



Personnel Cabinet

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.

Personnel Cabinet

During the First Extraordinary Session of the 1956 Kentucky General Assembly, the Division of Personnel of the Department of Finance was abolished and the Department of Personnel was created. It was headed by a Commissioner appointed by the Governor. Chief among its responsibilities then, as now, was the certification of applicants for state jobs. Approximately four years later, a uniform Merit System for the Executive Department was created. On December 13, 1995, Executive Order 95-19 elevated the Department of Personnel to cabinet status and all powers and responsibilities of the Department of Personnel were transferred to the Personnel Cabinet. Upon expiration of the order, Executive Order 96-909 was issued on July 11, 1996, to create the Personnel Cabinet and this was confirmed by 1998 SB 139. Currently, the Personnel Cabinet is organized as follows: Office of the Secretary; Office of Administrative Services; Office of Legal Services; Office of Employee Relations; Office of Diversity, Equality and Training; Office of Public Affairs; KY Public Employees' Deferred Compensation Authority; Department of Human Resources Administration; and the Department of Employee Insurance.

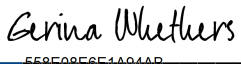
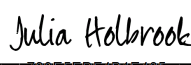
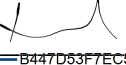
RECORDS RETENTION SCHEDULE

Signature Page

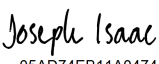


Personnel Cabinet	March 14, 2013
_____	_____
Agency	Schedule Date
_____	March 10, 2022
Unit	Change Date
_____	March 10, 2022
	Date Approved By Commission

APPROVALS


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

 558E08E6E1A94AB... Agency Head	3/2/2022
DocuSigned by: _____	_____
 733E5EDF4B1E465... Agency Records Officer	3/2/2022
DocuSigned by: _____	_____
 B447D53F7EC5447... State Archivist and Chairman, State Libraries, Archives, and Records Commission	3/11/2022
_____	_____
	Date of Approval

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

 06AD74EB41A0474... Records Analyst/Regional Administrator	3/2/2022
_____	_____
 767A3F5C540E417... Appraiser/Archivist	3/3/2022
_____	_____
 F25FB2B0E0434BA... State/Local Records Branch Manager	3/3/2022
_____	_____
	Date of Approval

The determination as set forth meets with my approval.

 3E7D3BB5E0E540E... Auditor of Public Accounts	on behalf of	3/11/2022
_____	_____	_____
		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**

Personnel Cabinet
Employee Insurance, Department of
Insurance Administration, Division of

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
04893	KEHP Enrollment Application and Benefits Billing File (V)	This series documents the enrollment in, or changes to, the Kentucky Employees' Health Plan (KEHP) and the Health Enrollment Application File provided through the Personnel Cabinet. Members have thirty-five days to enroll after hire date. Changes to health plans are allowed if members have a qualifying event such as marriage, divorce, and/or birth of children. Supporting documentation must be provided when changes are made outside of the Open Enrollment period. Eligible participants include: Board of Education employees, State employees, certain health department employees, Kentucky Retirement System retirees, Kentucky Teacher's Retirement System retirees, and quasi-governmental agencies. The Cabinet maintains the health insurance status of members, provided the members meet the eligibility requirements as described in KRS 18A.225. An individual agency's insurance coordinator (IC) or human resource generalist (HRG) provides enrollment documentation and works as the liaison for members. Eligibility information is then processed and forwarded electronically to the appropriate third-party administrator. KEHP premium billing and payment information, electronic bills to agencies, and reports, are all captured within KHRIS.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employee/retiree information (including name, social security number, date of birth); plan selection; spouse and dependent information; prior health coverage; waiver of coverage; employee and coordinator signatures; member application forms, flexible spending account contributions, supporting documentation, check lots, copies of checks, agency bills, small balance reports, and term for non-payment spreadsheet.
	Retention and Disposition	Retain until six (6) years after termination of eligibility, then destroy. Retain hard copies for two (2) years in Agency, then destroy. Retain paper check lots, supporting documentation, and electronic copies for full retention period of six (6) years after termination of eligibility.
06868	KEHP General Health Insurance Benefit File	This series documents the medical, pharmacy, flexible spending account and wellness benefits that are included in the Kentucky Employees Health Plan (KEHP) annually since the beginning of the self-funded plan in 2006. This includes documenting the development of the benefits and the parameters used in administering the plan per KRS 18A.225, 18A.2254, and 18A.227.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Benefit Selection Guide (BSG); Summary Plan Description (SPD); Summary of Benefits and Coverage (SBC), and other related plan documents.
	Retention and Disposition	Retain permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Personnel Cabinet
Employee Insurance, Department of
Insurance Administration, Division of
Life Insurance Branch

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
04428	Enrollment for Group Term Life Insurance File (V)	This series documents enrollment in or changes to the group life insurance program provided through the Personnel Cabinet. It is only necessary to enroll once upon employment in the state's system. Eligible employees include: state employees, teachers, classified employees, board of health employees, full time retirees and legislators. Spouses and unmarried children, with some exceptions, are eligible. Administration of the program in the Cabinet began in February, 1993. An employee is automatically insured for the Basic Life and Accidental Death and Dismemberment Insurance according to the Benefit Class described in the group contract, provided the employee meets the eligibility requirements as described in the group contract. The agency's Insurance Coordinator maintains Beneficiary Designation forms and information or the employee can enter using KHRIS ESS until a death occurs and a claim is filed (see Proof of Death and Beneficiary Designation File (04429)). *Information is available in the Group Life Insurance Database (04428) from Investors Heritage Insurance Company back to 1984.
	Access Restrictions	KRS 61.878 (1)(a) - Medical information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name; address; social security number; birth date; phone number; agency of employee; signature and date; basic Life and Accidental Death and Dismemberment benefits; optional Life and Accidental Death and Dismemberment; dependent's Group Life plans; waiver of group coverage; to be completed by insurance coordinator - coverage plans chosen.
	Retention and Disposition	Destroy five (5) years after employee is terminated or deceased.
04429	Proof of Death and Beneficiary Designation File (V)	This series documents the eligibility of death benefits (Accidental Death and Dismemberment) of deceased employees or persons related to employees, according to the terms of the group life insurance program administered by the Personnel Cabinet. The agency retains the Beneficiary Designation Form or the employee completes the Beneficiary Designation Form in KHRIS ESS until a death occurs. Once the family has completed portions of the Proof of Death Form and submitted a certified copy of the death certificate, accident report (if applicable), etc., all documentation is sent to the Cabinet for processing.
	Access Restrictions	KRS 61.878 (1)(a) - Medical information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Certified copy of Death Certificate; enrollment forms, forms, beneficiary form; Proof of Death; Group Life Insurance Claim Form; tax Information/identification; any other documents in support of claim, i.e., accidental death notification, accident report, newspaper articles.
	Retention and Disposition	Destroy ten (10) years after the settlement of a claim.
04430	Insurance Billing File (V)	This series documents the billing of agencies for life insurance premiums. It will also document the accuracy of the premium amounts ensuring that changes are made as needed. State agencies are billed through payroll deduction. Others are processed utilizing the Kentucky Human Resources Information System (KHRIS).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Carrier Reconciliation Report; copy of check; Billing Roster (of agency); social security number of employee; date-of-birth; plan; effective date; type of coverage; county; volume; premium due
	Retention and Disposition	Retain for ten (10) years Destroy after audit.
04431	Insurance Refund File	This series documents the overpayment of a life insurance premium through the Kentucky Human Resources Information System (KHRIS) benefits system. Premium payments are payroll deducted for state employees. For other Non-Commonwealth paid employees, a web based billing is reconciled by the billing liaison. When an overpayment occurs, refunds are completed and documented in the KHRIS benefits system and EMARS. The Department of Treasury processes the check and returns it to the Personnel Cabinet, which then forwards it to the agency or individual.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Copy of check; copy of purchase order; list of refunds; request for refund or notice of overpayment
	Retention and Disposition	Retain in agency six (6) 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**

Personnel Cabinet
Employee Insurance, Department of
Insurance Administration, Division of
Life Insurance Branch

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
04432	Group Life Insurance Files (V)	This series documents all information relative to an enrollee's life insurance policy. It includes the coverage plan, the coverage history, rates, calculations, billing, posting, and various reports that summarize and reconcile the activities of the insurance programs, i.e., posting, balancing, and overpayments. Each of these activities work with the Master File, which manages the individual records of the group program in which employees participate, such as billing frequency, salary, and status. *Legacy database was implemented in June, 1993. SAP/KHRIS implemented in April 2011.
	Access Restrictions	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employee's name, social security numbers, location name and number, past due and current amounts owed for their level of coverage.
	Retention and Disposition	Retain Permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Personnel Cabinet
Employee Relations, Office of

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
06538	Adoption Benefit Program File	This series documents assistance provided to state employees through the Adoption Assistance Program. Per 101 KAR 2:120 Section 2, a state employee who finalizes a legal adoption procedure shall be eligible to receive reimbursement for actual costs associated with the adoption. Assistance shall be for unreimbursed direct costs related to the adoption of a special needs child, as defined by KRS 199.555(1), or any other child and up to an amount stated in 101 KAR 2:120 Section 2.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Adoption Assistance Application, Finalization of adoption, Adoption Reimbursement Notification Letter, Affidavit of Expenses, Certification by the Secretary of the Cabinet for Health and Family Services that adopted child is a special needs child, and correspondence.
	Retention and Disposition	Retain in agency for five (5) years after termination of employment, then destroy.

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Kentucky Department for Libraries and Archives

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Employee Assistance Branch

Series	Records Title and Description	Function and Use
04158	Kentucky Employee Assistance Program (KEAP) Case File (V)	This series documents the psychologist's assessment/referral activities of clients seen in the Kentucky Employee Assistance Program (KEAP). It tracks the client's activities and progress after entering the program, and is used to assure the psychologist that a client is on course in his/her treatment. KEAP is a free, confidential program for helping state employees and/or members of their family deal with problems that affect job performance, personal life, or general well-being. The problems may be emotional, financial, marriage/family, or substance abuse. It is the intent of KEAP to help employees lead more productive personal and professional lives. Also, the program can reduce absenteeism, tardiness, accidents, and help lower insurance costs. The KEAP professionals are state employees trained in assessment and referral. A counselor will assist in finding the most qualified people to help with a problem. In the case of a self-referral, no one will know of a contact with KEAP. When an employee's job performance is deteriorating, the supervisor may refer the employee to the program. Even in this situation, the supervisor will not be told specifics about the problem. Participation in KEAP will not jeopardize an employee's job or promotional opportunities. The KEAP program will see approximately 750 new clients per year.
	Access Restrictions	101 KAR 2:160, Section 3 (2)(6) KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Contact sheet (client number, name, purpose of call, gender, agency, job information, demographics); insurance information; marital status; client status; referral/relationship, presenting issue (substance abuse, marital, children, grief, etc.), other information; client follow-up; medical/therapist records; disciplinary actions; job performance information; time and attendance records.
	Retention and Disposition	Destroy six (6) years after closure of file. NOTE: Destruction must be under the supervision of a licensed or certified psychologist.

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Personnel Cabinet
Employee Relations, Office of

**Record Group
Number
2070**

Employee Recognition Branch

Series	Records Title and Description	Function and Use
03928	Kentucky Employee Suggestion System File	This series documents those employee suggestions that have been approved by Council members. Council members are appointed by their Cabinet Secretary. They will vote on each suggestion and approve or reject them. The file is created as a result of the evaluation process documented in the Employee Suggestion File (P0040). Suggestions are first submitted to the cabinet representative on an Employee Suggestion Form. Under the terms of 101 KAR 2:120, a suggestion is evaluated on the basis of its cost effectiveness in its first year of implementation. The representative will review the value of the suggestion to determine if it is a suggestion pertinent to only one agency, or all agencies. The agency or agencies which implement the suggestion are responsible for the monetary prize to the winner.
	Access Restrictions	101 KAR 2:120, Sec.1(f) Until decision is rendered. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Correspondence; copy of the Employee Suggestion Form; copy of the evaluation of employee suggestion.
	Retention and Disposition	Retain permanently any employee suggestion that has been implemented.
06530	Governor's Ambassador Award File	This series documents nominees for the Governor's Ambassador Awards. These awards have been given annually since 2009 to recognize exemplary Commonwealth employee accomplishments that reflect initiative, leadership, increased efficiency, and a strong commitment to service. Individuals or groups of employees may be nominated. Nomination categories are Community Service/Volunteerism, Courage, Leadership, Professional Achievement, Customer Service, or Teamwork. Supporting documentation may not exceed ten pages and may not include CDs, booklets, videotapes, VHF cassettes or DVDs.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Nomination Form (Name, job title, agency and contact information of nominee(s); date(s), category, description and impact statement of accomplishment; name, agency, contact information, and relationship to nominee of employee making nomination) and any supporting documentation for the Governor's Ambassador Award.
	Retention and Disposition	Transfer to the Kentucky Historical Society (KHS) after awards have been distributed and when no longer needed administratively. KHS will scan files of winning nominees and then transfer them to the Archives for permanent retention. Files of non-winners will be destroyed after five (5) years.

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Personnel Cabinet
Employee Relations, Office of

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
		Workers' Compensation Branch
03641	Employee Injury Incident File (V)	This series documents a state employee's first report of accident or injury. The Workers' Compensation Branch of the Personnel Cabinet is the office through which a report must initially be filed for all covered state employees. A private company is contracted as a Third Party Administrator to process and investigate claims and to be a liaison with the Department of Workers' Claims Office of the State Labor Cabinet. The Personnel Cabinet receives the first report of injury from a supervisor (Department of Workers' Claims IA-1 FROI), as the employer of record. The Employee Injury Claim File is limited to "no medical, record only" files, those incidents which have been reported, but in which no medical costs have been claimed. When benefits are to be paid, the case is referred on to the Third Party Administrator for claim administration. As required in KRS 342.185, an employee must file an initial claim within two years after the date of an accident or injury. An incident file in this series can continue on to the Third Party Administrator at any time during the two year period if benefits are claimed. Reconstruction of a complete file would be completed by the Third Party Administrator as they house the official claim file.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Copy of first report of injury form IA-1.
	Retention and Disposition	Retain files for injurious exposure claims in agency for twenty (20) years, then destroy. Retain all other files in agency for eight (8) years, then destroy.
04420	Workers' Compensation Self-Insured Contract File (V)	This series documents the administration of the self-insured workers' compensation program for the Commonwealth of Kentucky, in accordance with the Workers' Compensation law found in KRS Chapter 342. The contract is written for a two-year period, with a three-year renewal option before it must be "bid out" again. The program covers all state employees, except the Transportation Cabinet, Murray State University, volunteer firefighters and emergency medical technicians and eight county clerks' and sheriffs' offices. A third party administrator (TPA) works in conjunction with the Personnel Cabinet in the handling of claims, coordination of benefits and customer service. The TPA pays the benefits and is reimbursed by the state fund. Reviewed and filed with the contract are yearly stewardship reports, including banking information which are reviewed electronically, monthly and at any time. The reports reflect the claimant's name, costs accrued, paid to-date, cost per month, reserves, and outstanding reserves.
	Access Restrictions	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Contract; stewardship report; adjustment of premiums (agency premiums calculated according to the number of employees and claims experience, averaged over three years).
	Retention and Disposition	Purge/destroy the Stewardship Reports after five (5) years. Destroy contract file five (5) years after expiration, and audit.
04425	Workers' Compensation Subrogation Case File (V)	This series documents the legal activities in the subrogation of workers' compensation payments from third parties. The Workers' Compensation branch is first notified (see Employee Injury Claim File - (03641), of the processing of the workers' compensation claim. When the possibility of recovery of state funds appears to be probable, or necessary, the legal process is initiated, contact is made with the insurance company and the cabinet's third party administrator to determine a settlement or the recovery of workers' compensation funds. Such a case may happen when an employee is involved in a car accident while on state business, and the fault of the accident is determined to be the other party. An employee has two years from the date of the accident to file suit.
	Access Restrictions	KRS 61.878 (1) (a) - Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Correspondence; internal memoranda; copies of pleadings; copies of medical bills/payments
	Retention and Disposition	Retain until eight (8) years after case closure, then destroy.

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Personnel Cabinet
Human Resources Administration, Department of
Career Opportunities, Division of

**Record Group
Number
2070A**

Series	Records Title and Description	Function and Use
04255	Applicant Testing System (ATS) (V)	<p>CLOSED: Testing ended May 2008. This series documented the complete record of an applicant's efforts to obtain state employment. It provided a history of each applicant who had or had not taken an examination. The system was built from test scores and test dates. The Automated Register System (04261) was dependent upon this system for its data. It identifies the counties in which an applicant was available to work. An applicant's name was entered into the system once they had signed in. Upon completion of the interview with a counselor, a determination was made of which test would be taken. The test was taken, and results were entered. The system would process letters instructing applicants when and where they must report to take an examination, letters of rejection, notice of results, veteran points, and/or a letter signifying that an application is incomplete in some manner and what is needed for completion. The system documented an applicant's efforts to improve their score by reflecting each time a test was taken. Reference to the system was high during the period that the individual's score is valid on the register.</p> <p>Access Restrictions KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: applicant's name; address; social security number; location of test site; counties willing to work; current status of work; any previous convictions; licenses or certificates; veteran points; location of test center; date; test score</p> <p>Retention and Disposition Retain active test scores on-line for two (2) years. Transfer to tape for remaining three (3) years. Total retention is five (5) years.</p>
04256	Master Copy Examination File	<p>CLOSED: Testing ended 2008. This series documented the official record and supporting documentation for merit examinations used to rank applicants on the basis of their knowledge, skills, and abilities (KSAs) for merit positions within state government. Examination technicians conduct job analysis research in coordination with agencies to identify the duties and essential KSAs for a job class. Segment outlines (reading comprehension, math problems) are developed and items are chosen that measure the KSAs deemed crucial for an individual hired into a position. Item sources are identified. The newly constructed examination is reviewed by the agency to determine its appropriateness for ranking applicants on merit registers. The Series contains active and discontinued examinations, written tests and, also, video, essay, oral board, portfolio review and special in-house examinations taken only by Personnel Cabinet employees who routinely handle examination materials. *Reference is dependent on the nature of the exam, the need to change, update or revise content of an exam.</p> <p>Access Restrictions KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: original, printed examination; key answer sheet; key copy; test segment outline; changes to test; research and supporting documentation for content of examination to include content validity study, item origin or source of item, readability studies, job analysis, agency contacts, subject matter expert examination review forms</p> <p>Retention and Disposition Retain Permanently.</p>
04258	Selection Method History File (V)	<p>CLOSED: No longer created. Testing ended May 2008-see Personnel PM 08-09. This series documented the selection method by which an applicant must test for a merit position, and what the selection method has been historically. It will provide all supporting documentation for classes with a selection method of Training and Experience (T & E) evaluation or 100% qualifying. A "qual" selection method is generally used when someone by virtue of earning, or maintaining, a license or certification will meet the necessary minimum requirements for a position, such as an attorney, plumber, or nurse. Applicants are not ranked on a "qual" register. The supporting documentation for a written examination will be in the Master Copy Exam File (04256), but the selection method form indicating the decision to have a written examination is found in this series.</p> <p>Access Restrictions KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series contains: Selection Method Form - class title, code, number of applicants on register, agency personnel officer, date of job analysis, agency contact, subject matter review, content validity study, item analysis, comments, selection method recommended, number of positions available, selection history, discussion, routing check-off; specifications; agency contacts or job analyses; selection method changes; subject matter expert review forms; T & E guidelines</p> <p>Retention and Disposition Retain Permanently.</p>

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Personnel Cabinet
Human Resources Administration, Department of
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Records Title Series and Description	Function and Use
04259 Stats File	CLOSED: No longer created. Testing ended May 2008. This series documented the overall applicant performance on written examinations constructed and given. It allowed the agency to monitor the examinations taken regularly to determine their fairness. It aided in evaluating the effectiveness of specific examinations by analyzing the responses of applicants, such as if some questions are frequently missed, or if applicants' scores were grouped too high or too low. Review results would identify items that were too easy or too difficult. The statistics would reflect a curve in the grading scale and provide a comparative analysis of applicants (testing for a particular class) on the basis of raw scores, range of scores and the average score, as well as indications of any adverse impact on some testing groups/minorities. The data helped in determining the need to justify a modification in an examination or construct a new one. Tests selected for monitoring may be selected by the number of positions available across state government, the age of the examination, the greatest applicant traffic, positions with significant turnover, or those with high register requests.
Access Restrictions	KRS 61.878 (1)(g) Testing Material. Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Desk analysis (comparative ranking of applicants); item analysis (detail of individual responses of test questions); copy of test; segment outline; review of findings
Retention and Disposition	Destroy five (5) years after examination is discontinued.
04260 Register Data File	This series contains applicant information. Specifically, from this data file, the Personnel Cabinet can determine and print out a list that reflects which applicants applied to a position posted on the Personnel Cabinet's Applicant Tracking System (MyPurpose). These applicants certify by nominating themselves to the position that they meet the minimum requirements of the position. The data file maintained by the Personnel Cabinet, includes information pertaining to reemployment candidates, internal mobility candidates (current state employees), and competitive candidates.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Requisition number; class title; position number; candidate name; candidate type; reemployment (REM) months of service; veterans' preference; advertisement closing date; job requisition expiration date; requisition primary owners.
Retention and Disposition	Retain for five (5) years, then destroy.
04261 Automated Register System	CLOSED: No longer created. Testing ended May 2008. This series documented the individuals that have tested for state employee positions and their test results. One of its primary functions is to generate the Register Certificate File (04260) which identifies the top five scores for a given class, and the corresponding applicants when an agency requests a register. It records action taken on a register. It shares information with and is built from the Applicant Testing System (04255). It allows staff to inquire and review each applicants' tests results. *CICS (Customer Information Control System) is the software package allowing communication with the state agencies to request registers, make appointments, and take actions on the Register Certificate (P-7), (04260). CICS is managed on the state mainframe and daily loaded into the AS/400 for Cabinet responses or action on personnel activities. Agencies do not have direct access to the AS/400.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: name of persons that have taken a test and which test has been taken; social security number of person taking test; job title; score order; counties where applicant is available to work
Retention and Disposition	Retain active registers on-line for two (2) years. Transfer to tape for remaining three (3) years. Total retention is five (5) years.

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04264 Reemployment File (V)	CLOSED: This series documents applicants who are eligible for reemployment as prescribed by KRS 18A.113. Reemployment is the rehiring of an employee with tenure who has been laid off. For a period of five (5) years, laid-off employees shall be hired before any applicant or eligible employee on a certified register with the exception of another laid-off employees with greater seniority who are also on such register. Rehire exceptions per KRS 18A.113 (6) are documented as part of this series, along with all application and certification activities described in Personnel Series 04266.
Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Name, contact information and SSN, months of service, date of expiration of reemployment rights and reemployment rights notice.
Retention and Disposition	Destroy upon acceptance of an appointment, or after five (5) years if not reemployed.
04266 Applicant Register Folder (V)	This series documents the employment application and job submission activity of an individual. The activity data is primarily contained in MyPurpose, where it is consolidated into a comprehensive profile for each individual. The profile is referenced as needed to make and document eligibility decisions for register certification or personnel actions including appointment, promotion, reemployment, reclassification, reinstatement, demotion, and transfer.
Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Contact information, social security number (SSN), applications, resumes, job submission, communication history, and notes supporting eligibility decisions.
Retention and Disposition	Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active in MyPurpose, retain applications for five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
06627	Annual Leave Sharing File	This series documents an employee's participation in the state's annual leave sharing program, and provides detailed tracking of the annual leave transferred between employees, as well as the utilization of transferred leave. It is duplicate to the Annual Leave Sharing file maintained within the recipient's agency. Records are stored in KHRIS for employees with leave information maintained by the Personnel Cabinet. Paper copies of approved annual leave sharing applications and donation forms are maintained for employees of quasi and non-Chapter 18A agencies, participating in the state's annual leave sharing program, that do not utilize KHRIS for time administration.
	Access Restrictions	KRS 61.878 (1)(a) personnel information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: copies of approved annual leave sharing applications, copies of approved annual leave sharing donation forms.
	Retention and Disposition	Retain for three (3) years, destroy after audit.

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Series	Records Title and Description	Function and Use
03471	Position Description Questionnaire File	This series documents an employee's work that is performed and how much time each duty consumes. It serves as a basis or standard for classifying positions throughout state government. It provides a plan that maintains an equitable relationship between the nature of the work, education necessary, experience, the variety and complexity of duties, and responsibilities required by a position. The series is completed whenever a position is to be established, reclassified, reallocated, a position description requires an update, and documents the approval or denial of the request by the Personnel Cabinet.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Title(s), whether position is filled or vacant, position location, nature of request (establishment, reclassification, reallocation, position description update), name and title of immediate supervisor, percentage of time and description of duties, dated signature of person completing form.
	Retention and Disposition	Retain current plus the preceding Position Descriptions. Retain for five (5) years after the abolishment of the position, then destroy.
04338	Unclassified Service Position File	This series documents the records and activities pertaining to unclassified service personnel, as provided for in KRS 18A.115. If an agency head wants to create an unclassified position other than that allowed by legislation (cabinet secretaries, commissioners, office heads, the administrative heads of all boards and commissions, one principal assistant or deputy for each of these noted), the agency must petition the Secretary and/or the Personnel Board for approval.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Position description; petition (duplicate); memoranda from state agency.
	Retention and Disposition	Destroy three (3) years after abolishment of agency or position.
04339	Job History Summary File (V)	This series documents the research and surveys that aid in determining the value, or worth, of a position in a given class in the executive branch of state government, compared to the job market outside of state government. A file is prepared for each job classification when a class is established, revised, or abolished. The file documents the rationale for modifying the classification plan. The series is referenced when preparing a new classification, or revising a current one and often in connection with Personnel Board hearings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency request for new or revised job class; position audit summary; recommendations from classification analyst; Position Evaluation Summary; Class History Summary Form.
	Retention and Disposition	Retain Permanently.
04340	Official Job Class Specification File (V)	This series documents the standard developed by the Personnel Cabinet which states the title, characteristic responsibilities, examples of duties and the minimum requirements of a job. A job specifies positions sufficiently similar in duties performed, responsibilities, minimum requirements of training, experience, or skill and such other characteristics that the same title, tests of fitness and schedule of compensation have been or may be applied to each position in the job. Job class specifications are descriptive of the positions. The Cabinet maintains a master set of all approved job "specs," designating the date of adoption or the last revision. Current job class specifications are available online via the Personnel Cabinet's website. A new job may be requested by an agency when, after evaluation, there is no other that appears to be appropriate. New legislation may create a job. Classification analysts review the requirements deemed necessary for a new job, thus, a new job class specification is written.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: job specification (current and previous) -- title, duties, requirements in training, experience or skill.
	Retention and Disposition	Retain Permanently.

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Series	Records Title and Description	Function and Use
04341	Salary Review Forms File	CLOSED SERIES This series documented the salary review requests of agencies for promotions, reversions and appointments of individual employees as provided for in KRS 18A.110 (7) (b). The forms relate to employees that may be hired, appointed, reverted to, or promoted to a position where the salary is anything other than minimum pay. An agency may receive permission to pay a higher percentage than the minimum salary range, provided funds are available. If approved, an agency must also be able to increase salaries of others within the agency with comparable positions, giving consideration for seniority, experience and education. If the agency cannot meet the salary increase for all, then it must be denied for one. If an employee is hired, this information is placed in the Master Personnel Folder (04522). When an appointment is rejected, the record is retained in the Personnel Cabinet.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: 1) Reversion Request - name; agency; increment date; current classification; class reverted to; dates/percentages of increments, other considerations (grade changes, salary adjustments); 2) Promotional Requests - name; agency; percentage requested; class of current position; position number; class of proposed position; description of increase in responsibility; recommendation; 3) Appointment Request - name/agency/position number; work county; class; date of appointment; entry salary; requested salary; minimum requirements for class; education; experience; related to class; others in the same class/agency/locality who will be adjusted; name and amount of adjustment
	Retention and Disposition	Retain for two (2) years. Transfer to the Master Personnel Folder (04522), if appointed, otherwise destroy.
04342	Salary Survey	This series documents salary information gathered from other jurisdictions, usually other state governments for purposes of setting pay grades. Each study is a survey of current, but selected classes. The Secretary of Personnel has the authority to enact an increase to the salary schedules; however, all of the agencies must have the money available, as determined by the Office of State Budget Director, before any employee receives a pay increase.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name(s) of classes surveyed; survey respondent; pay information.
	Retention and Disposition	Retain for two (2) years, then destroy.
04524	Request for Position Action Only File	CLOSED SERIES: This series documents the change or the nature of action an agency is requesting of the Personnel Cabinet relative to a position within a cabinet or department of state government. Examples of position changes would be the establishment of a position, a reorganization, a grade change, a title change, reallocation, or reclassification. The Cabinet reviews all requests for action for conformity to personnel laws and regulations. The agency receives a copy of the approval or denial of the action, but will not have the copy with Personnel signatures.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Personnel-Position Action; position only is marked; effective date; nature of action; description of action; position number; class code; class title; approvals for current request by appointing authority; code block for Personnel Cabinet use only.
	Retention and Disposition	Retain for three (3) years.
06444	Job Duties Desk Audit File (V)	This series documents job duties assigned to a position and is used as a tool to obtain information necessary to accurately classify a position. A desk audit may be performed at the discretion of the Personnel Cabinet, request by an agency human resource office, or per order of the Personnel Board. The audit process involves meeting with the employee and his/her first line supervisor separately to discuss assigned duties. The final job determination is made by the Personnel Cabinet.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain the completed position audit form, Position Description (PD), and pertinent supporting documentation.
	Retention and Disposition	Retain in agency for five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
06625	Organizational Structure Charts File	This series documents the organizational structure for agencies in the Executive branch within the state government of the Commonwealth of Kentucky. The charts show the complete structure of an agency which may include the cabinet, department, office, division, branch, section, and/or unit. In some cases, the charts may also show boards, commissions, authorities, or councils. An organizational chart is revised whenever an agency is reorganized. A reorganization is a change in the state government organizational structure which may include the creation, alteration, or abolition of any organizational unit or administrative body. This series reflects the organizational charts for multiple agencies maintained by the Personnel Cabinet. This file is reference when identifying an organizational structure at a specific time. Current organizational charts are available online via the Personnel Cabinet's website.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: date, organizational charts, agency; divisions; branches; sections
	Retention and Disposition	Retain one (1) copy of each revision for each organizational unit permanently with Personnel Cabinet.
06626	Cabinet and Department Organizational Number Assignment File	This series documents the organizational number assignment for each agency in the executive branch with the state government of the Commonwealth of Kentucky. The number assigned to an agency by the Personnel Cabinet is a five digit number which reflects the cabinet number (two digits) and the department number (three digits), respectfully. In some cases, the three digit number may represent an office. Once a five digit number is assigned to an agency, it may never be used again, even if the agency is abolished.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: listing of five digit organizational number assignments.
	Retention and Disposition	Retain permanently in agency.
06696	Salary Schedules File	This series documents the salary schedules utilized by the Executive Branch of the Commonwealth of Kentucky's state government for classified and unclassified job classifications in accordance with KRS 18A.030 and 101 KAR 2:034. Current salary schedules demonstrate the salary range for a given pay grade. Historic salary schedules provide the means to ascertain and verify salary history.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Current salary schedules; historic salary schedules; date of implementation; pay grade listing; and a salary range for each pay grade on the schedule.
	Retention and Disposition	Retain permanently in agency.
06697	Supplemental Premium Requests File	This series documents agency requests submitted to the Secretary of the Personnel Cabinet for approval of a compensation supplemental salary premium payment pursuant to 101 KAR 2:034 and 101 KAR 3:045.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of job classification(s) for which a requesting supplemental differential is being made, organizational entity, amount of premium, and justification.
	Retention and Disposition	Retain five (5) years after premium is rescinded by agency, then destroy.

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Series	Records Title and Description	Function and Use
06824	Reorganization Packet (V)	This series documents the review and implementation of organizational changes to governmental structure. Reorganizational actions may include establishment, alteration, or abolishment of an organizational unit or administrative body, and furthermore, may include the transfer of functions, duties, responsibilities, personnel, funds, equipment, and records from one organizational unit or administrative body to another. The two types of reorganization are initiated through Executive Order, establishing, renaming, and/or abolishing higher level organizational units, and Administrative Order, involving changes made to lower level organizational units. Note: reorganizations frequently require both an Executive Order and an Administrative Order.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Executive Order; Administrative Order; formal submission letter, reorganization plan; structural establishment worksheet; structural abolishment worksheet; structural rename worksheet; new structural agency worksheet; position from-to worksheet; current organizational structure; proposed organizational structure; current operating organizational structure; KHRIS FICO-cost center request form; KHRIS FICO-WBS request form; KHRIS Security Worksheet; and eMARS chart of accounts data worksheet.
	Retention and Disposition	Retain final filed packet twenty (20) years in agency, then destroy.

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Series	Records Title and Description	Function and Use
00708	Payroll Requests	This series documents requests for payroll information made directly to the Personnel Cabinet. This series does not include Open Records Requests which are covered by the General Schedule for State Agencies series, M0016. Information requests are made from either a state agency or from authorized entities such as the Internal Revenue Service, Social Security administration, State Child Support Offices, etc. Payroll Request Forms must be submitted to the Payroll Branch for processing.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Payroll request form, IRS and SSA correspondence, payroll records, leave history records and W-2 information.
	Retention and Disposition	Retain for three (3) years.
06080	Payroll Reports M (V)	This series represents the reports generated from payroll information. These reports capture the payroll system activity of all agencies in the Commonwealth's payroll system. All information that is entered and transactions created and run as part of the payroll system processes are reflected in these reports. They are segregated by date, report type, and agency. Reports are accessed by agencies and/or used by the Personnel Cabinet to provide information regarding payroll activity including, but not limited to: employee pay, leave, deduction history, system updates, and W-2 production data.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employee master data (name, address, birthdate, and position information), payroll records, W-2 information, attendance history, and leave history.
	Retention and Disposition	Retain for twenty (20) years, then destroy.
06454	Off-Cycle Payroll Requests	This series documents requests for an off-cycle (supplemental) payroll run to disburse missed employees pay, to reverse incorrect pay, and to correct errors in payroll. Requests are made by an agency and submitted to the Personnel Cabinet.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Agency name and cost center number; Human Resources Generalist making request; phone; employee name and personnel number; pay period for which the off-cycle is paying or making the adjustment; reason for request; additional information; net amount of payment expected or reversed; or Personnel Cabinet processing information.
	Retention and Disposition	Retain for seven (7) years, then destroy.
06455	IRS Form W-2c (Corrected Wage and Tax Statement)	This series represents W-2c forms, which are generated at the request of an agency or by the Personnel Cabinet to correct information on an employee's original W-2.
	Access Restrictions	KRS 61.878(1)(a) - SSN. Agency should consult legal counsel regarding open records matters.
	Contents	Series contains: Employer's name and address; Tax year/form corrected; Employee's correct name and SSN; Employee's previously reported name and SSN; previously reported income and withholdings; correct income and withholdings.
	Retention and Disposition	Retain for fifty (50) years, then destroy.

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Series	Records Title and Description	Function and Use
06456	Manual Payroll Adjustment Forms File (SAS-27 and Request for Refunds on Payroll)	This series documents requests made on the Manual Adjustment Form for the production of positive or negative adjustment paychecks that cannot be produced within the standard time limits of the state payroll. These forms are used to make payments or refunds outside the payroll system and are adjusted in the system. Examples include forms for Board Order payments, Worker's Compensation Buyback, and net positive adjustments to create replacement net checks for Electronic Funds Transfer returns. This series includes duplicate copy(s) of series P0025, Payroll Voucher, which is sent to and maintained by the Payroll Branch. This series also contains the Payroll Voucher Certification, previously record series 06099, Payroll Voucher and Certification.
	Access Restrictions	KRS 61.878(1)(a) - Social Security Number (SSN). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Creation date; social security adjustment year; agency name and number or cost center; employee name and identification; adjustment period; memo/reference; gross income; type of tax/tax authority; wage type; employee amount; state amount; taxable amount; total for each adjustment; net pay; total disbursement amount; authorized agency approver; authorized finance approver; Secretary of Personnel Cabinet authorization; check date on IT221; payroll voucher (form SAS 27); date; agency name; organization name/code; company number; reference number; employee status; total disbursement amount; hours paid; employment date; rate; employee last name and initials; social security number; employee ID; category and amount of funds; totals and total net pay; comments; name of employee preparing payroll; authorized agency signature; signature of Personnel Cabinet Secretary. Certification Form (Form SAS 27b); employee name and identification; pay period; semi-monthly salary; gross amount due; explanation; signature of certifying individual.
	Retention and Disposition	Retain for twenty (20) years, then destroy.
06521	Notifications of Change	This series documents notifications from the Finance and Administration Cabinet regarding issues with an employee's Automated Clearing House (ACH)/Electronic Funds Transfer (EFT) record (e.g., payroll direct deposit). Notices are forwarded to the appropriate agency to be addressed. Issues occurring through March 15, 2011 must be addressed in the payroll system by system consultants.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Employee name, banking information (routing number, account number, checking or savings account), return/reject reason and code, batch description.
	Retention and Disposition	Retain for four (4) years, then destroy.
06535	Form W-2, Wage and Tax Statement	This series represents an annual report on an employee's wages, tips, and compensation as well as taxes and other deductions withheld.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Employee's name, Social Security Number (SSN), address; employer's name and address; taxable wages, tips and compensation and federal tax withheld, state income taxable wages and withholdings, local taxable wages and withholdings, Social Security taxable wages and withholdings, Medicare taxable wages and withholdings. Various payroll deductions such as dependent care benefits, retirement contributions, deferred compensation contributions, employee and employer health insurance contributions.
	Retention and Disposition	Retain for seven (7) years, then destroy.

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Series	Records Title and Description	Function and Use
06553	Time and Attendance Management Reports (V)	This series documents employee time entry and time evaluation, attendance and absence records, leave accrual and usage, overtime reports, adverse weather leave used and made up, Family Medical Leave hours taken, Sick Leave Sharing donations and usage, Military Leave usage, employee evaluation annual leave awards and Block 50 payments all of which factor into processing employee pay. Records are kept in Document Direct through March 15, 2011 and KHRIS from March 16, 2011 forward.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Time and attendance reports, leave use and accruals, and months of service.
	Retention and Disposition	Retain in agency twenty (20) years, then destroy.

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Series	Records Title and Description	Function and Use
03345	Employee Performance Evaluation (Supervisor Compliance) Files	This series documents supervisor compliance at each phase of the employee performance evaluation process as set forth in KRS 18A.110(1)(i) and (7)(j) and 101 KAR 2:190. The Performance Management Program within the Department of Human Resources Administration, utilizes the data to monitor and report compliance, as well as identify trends, concerns and opportunities for process improvements.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Lists of employees eligible for performance evaluation, including last name, initials, title code, position number, employee status, and employee number; supervisor compliance with the performance planning process, interim review process, and final evaluation process; and final scores, ratings, and employee responses.
	Retention and Disposition	Retain for twenty (20) years.
03931	Sick Leave Sharing File - (Duplicate) - (Original in respective agency)	This series documents an employee's participation in the state's sick leave sharing program, and provides detailed tracking of the sick leave transferred between employees, as well as the utilization of transferred leave. It is duplicate to the sick leave sharing file maintained within the recipient's agency. Leave sharing records are stored in KHRIS for all employees with leave information maintained by the Personnel Cabinet. Paper copies of approved sick leave sharing applications and donation forms are maintained for employees of quasi and non-Chapter 18A agencies, participating in the state's sick leave sharing program, that do not utilize KHRIS for time administration.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: copies of approved sick leave sharing applications, copies of approved sick leave sharing donation forms.
	Retention and Disposition	Retain for three (3) years, destroy after audit.
03932	Sick Leave Sharing Log	CLOSED: This series documents a summarized report of the Sick Leave Sharing File (03931). It is included in the Cabinet's Annual Report (M0022). The Payroll Division receives the individual payroll transactions from an agency's personnel officer.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: donee name; social security number; Cabinet/Department; donor name; social security number; Cabinet/Department; hours donated
	Retention and Disposition	Retain for three (3) years.

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Series	Records Title and Description	Function and Use
04522	Master Personnel Folder (V)	This series documents an individual's employment with the state. It is the master file and the primary source of employment history beyond one's agency employment. This series may be used to verify dates of employment, salary, positions held; to determine eligibility for promotions, reclassification or awards; and to review personnel actions throughout an employee's career with the Commonwealth. The personnel file is an open record with exceptions supported by KRS 61.878. These exceptions include, but are not limited to, an employee's resume, test score(s), social security number, transcript(s), military record, home address and phone number(s).
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Per KRS 18A.020, this Series contains employee name, address, title of positions held, classification, rates of compensation, all changes in status including evaluations, promotions, demotions, lay-offs, transfers, disciplinary actions (as well as any employee written statements provided in response to a disciplinary action), commendations, awards, and preliminary or other supporting documentation for each action. Each file shall contain the complete record and supporting documentation for each personnel action. Additionally, if an employee is reprimanded, a copy of the reprimand, as well as a copy of the employee's response (if provided), shall be stored in the Master Personnel Folder. This series should not include medical records, worker's compensation materials or grievances (unless the grievance supports an employment action).
	Retention and Disposition	Retain until fifty (50) years after most recent date of separation, then destroy.
04525	Summary of Position Action File	CLOSED SERIES (03/16/2011): This series documents the report to the Personnel Cabinet summarizing the numbers and types of actions processed on a monthly basis. The information reflects factors such as race and sex of employees by the agency requesting personnel actions. The report is not utilized frequently, but provides valuable statistical data on actions taken and processed. This series has not been created since the implementation of the Kentucky Human Resources Information System (KHRIS) in March 2011.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Action code; racial origin code; sex code; name and identification number of employee; position number; effective date of action; and totals of actions taken.
	Retention and Disposition	Retain for three (3) years. Destroy after audit.
06457	Appointing Authority Signature Authorization/Revocation File	This series documents the delegation and revocation of appointing authority duties. In accordance with KRS 18A.005, the Appointing Authority may delegate another employee to sign official personnel and payroll documents on behalf of the Cabinet or Agency. The Personnel Cabinet requires a form to delegate the duties, and also a form to revoke the authority. When the Personnel Cabinet receives designated personnel and payroll documents, the signature authorization file is referenced to ensure the employee that signed the documents had the authority to do so. If the person signing the documents does not have delegated signature authorization, the documents are returned to the agency. When an employee with appointing authority duties separates from state government or when the person that delegated the employee decides to remove this authority, the agency is required to send in a form to revoke the signature authority.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Signature Authorization Form contains: Name, signature, job title, personnel number and cost center of authorized employee; actions s/he may sign; organizational unit(s) for which s/he may sign; name and signature of cabinet/agency head; date. Revoke Signature Authorization Form contains: Name and personnel number of authorized employee; organizational unit(s) for which s/he is no longer authorized to sign; name and signature of cabinet/agency head; date.
	Retention and Disposition	Retain permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Personnel Cabinet

KY Public Employees Deferred Compensation Authority

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
03547	Employee Deferred Compensation Participant File	Function and Use: This series documents a participant's deferred compensation activity. The information may reflect the participant's termination of employment, investment activity, beneficiary designation, payout option, service purchase, etc. The Deferred Compensation program is a means for state, city, county or political subdivision employees to set aside or defer pre and/or post tax dollars. The purpose is to supplement retirement income. It is a governmental plan regulated by the Internal Revenue Service subject to review by the Tax Exempt Governmental Entity Division and IRS regulations (Section 401, 457, 402, 415, etc.) under the Internal Revenue Code.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Participant Agreement; Transmittals; Beneficiary form; correspondence form; Participant statements of account values; payout form; copies of checks; Illustrations of accumulations; amendments; financial hardship date; birth/death certificate; verification of termination from employer.
	Retention and Disposition	Retain until twenty-five (25) years after death of participant, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Personnel Cabinet
Legal Services, Office of

Record Group
Number
2070

Series	Records Title and Description	Function and Use
03539	Attorney's Litigation/Work File (V)	This series documents the working litigation files of the attorneys within the Office of Legal Services ("office") when the Personnel Cabinet or employees are named parties in civil litigation for which the office provides primary defense or representation. The series represents the working files created and maintained by Personnel Cabinet attorneys and employees during the litigation process, and may include pleadings, correspondence, research notes, attorney-client communications, and attorney-work product. The official copies of pleadings and orders for each matter are maintained in the court of jurisdiction.
	Access Restrictions	KRE 503 - attorney client privilege; CR 26.02 - work product materials; KRS 61.878(1)(i)(j). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: case information, pleadings, investigation material, orders, affidavits, transcripts, legal research, notes, notices, correspondence, briefs, discovery, and other documentation or attorney work-product related to litigation.
	Retention and Disposition	Retain five (5) years after case closure and all appeals have been exhausted, then destroy.
06105	Background Checks File	CLOSED SERIES: This series documents background checks requested by the Personnel Cabinet's Office of Legal Services. Pursuant to Policy Memorandum 08-01, the Personnel Cabinet requests a review from the Administrative Office of the Courts records for each appointment, promotion and reclassification. If an AOC report indicates a conviction that an applicant failed to list on their application, then the hiring agency and the applicant is notified that the application must be amended to accurately reflect the criminal conviction history. Additionally, per KRS 18A.146, any state employee convicted of a felony may be subject to any disciplinary action deemed appropriate, including dismissal.
	Access Restrictions	KRS 61.878(1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name, DOB, SSN, any criminal convictions including, traffic violations.
	Retention and Disposition	Retain for 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**

Personnel Cabinet
Secretary, Office of the
Diversity, Equality, and Training, Office of

**Record Group
Number
2070**

Series	Records Title and Description	Function and Use
04536	Equal Employment Opportunity State and Local Government Information Report	This series documents the employment statistics that certify the state's hiring practices are in compliance with appropriate federal regulations against discrimination based on race, sex, nationality, religion, age, or disability. Under Public Law 88-352, Title VII of the Civil Rights Act of 1964, the state is required to keep records and make reports to the Equal Employment Opportunity Commission (EEOC). This is a biennial report providing statistical data on the state's employment as of the previous fiscal year. The data include the geographical distribution, as well as distribution by race and sex of employees. The report reflects EEOC defined job categories and salaries within those categories. Every other year the Personnel Cabinet prepares the report for state agencies and the federal government. A copy of the report is included with federal grant applications to verify compliance of federal EEO requirements. The report is extracted from the Kentucky Human Resource Information System (KHRIS).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Statistics reflecting applicants hired in compliance with federal regulation based on gender, race, disability, religion, etc.; Monthly salary rate; Sex; Race.
	Retention and Disposition	Retain for ten (10) years. Destroy after audit.
06914	Certificate of Supervisory Essentials File	This series documents employees who have applied to the Certificate of Supervisory Essentials program. Current and developing Executive Branch supervisors can apply to the program and, if completed successfully, receive one year of credit to apply toward specific positions that require supervision or management experience.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application, notice of approval or denial, and scoresheet.
	Retention and Disposition	Retain in agency for five (5) years after completion of program, successful or unsuccessful, then destroy.

Electronic System With Included Records Series

Personnel Cabinet

Office of the Secretary (Personnel)

Workers' Compensation Branch

System Description: The Kentucky Workers' Compensation Program is designed to compensate employees for loss of earning power due to work-related injuries or illness arising out of, and in the course of their employment. Workers' Compensation provides state government employees many benefits, in the event of an on-the-job injury, including medical costs and disability benefits. The Personnel Cabinet uses the Workers' Compensation system to administer this program.

The overall Worker's Compensation system is divided into three distinct applications, a scan application (FileNet Panagon Capture), an index application, and the main user desktop application. The main user desktop application provides the interface for management of claims database information and document workflow.

The overall design of the Worker's Compensation system is based on the integration of multiple technologies. The system utilizes Microsoft's SQL Server for the database management system and FileNet's Panagon Document Management system for imaged document management.

System Contents: Employee Name, date, social security number, agency code, claim number and status.

General Schedule Items:

System Title: Workers' Compensation System

Alternate Title: Workers' Comp

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

Disposition Instructions:

03641 Employee Injury Incident File

Retain files for injurious exposure claims in agency for twenty (20) years, then destroy. Retain all other files in agency for eight (8) years, then destroy.

Electronic System With Included Records Series

Personnel Cabinet

Office of the Secretary (Personnel)

Kentucky Public Employees' Deferred Compensation Authority

System Description: Kentucky Deferred Compensation (KDC) is authorized under Kentucky Revised Statutes (18A.230 – 18A.275) to provide administration of tax sheltered supplemental retirement plans for all state, public school and university employees and employees of local political subdivisions that have elected to participate. Plan recordkeeping, communication, and enrollment services for KDC are performed by Nationwide Retirement Solutions.

The Deferred Compensation System contains information related to accounts held by program participants. This includes over 85,000 participants and 940 employers. The participants have access to the Kentucky Deferred Comp website www.kentuckydcp.com where they can view their account status online, make deferral changes, download forms and other minor changes to their account. This includes the ability to change their address and view prior statements, transaction history and loan modeling.

System Contents: Participant Agreement; Transmittals; Beneficiary form; correspondence form; Participant statements of account values; payout form; copies of checks; Illustrations of accumulations; amendments; financial hardship date; birth/death certificate; verification of termination from employer.

General Schedule Items:

System Title: Deferred Compensation System

Alternate Title:

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

Disposition Instructions:

03547 Employee Deferred Compensation Participant File

Retain until twenty-five (25) years after death of participant, then destroy.

Electronic System With Included Records Series

Personnel Cabinet

Department of Human Resources Administration

System Description: MyPurpose is an enterprise-wide application for the administration, tracking, reporting and delivery of employee development opportunities. MyPurpose is cloud hosted by the vendor, Cornerstone OnDemand, This simple to use web-based technology provides employees and managers with tools to assist in training, development, performance management as well as recruitment.

MyPurpose currently provides many alternatives to traditional classroom training through online courses and activities and provides applicants with a means by which they may search out training and employment opportunities.

MyPurpose, in further detail, is an online recruitment system that allows the public to electronically search and apply for merit job openings within state government. The system allows applicants to search for job openings; apply for multiple job openings online 24 hours a day, seven days a week when there is a job opening of interest to them. It is also known as an ATS - Applicant Tracking System.

When using the system, applicants must create an account with a user name and password. This account can then be used to submit applications, resumes, and cover letters. Applicants can also check their job submission status, edit their profile.

The Personnel Cabinet reviews applicant information, if submitted for a minimum qualification review (MQR), to determine whether individuals meet classification specification minimum requirements for the position to which they have applied. The agency can view applicant information online, when accessing their requisition

System Contents: The Commonwealth employee records contained within MyPurpose system are updated nightly by the Kentucky Human Resource Information System (KHRIS). Employees who separate are marked as inactive and new hires are added to the system. A Learner's training history will remain intact with the Learner's record. When the learner separates from the Commonwealth, the learner and transcript will remain intact but become disabled.

Information entered by applicants: individual contact information, employment applications, resumes, cover letters. Employment applications may include the following information: education/training/apprenticeship and employment history, contact information, occupational licenses and certificates, professional organizations, skills and abilities, professional references, and application referral selection.

Information entered by Personnel Cabinet staff: approval information, class rejection information, exception information, background check reviews, and Veterans Preference dates

General Schedule Items:

System Title: MyPurpose

Alternate Title: ATS Applicant Tracking System

Series #: Series Title:

Disposition Instructions:

04260 Register Data File

Retain for five (5) years, then destroy.

04264 Reemployment File

Destroy upon acceptance of an appointment, or after five (5) years if not reemployed.

04266 Applicant Register Folder

Transfer to the Master Personnel Folder (04522) if appointed. If not appointed and not active in MyPurpose, retain applications for five (5) years, then destroy.

Electronic System With Included Records Series

Personnel Cabinet

Department of Human Resources Administration

System Description: The Kentucky Human Resources Information System (KHRIS) is the Personnel Cabinet's integrated human resources system that supports the human resources (HR) processes managed by the Personnel Cabinet. This system integrated several separate legacy systems into one solution for the Commonwealth. The new system is configured with specific modules that support specific areas of the HR process. Those areas include: Organizational Management (OM), Personnel Administration (PA) Benefits Administration (BN), Benefits Accounting (BNA/FSCD/Biller Direct), Time Management TM, Payroll (PY), Employee Self-Service/Manager Self-Service (ESS/MSS), Image Connect (KHRIS's web app for FileNet), and the KY Employees' Suggestion System (KESS).

System Contents: Group Life Insurance: The Commonwealth of Kentucky provides Basic Life Insurance and Accidental Death and Dismemberment Insurance to the employees and retirees returned to full-time employment of the Commonwealth of Kentucky, local school boards, and some cities and county governmental agencies via the Benefits specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct). However, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS that are required for their processing of data as well. Information maintained within this module consists of current and historical life benefits elections as well as transactions related to those elections; inclusive of bills, payments, and adjustments. KHRIS, Kentucky Retirement System (KRS), Kentucky Teacher's Retirement System (KTRS), & Kentucky Department of Education (KDE) submit payment files which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) access the KHRIS web application with the use of a UserID and Password.

Kentucky Employees' Suggestion System (KESS): KESS is an incentive program designed to encourage employees to share their ideas on improving productivity and the services offered by the state. KESS is a web application module within KHRIS' web portal which allows merit employees to submit suggestions online to be considered for potential awards and recognition. However, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS that are required for their processing of data as well. Three groups of users access the system, employees with status in the classified service and employees governed by KRS Chapter 16, coordinators, and evaluators. Employees only have permission within the system to add suggestions. Coordinators use the system to assign suggestions to evaluators. Evaluators enter evaluation information into the database relating to suggestions assigned to them for review. The KESS module contents includes: brief description of present method/condition, projected cost savings, review assignments made by Coordinators, date received, evaluation of employee suggestion (eligibility, checklist, approved/rejected, reasons, requiring a regulatory change, legislative change, evaluated by , title, agency, data, recommended award), how the determination was made to approve or deny the suggestion and to provide supporting documentation for any monetary award provided to the employee as a result of the suggestion, awards presented; documentation of review by the employee suggestion system council; reconsideration process if requested; evidence of actual savings to support any monetary award provided to the employee.

The Organizational Management and Personnel Administration modules provide organizational structure, master records, position and title information, record analysis, position descriptions, and the processing and administration of Personal Action Notifications (PANs). KHRIS's Time Management and Payroll modules allow for time and labor entry, leave accruals, and the processing of payroll. However, KHRIS is an integrated system in which all modules are integrated with other modules in KHRIS that are required for the processing of data. Contents for these modules include:

- Organizational Management (OM) – Organization Structure
- Personnel Administration (PA) – Master record data, salary data, position and position description data, employee status
- Time Management (TM) - Time Entry, Cost Allocation, Leave Accruals
- Payroll (PY) – Gross to Net Processing, Tax compliance, Check / Deposit Processing
- Employee Self-Service/Manager Self-Service (ESS/MSS) – Employee web portal, view access to payroll and time data, update personal information
- Image Connect (KHRIS's web application for FileNet) – Employee personnel file images

The Kentucky Employees' Health Plan (KEHP) is a self-insured program providing health insurance benefits to the employees and retirees of the Commonwealth of Kentucky, as well as local school boards, local health departments and other quasi-governmental agencies. KEHP has more than 250,000 actively participating members. KEHP also provides Flexible Benefit Plans for state and local boards of education employees. KHRIS is the system of support for KEHP.

KHRIS supports the administration of benefits members and the processing and reconciliation of enrollment and payments for health insurance premiums, health insurance administration fees and FSA/HRA contributions via the Benefits' specific applications in KHRIS, Benefits Administration (BN) and Benefits Accounting (BNA/FSCD/Biller Direct). However, KHRIS is an integrated solution and the benefits modules are integrated with other modules in KHRIS that are required for their processing of data. Contents include: all transactions at both the policyholder and company level; inclusive of bills, payments, and adjustments. KHRIS, KRS, KTRS, & KDE submit payment files which contain payment information for employees under each company. Personnel Cabinet staff also uses KHRIS. Additional authenticated users (Insurance Coordinators and billing contacts) access the KHRIS web application with the use of a UserID and Password.

- General Schedule Items:**
- P0025 Payroll Voucher (Positive Manual Adjustment Form)
 - P0040 Employee Suggestion File Destroy three (3) years after all administrative activity has ceased.
 - P0025

System Title: Kentucky Human Resource Information System **Alternate Title:** KHRIS

Series #:	Series Title:	Disposition Instructions:
00708	Payroll Requests	Retain for three (3) years.
03928	Kentucky Employee Suggestion System File	Retain permanently any employee suggestion that has been implemented.
04340	Official Job Class Specification File	Retain Permanently.

<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
04428	Enrollment for Group Term Life Insurance File	Destroy five (5) years after employee is terminated or deceased.
04430	Insurance Billing File	Retain for ten (10) years Destroy after audit.
04431	Insurance Refund File	Retain in agency six (6) years, then destroy.
04432	Group Life Insurance Files	Retain Permanently.
04522	Master Personnel Folder	Retain until fifty (50) years after most recent date of separation, then destroy.
04524	Request for Position Action Only File	Retain for three (3) years.
04525	Summary of Position Action File	Retain for three (3) years. Destroy after audit.
04536	Equal Employment Opportunity State and Local Government Information Report	Retain for ten (10) years. Destroy after audit.
04893	KEHP Enrollment Application and Benefits Billing File	Retain until six (6) years after termination of eligibility, then destroy. Retain hard copies for two (2) years in Agency, then destroy. Retain paper check lots, supporting documentation, and electronic copies for full retention period of six (6) years after termination of eligibility.
04894	Kentucky Employees' Health Plan Files	Retain until six (6) years after termination of contract and audit, then destroy.
06080	Payroll Reports	Retain for twenty (20) years, then destroy.
06099	Payroll Voucher and Certification (Forms SAS-27 and SAS 27b)	Retain for eight (8) years.
06868	KEHP General Health Insurance Benefit File	Retain permanently.
P0025	Payroll Voucher (Positive Manual Adjustment Form)	Retain three (3) years in agency then transfer to the State Records Center for five (5) years. Destroy after a total of eight (8) years and audit.
P0040	Employee Suggestion File	Destroy three (3) years after all administrative activity has ceased.