy of filing fees, certified mail information, Internal Revenue report, account statements, pleadings, discovery documents, research documents, disclosure statements, settlement agreements, police report, employee statements, copy of settlement check, copies of financial invoices, copies of Order of Wage Garnishments, Child Support Orders, Equal Employment Opportunity Commission complaints and responses, unemployment issues, employment agreements.
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5) years after case closure and all appeals have been exhausted.
<b>06003</b>	<b>Kentucky Lottery Board of Directors Information (V)</b>	This series documents information specific to each Board Member of the Kentucky Board of Directors.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number(s), Social Security number, date of birth, employment status and history, education background, family information, Conflict of Interest Statements, Proxy Forms.
	<b>Retention and Disposition</b>	Retain permanently in Agency.
<b>06004</b>	<b>Retailer Letter of Credit Files</b>	This series documents the Kentucky Lottery Corporation's attempt to allow potential retailers who have an inferior credit rating to become retailers.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Retailer name, address, Social Security Number, and phone number; Letter of Credit; Amendments; correspondence and certified mail information.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years and destroy after audit.
<b>06005</b>	<b>Complaint File</b>	This series documents complaints filed against the Kentucky Lottery Corporation (KLC) by the consumer/public regarding the KLC products and/or behavior.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Written complaint, Name and address of complainant, research, resolution, correspondence, Attorney General response.
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5) years from date of resolution of complaint.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Marketing

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03886</b>	<b>Special Events, Exhibits, Fairs, and Expositions File</b>	Closed Series: This series documents the information used in planning an event or exhibit -- details of space allowances, staff required, types of games focus, promotional information, etc. It is compiled as information is received and utilized. It may be referred to each year for budget planning, promotional ideas, recommendations, and evaluations of what was successful for future events and activities. This type of file is often used as new games are about to be implemented, especially if some training is required in playing the game.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Memoranda, staff working event, event dates and times, budget information, information and instructions from place of event (mall, fair, etc), attendance, evaluation of event, recommendations for next event or year.
	<b>Retention and Disposition</b>	Retain permanently.
<b>03888</b>	<b>Marketing Research File</b>	This series documents sales and research information related to games and player demographics. It also includes Census information for the state, sales information, data regarding the quarterly retailer incentive plan, sales trends of other state lotteries, reports documenting playership and advertising awareness, ongoing game research, and research concerning new games.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Codes, cash history reports, lottery trends, myriad briefing books, reports (game, surveys, and miscellaneous studies), ongoing research projects, trends (player profile by game, Powerball player demographics), new games research findings.
	<b>Retention and Disposition</b>	Retain five (5) years, then destroy.
<b>03889</b>	<b>Media Schedules File</b>	This series documents the planning implementation of media schedules, including television, digital, and radio spots, purchased to advertise KLC products and promotions during specific weeks, days, times to run, and costs. The record reflects the rates, total spots, and length of advertising spot.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Budgets for media expenses, actual media expenses, media plans and schedules, media flow charts, media traffic instructions, correspondence.
	<b>Retention and Disposition</b>	Retain three (3) years and destroy after audit.
<b>03891</b>	<b>Promotion File</b>	This series documents the planning materials for promotions to stimulate public interest in playing lottery games and public interest in the KLC brand.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Proposals, budget, rules and regulations, time-lines, memoranda, production request forms, flyers, brochures, drawing sign-offs, winner contact information.
	<b>Retention and Disposition</b>	Retain two (2) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Kentucky Lottery Corporation  
Marketing

Record Group  
Number  
1783

Series	Records Title and Description	Function and Use
05957	<b>Game File (V)</b>	This series documents each lottery game implemented by KLC from creation through production to street sales. These files are used to track progress and approvals throughout each state of the process along the way from art and prize structure approval, printing, packaging and delivery processing to security and audit approval. Additionally, each game requires a trademark letter of clearance, which is provided by our printing vendor, as well as official game rules/regulations, which are created by our Legal Department.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Lottery game design notes, approved ticket artwork, approved prize structure, correspondence, trademark verification, official game rules and regulations, point of sale materials, sample tickets, vendor quality assurance lab report, delivery information and start-up sheet, Purchase Requisition and Right to Use contract (for licenses or proprietary property games).
	<b>Retention and Disposition</b>	Retain until six (6) months after game's last date to claim prizes, then destroy.
05968	<b>Coupon Requests and Coupon Logs</b>	This series documents the requests and logs for coupons by the departments within KLC for promotional use at special events or programs across the state. Coupons are used as well for players who have experienced a problem with a service or product the KLC has deemed it necessary to provide compensation or make-good through the use of coupons. Complaints are received through phone, social media, customer service, and email. The Requesters Manager (if applicable), Vice President of Marketing, and Promotions Manager must approve all requests. After approval, coupons are generated. This series also documents the coupon logs, and coupons used by various departments to promote lottery games and offer goodwill to players and retailers.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Forms stating purpose of the coupon, intended distribution, activation dates, quantities needed, coupons describing product and usage, dates, coupon numbers, customer name, reason code and explanation of why coupons were given in customer service or for other business purpose.
	<b>Retention and Disposition</b>	Retain until two (2) years after audit, then destroy.
05969	<b>Mailing List</b>	This series documents the evolving list of players that have opted-in or opted-out of receiving communication regarding all games from the Kentucky Lottery Corporation. The players' information is stored electronically.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Player name, address, date of birth, game preference.
	<b>Retention and Disposition</b>	Destroy when no longer needed.
05991	<b>Creative Briefs</b>	This series documents the game information and creative direction that is necessary for the production of any promotional information for Point of Sale (POS) and/or television and radio advertisements created in support of the game and/or promotion.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Game information, promotion planning information, relevant dates, identifies the media for promotion, costs.
	<b>Retention and Disposition</b>	Retain three (3) years and destroy after audit.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Kentucky Lottery Corporation  
Marketing

Record Group  
Number  
1783

Series	Records Title and Description	Function and Use
05992	<b>Final Art, Production Schedule, and Print</b>	This series documents the final artwork that has been approved by KLC officers for final production of point of sale (POS), flyers, outdoor boards, business art, print advertisements, business cards, stickers, and web art for promotional purposes of the lottery games. This series also documents the production schedule and print orders for the jobs requested from the Marketing Department regarding the production of these items.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Final art and/or graphic picture of art, print orders for the final approved artwork used for print ads and/or POS created/produced for a promotion or product, due dates of production, name of job requestor, type and quantities of promotional material, and vendor name.
	<b>Retention and Disposition</b>	Retain until three (3) years after last date of usage, then destroy.
06992	<b>Corporate Sponsorship File</b>	This series documents tickets sent to corporate sponsors as part of sponsorship contracts. The purpose is to assist KLC in maintaining strong corporate partnerships with their sponsors.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of business, date of event, use of tickets, quantity and value of tickets.
	<b>Retention and Disposition</b>	Retain for three (3) years after tickets administered, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Operations

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06000</b>	<b>Fleet Management and Motor Vehicle Reports</b>	This series documents the driving record of Kentucky Lottery Corporation (KLC) employees authorized to operate vehicles owned or in the possession of KLC for purposes of conducting official business. Driving reports are pulling semi-annually from reporting vendor.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Employee name, copy of driver license, copy of motor vehicles report, copies of traffic violations issued to driver, and correspondence to driver.
	<b>Retention and Disposition</b>	Retain in Fleet Management until employee terminates employment with Kentucky Lottery Corporation; transfer to Human Resources to be included in Personnel File, P0037.
<b>06516</b>	<b>Navigational and Tracking Data</b>	This series documents data from global tracking devices, including Global Positioning System (GPS) information, for vehicles purchased and owned by Kentucky Lottery Corporation (KLC) and solely for the agency's use to conduct business. The information from these devices assists in ensuring efficient vehicle operation. KLC contracts with a vendor to provide this service who retains the information; however, KLC is provided access to the information through the web for a period of six (6) months. The information is then purged by the vendor.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Vehicle license plate number, date and time of vehicle usage, locations by longitude and latitude, speeds, starting and stopping times.
	<b>Retention and Disposition</b>	Retain for six (6) months. The vendor deletes the information after this period.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Kentucky Lottery Corporation  
Sales

Record Group  
Number  
1783

Series	Records Title and Description	Function and Use
05994	<b>Return Ticket Process and Inventory Activity Receipts</b>	This series documents KLC Sales Representatives various activities at retail locations as well as credit summaries due to retailers for the returns of partial, full, and manual pack returns of lottery game tickets. Summaries are generated at the retail location on the retailer's terminal. Manual returns are then written up and sent to Security for processing. The Sales Representative completes a receipt, documenting the retailer's credit amount; the original is returned to the KLC office, and a copy is given to the retailer. This allows for inventory control of all returns of partial, full, & manual packs of lottery game tickets sent back to Scientific-Games via UPS.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of transaction; retailer name and number; sales representative name and number; full and/or partial pack details including game number, ticket numbers, quantity, and value of tickets; return summary; credit amount to retailer; reference number; and signatures.
	<b>Retention and Disposition</b>	Retain ninety (90) days after transaction date and internal audit, then destroy.
06008	<b>Annual Retailer Incentive Plan</b>	This series documents the annual incentive programs for retailers to promote lottery sales.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date, goals, objectives, incentive rates, incentives for online games.
	<b>Retention and Disposition</b>	Retain three (3) years from date of incentive and audit, then destroy.
06009	<b>Sales Team Plan</b>	This series documents the incentives for KLC Sales Representatives to promote lottery games.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date, rate of incentive for sale representatives, detailed plan.
	<b>Retention and Disposition</b>	Retain three (3) years from date of incentive plan, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Security

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03853</b>	<b>Drawing Video Recording File (V)</b>	This series documents draw game results on video for verification of actual events and results of Kentucky lottery game drawings.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Video recordings.
	<b>Retention and Disposition</b>	Retain three (3) years, then destroy.
<b>03854</b>	<b>Employee Security File (V)</b>	This series documents pertinent information relative to each KLC employee for security purposes. It provides the KLC with the security clearance necessary for the administration and operation of the agency. This series will reflect name changes, residents in an employee's home, and an agreement that the employee and/or residents in his/her home, will not purchase lottery tickets while employed by the KLC. Because of the nature of the business of the KLC, this information is of primary concern to the agency during one's employment.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Copy of application for employment, consent for background investigation form, in-state and out-of-state criminal background reports, education verification, previous employment verification, driver's license verification, and employee/household ineligible player declaration.
	<b>Retention and Disposition</b>	Retain until three (3) years after termination of employment, then destroy.
<b>03880</b>	<b>Promotional Ticket File</b>	This series documents the tracking of scratch-off lottery tickets from procurement to distribution for promotional purposes. The file documents the "transfer of ownership" of the tickets and serves as an inventory control method for the movement of tickets.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Ticket request form, request invoice, activation and verification.
	<b>Retention and Disposition</b>	Retain until three (3) years after closure of game and audit, then destroy.
<b>04123</b>	<b>Draw Games Documentation File (V)</b>	This series documents the process completed for each draw game, such as Pick 3 or Kentucky Cash Ball. The Draw Administrator will complete a series of checklists for each draw game to ensure all policies and procedures utilized in the execution of the draw game are followed and verified.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Draw activity report; draw studio access log; Draw Administrator checklist; unusual incident report (if applicable); pre, live, and post-drawing test results from automated draw system; and winning numbers checklist.
	<b>Retention and Disposition</b>	Retain until after three (3) years and audit, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Security

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04319</b>	<b>Security Case Management File (V)</b>	This series documents the investigative activity into any matter, incident, or accusation involving KLC. Incidents include complaints against retailers, lost or stolen tickets, fraudulent claims, and/or internal matters. If an incident occurs, an investigator will collect evidence on the matter and once compiled, it's added to the claims database, where it is assigned a tracking number for reference.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Investigator name, date of incident, narrative of incident, template, tracking number, correspondence.
	<b>Retention and Disposition</b>	Retain until three (3) years after closure of the case, then destroy.
<b>05972</b>	<b>Seal Control Logs (V)</b>	This series documents the log used for protection of the ball safes, Random Number Generator cabinets, the draw site facility/area, storage rooms, and the Network Digital Video Recording cabinet. Any and each time an employee accesses any of these areas, an entry into the Seal Control Log shall be completed for security purposes.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of accessing area(s), employee name, verification of numbered seals, applied numbered seals, and reason for entry.
	<b>Retention and Disposition</b>	Retain until after three (3) years and audit, then destroy.
<b>05975</b>	<b>Draw Related Schedules (V)</b>	This series documents the monthly tracking of each draw manager assigned to the midday and evening Lottery drawings. The schedule is used to identify the primary and backup draw managers for each drawing. Additionally, the schedule is used to verify payroll.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Draw Manager monthly schedule, draw related personnel phone numbers list.
	<b>Retention and Disposition</b>	Retain three (3) years after audit, then destroy.
<b>05976</b>	<b>Security Online Winner's Unclaimed File</b>	This series documents the unclaimed online lottery prizes in the amount of fifty thousand dollars (\$50,000) or more. KRS 154A.110 (3), "unclaimed prize money may be retained by the Kentucky Lottery Corporation and added to the pool from which future prizes are to be awarded or used for special prize promotions or may be appropriated by the General Assembly directly from the Corporation for any public purpose." And, pursuant to KRS 164.7877, unclaimed prize money may be used to fund the Kentucky Educational Excellence Scholarship Grant Fund.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Online tracking form, JFI report, ticket stock sample, ticket stock report.
	<b>Retention and Disposition</b>	Retain until three (3) years after last date of claim and audit, then destroy.
<b>05978</b>	<b>Retailer Compliance Report</b>	This series documents retailer inspections performed by Security investigators. The inspections ensures compliance with the agreement between the retailer and Kentucky Lottery Corporation and is used to aid retailers in security awareness and accountability.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of inspection, name of inspector, retailer name and number, checklist of security issues, tips and recommendations for preventing internal theft.
	<b>Retention and Disposition</b>	Retain until five (5) years after date of inspection, then destroy.



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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Security

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05989</b>	<b>Instant Ticket Testing Reports (Vendor) (V)</b>	This series documents the scientific testing of instant games performed by a third-party vendor and submitted to KLC. The results and conclusions are used for comparison by the Kentucky Lottery for quality assurance and integrity.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Results, conclusions, and opinions of scientific results; game name and number; date of testing; name of vendor performing testing.
	<b>Retention and Disposition</b>	Retain until three (3) years after date of game ending, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Validations

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03873</b>	<b>Winner's Claim File (V)</b>	This series documents the information necessary to process a winner's claim. The main objective of Validations is to ensure that every claim form and/or ticket issued by KLC is accounted for and either promptly paid or otherwise disposed of in a timely manner in accordance with procedures and rules of the game.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Winner's name, Social Security number, date of birth, resident status, resident address, resident phone number, prize amount, ticket and validation numbers, date purchased, check numbers, claim numbers, authorization numbers.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.
<b>03903</b>	<b>Debt Set-Off Summary Report</b>	This series documents amounts that have been withheld from prize winnings due to a debt owed to the Kentucky Department of Revenue, Kentucky Child Support, and/or Kentucky Higher Education Department. KLC sends a check to each agency on a daily basis if any prizes are withheld.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of winner, Social Security number, total debt, amount withheld, type of debt (tax or child support or education loan), copy of check.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.
<b>03904</b>	<b>Federal Withholding Tax Payment Report</b>	This series documents federal taxes withheld on winners of five thousand one dollars (\$5001) or more. The deposit is made daily through electronic transfers.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Winner's name, address, Social Security number, claim number, game reference, prize amount, amount of taxes withheld, resident code, deposit settlement date, reference number.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.
<b>03905</b>	<b>State Tax/Withholding Report</b>	This series documents state taxes withheld from winner's prizes of five thousand one dollars (\$5001) or more. The deposit is made daily through electronic transfer of funds. Form K-1E is completed on a quarterly basis to compile deposits made. Form K-3E is completed annually to compile all deposits.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Winner's name, address, Social Security Number, claim number, game reference, prize amount, amount withheld, resident code, deposit settlement date, reference number.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.
<b>03912</b>	<b>Daily Claimed Prize Report</b>	This series documents all prizes claimed daily at each KLC Claim Center and includes tickets mailed to the Claims Department in Louisville, Kentucky. It identifies the prize amount and a total amount for each office.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date, time, claim center and location, game number, claim number, warrant number, claimant name, pack/ticket number, claim date, prize amount, federal withholding, state withholding, additional withholding amounts, net amount, non-cash amount.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Kentucky Lottery Corporation  
Validations

Record Group  
Number  
1783

Series	Records Title and Description	Function and Use
03913	<b>Daily Warrant Register</b>	This series identifies all warrants (checks) issued at each regional claim center daily. This series corresponds with series 03912, Daily Claimed Prize Report.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Date/time, warrant number, name of winner, warrant type (low, mid, high-tier), game number, game, issue date, warrant amount, claim number, warrant status, warrant reason.
	<b>Retention and Disposition</b>	Retain until three (3) years or audit, whichever is longer, then destroy.
03957	<b>Winner Information File</b>	This series documents the high-tier winners' contact information for the Communications Department. The information is needed for media inquiries as well as upcoming Public Relations campaigns and events. A "high-tier" winner refers to a winner who has won one hundred thousand dollars (\$100,000) and more.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Duplicate of claim form, copy of the winning ticket, news releases, photos, date of prize won, winner's name, Social Security number, date of birth, sex, resident status, address, phone number and other contact information, retailer name and address, claimant signature, claim date.
	<b>Retention and Disposition</b>	Retain until three (3) years after the date a winner has been validated, then destroy.
04124	<b>Gambling Winnings Form File</b>	This series documents the winnings of participants of six hundred one dollars (\$601) or greater, including the federal and state taxes withheld. It is created at the end of each year from the Lottery Back Office System.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series contains: Payer's name and address, Federal ID number, winner's name and address, gross winnings, federal income tax withheld, date won, winner's taxpayer ID number (social security number), state/payer's state ID number, state income tax withheld, signature, date.
	<b>Retention and Disposition</b>	Retain seven (7) years and destroy after audit.
06006	<b>Current Annuity Winner Listing</b>	This series documents the name, annual payment amount, total payments of annuity, and game won. This also documents the Win for Life winners who receive quarterly payments.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Payee's name, annual payment amount, date won and payment terms, game, validation date of ticket, cash payment option, annuity payment option, date election must be made, cash option amount, winner signature.
	<b>Retention and Disposition</b>	Retain until seven (7) years after winner's final annuity payment has been made, then destroy.

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

**Archives and Records Management Division**

**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

General Government  
Kentucky Lottery Corporation  
Validations

**Record Group  
Number  
1783**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06007</b>	<b>Grand Prize Election Form for Powerball Jackpot</b>	This series documents the Powerball grand prize winner's option to take annuity payments or the lump sum cash option.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Information regarding the validation date of ticket, cash payment option, annuity payment option, date election must be made ash option amount, winner signature.
	<b>Retention and Disposition</b>	Retain until three (3) years after payment date and audit, then destroy.