



Area Development District

Records Retention Schedule

Prepared by the Local Records Branch
Archives and Records Management Division
Approved by the State Archives and Records Commission



GLOSSARY OF TERMS For Records Retention Schedules

- Permanent (P)** Denotes records appraised as having historical, informational or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal or fiscal functions. These records may be destroyed **only** after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.
- Confidential (C)** Records deemed unavailable for review by the public after applying the state’s Open Records Law (KRS 61.878) and other state and federal statutes and regulations with specific restrictions. The (C) is added to appropriate record series descriptions as a reminder to agency personnel and does not bear any legal status. **It is important to note that the local government head has the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced.** Even though a record series may or may not be marked confidential on a records retention schedule, contradictory laws or regulations that are approved after the retention schedule has been completed may not be reflected but must be honored.
- Vital Record (V)** Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility. Local Government should have a plan in place to identify those records and provide for their protection in case of a disaster (fire, flood, earthquake, etc.).
- Duplicates** Duplicate records that have not been assigned a retention period and function solely as reference and informational material may be destroyed when no longer useful. If the duplicate is considered the “copy of record”, it must be retained according to the retention period on the schedule.
- Destruction Certificate** A destruction certificate should be used to document the destruction of public records and may be found, along with the instructions at the Kentucky Department for Libraries and Archives website (www.kdla.ky.gov). It should be used when destroying records according to the appropriate records retention schedule. No record created or maintained by a local government agency may be destroyed unless it is listed on the retention schedule and a destruction certificate completed and the original copy sent to the Department for Libraries and Archives (Department).
- After Audit** A term used in the disposition instructions to denote a records series that shall only be destroyed after the retention period has expired and an official audit has been performed. Example: 3 years and audit: This means that the record series must be kept for 3 years after last activity or date in a file. The record must have gone through the annual audit before it can be destroyed.

RECORDS RETENTION SCHEDULE

Signature Page

Area Development District Model
Agency

December 1997
Schedule Date

Unit

March 8, 2018
Change Date

March 8, 2018
Date Approved By Commission

APPROVALS

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

Agency Head

Date of Approval

Agency Records Officer

Date of Approval

[Signature]
State Archivist and Records Administrator
Director, Public Records Division

3/8/18
Date of Approval
3/8/18
Date of Approval

Chairman, State Archives and Records Commission

Date of Approval

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

[Signature]
Records Analyst/Regional Administrator

3-8-18
Date of Approval

[Signature]
Appraisal Archivist

3/5/18
Date of Approval

[Signature]
State/Local Records Branch Manager

3/12/18
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

3-8-18
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
Administration
Executive Director

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4238	Official Minutes: (Includes Minutes of the Board of Directors, Executive Board and all Advisory Councils). (V)	This record series documents the actions taken by the official boards and advisory councils of the Area Development Districts. This includes an accurate record of votes and actions at such meetings which are recorded and are open to public inspection at reasonable times no later than immediately following the next meeting of the body.
	Access Restrictions	None
	Contents	This record series includes the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken.
	Retention and Disposition	Retain permanently
L4239	General Correspondence	This record series documents the correspondence which is not considered vital to the preservation of the administrative history of the agency. It is of a non-policy nature and without permanent value and only is concerned with the day to day operations of the agency.
	Access Restrictions	None
	Contents	This record series may contain memos, letters, reference material, and related records.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4240	Official Correspondence (V)	This record series documents the establishment and changes in policies and procedures.
	Access Restrictions	None
	Contents	This record series contains any letters, memos and printed documents considered official.
	Retention and Disposition	Retain permanently
L4241	Publications: (Includes those items which document the establishment and/or changes in policies and procedures).	This record series is used to inform, educate, and/or fulfill federal, state, and local requirements. Various types of publications created by Area Development Districts may include Annual Report, Yearly Overview, Bi-Monthly Newsletter, Comprehensive Plans, Subdivision Regulations, Water/Sewer Plans and periodicals. Local agencies solicit professional assistance and pay for services rendered in compiling publications that aid in their administration.
	Access Restrictions	None
	Contents	Narrative, statistics, dates
	Retention and Disposition	Retain one (1) copy at agency permanently. Destroy excess copies.

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Series	Records Title and Description	Function and Use
L4242	Policies and Procedures Manual	This series documents all policies and procedures regulating administrative functions of area development districts. It is periodically updated to reflect changes in by-laws, policies, procedures, and state and federal mandates. This series provides an official operating policy while active and also reflects an administrative history of the organization.
	Access Restrictions	None
	Contents	Articles of Incorporation, By-Laws, Federal or State Authority, Purchasing & Procurement Policies, Contract Statements, Internal Controls, Cost Allocation Policy, Personnel Policies & Procedures, Executive Director and/or Board of Directors Travel Policies, Policies and Use of Funds, Meeting Expenses, Credit Cards, Investments, Open Records, Retention Schedule, Drug-Free Workplace Certificate, Affirmative Action Plan, Civil Rights Act, Title VI and Implementation Plan.
	Retention and Disposition	Retain one (1) copy of each update permanently
L4243	Operating Grants and Contracts File: (V)	This series documents the terms and conditions of contractual agreements between local and/or state agencies and sub-contractors and local area development districts. Within each contract is a scope of work section that details the responsibilities of each party. The contracts between state agencies and the area development districts also establish record-keeping and retention policies.
	Access Restrictions	None
	Contents	May contain original contract, amendments, sub-contracts, invoices, correspondence, copies of progress reports.
	Retention and Disposition	Retain until three (3) years after submission of final report & audit approval, then destroy.
L4244	Informational and Reference Material	This record series is used in the day to day business of the agency and is received daily from all sorts of parties. This may include publications, newsletters, flyers, catalogs, and other material used as guides.
	Access Restrictions	None
	Contents	This record series may contain catalogs, publications, newsletters, flyers, and other material referred to in doing day to day business.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4245	Reference Maps, Plats and Drawings	This record series is used as a reference in conducting business with local governments. This includes economic development and planning which is related to grants administration and contracts with local government. These are duplicates provided by state and federal agencies as well as those produced from GIS data.
	Access Restrictions	None
	Contents	This record series contains maps, plats, graphs and drawings of local areas within the Area Development District.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4246	Special Studies	This record series is created by the Area Development Districts as a result of a contract with a local agency. These are produced by the ADDs upon a request from a local agency and the services are paid for by the local agencies. The studies may be an individual contract or through grant monies received by the local agency.
	Access Restrictions	None
	Contents	This record series may contain the title of the study, date, index, any maps or drawings, graphs and text. Also may contain the funding element for the study and the purpose.
	Retention and Disposition	Retain until no longer useful, then destroy.

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Series	Records Title and Description	Function and Use
L4247	Annual Budget (V)	This record series documents the expected revenue to be received in the upcoming fiscal year and the appropriations for each department and program. The monies are distributed based on this projected revenue and needs of those departments and programs. The previous year's budget is used in this process as a reference.
	Access Restrictions	None
	Contents	This record series contains the expected appropriations and disbursements according to department and program.
	Retention and Disposition	Retain permanently.
L4248	Budget Work File (V)	This record series documents the process whereby the annual budget is developed. These work papers are created as drafts to document the items to be entered into the annual budget. The volume of these records will be substantially larger than the final annual budget. Part of this file is gathered from different departments and areas within the ADD office.
	Access Restrictions	None
	Contents	This record series contains the previous year budget, budget proposals from departments, projections of income, estimates of costs, tax computations and miscellaneous supporting documents.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4249	Annual Audit (V)	This record series documents the financial transactions both expenses and revenue for a given year. This file is completed by an independent auditing agency and is in compliance with state and federal guidelines. The audit reflects an independent auditor's opinion of the financial condition of the ADD in any given year.
	Access Restrictions	None
	Contents	This record series contains the revenues and expenses by fund or account. Also a summary of findings and letters of acceptance of the audit.
	Retention and Disposition	Retain permanently.
L4250	Audit Work File	This record series is used to start and complete the annual audit. It is compiled from the financial transactions entered into during the year.
	Access Restrictions	None
	Contents	This record series may contain correspondence with independent auditors, proposals from independent auditors, letters from the Dept. for Local Government and/or final approval or acceptance letters. Also supporting financial documentation for the annual audit.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4251	Balance Sheet and Income Statement	This series documents the financial position of grant accounts at a given point in time. This document is produced on an as needed basis, and will reflect current account balances, current revenue, and current expenses.
	Access Restrictions	None
	Contents	May contain date, grant or contract number, account name, revenue listings, expense listings, account balance.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4252	Cash Receipts Register (V)	This series documents cash received, its source, and amount for a one (1) month period. Deposits are made within a three (3) day period.
	Access Restrictions	None
	Contents	May contain date, grant or fund number, deposit number, fiscal month indicator, account credited, deposit date, source, comments, receipt amount
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4253	Invoice Register (V)	This series documents invoices sent to grantors for payment for services rendered under grant agreements. Once portions of the grant are completed that allow payment, an invoice is sent to the agency so that administrative costs incurred by the district can be met.
	Access Restrictions	None
	Contents	May contain general ledger number credited, invoice number, fiscal month indicator, general ledger number debited, invoice date, grantor invoiced, comments, amount
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4254	Voucher Register (V)	This series documents and identifies checks written to grantees and vendors. All checks except payroll are part of this register.
	Access Restrictions	None
	Contents	May contain date, account number debited, voucher number, vendor number, vendor name, due date, amount
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4255	Vendor Payment Voucher File (V)	This series documents request for payment for services, goods, taxes, and pass-through funds. Supporting documents are attached to a voucher and initiate issuance of a check.
	Access Restrictions	None
	Contents	May contain payment voucher, invoice, purchase order, tax forms (school, city, state, federal), travel voucher, other supporting documents
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4256	Journal Entry Listing (List of Examinees) (Computer Printout - MRR) (V)	This series documents corrections made to the accounting on a monthly basis. Examples include voiding checks issued incorrectly, non-cash transactions, accounting entries with timing errors. Errors are batched and keyed monthly.
	Access Restrictions	None
	Contents	May include date, fiscal month notation, reference number, account in error, comments, amount
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4257	Detail General Ledger (V)	This series documents this monthly summary of financial transactions by account.
	Access Restrictions	None
	Contents	May contain general ledger number, transaction description, transaction date, reference number, source (cash disbursements, payroll), debit, credit, ending balance
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4258	Revenue and Expense Report	This series documents revenue received on a monthly basis and expenses incurred against those revenues. This report is used to accurately know the status of all accounts.
	Access Restrictions	None
	Contents	May contain data, account number, account name, ending balance
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4259	Revenue and Expense Summary (Computer Printout - MRR)	This series documents revenue and expense year-to-date totals by grant. It is created as needed and is used to assess the status of each grant and current account.
	Access Restrictions	None
	Contents	May contain date, grant number, grant name, year-to-date revenues, year-to-date expenses
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4260	Monthly Grant Report (V)	This series documents revenues and expenses by individual grant with year-to-date totals.
	Access Restrictions	None
	Contents	May contain date, revenue totals, expense totals, grant number, grant name, year-to-date budget amount, percent of year-to-date budget, budget variance.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4261	Shared Cost and Distribution Report	This series documents the allocation of shared costs to grants. Shared costs can be indirect costs and/or unreasonable to identify benefits such as building insurance or utilities.
	Access Restrictions	None
	Contents	May contain date, account name, account number, dollar amount, percentage of total cost.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4262	Banking Records File	This record series documents all banking transactions, including payroll and is maintained to verify the checks written and reconciliation of accounts. It is also used as an audit trail and a reference.
	Access Restrictions	None
	Contents	This record series may contain the cancelled check, bank reconciliation, bank statement, check stubs and deposit ticket.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4263	Personnel File (V)	This record series documents an individual's employment history with a local government. It is the master file and the primary source of their employment history. This file should document all the employment history which is deemed significant in determining job performance.
	Access Restrictions	KRS 61.878 (1)(a) 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).
	Contents	This record series may contain: Application, resume, criminal background checks; positions held, job descriptions, term of employment; letters of intent and resignation; education and experience verification; copies of immigration forms, W-4, birth certificate, and driver's license; Social Security number; complaints and disciplinary action; attendance and leave records; insurance records; copies of contracts; worker's compensation; general correspondence and memos; commendations; addresses; policy and procedure acknowledgements; pension reports; and evaluations.
	Retention and Disposition	DESTROY THE FOLLOWING SIXTY (60) YEARS FROM DATE OF HIRE: 1) Applications for positions 2) Name 3) Last known address 4) Social security number 5) Letters of resignation 6) Starting and ending dates of employment 7) Retirement information 8) Verification of positions held 9) Disciplinary actions 10) Job descriptions. DESTROY FIVE (5) YEARS AFTER TERMINATION OF EMPLOYMENT: 1) Employee evaluations 2) Letters of intent 3) Policies/procedures acknowledgement 4) Health/life insurance membership 5) W-4 6) Copies of contracts 7) Leave records 8) Criminal background checks 9) Experience verification forms 10) Copies of driver license and birth certificates 11) Resumes 12) General correspondence/memos 13) Complaints 14) Commendations.
L4264	Payroll Record File (V)	This series documents salary and benefit expenses charged to grants in the form of personnel costs. Each employee is listed with all withholdings for each pay period noted as well as costs charged against current grants. Area development districts negotiate grants and/or contracts with state or local agencies to provide technical assistance to local governments. The costs of administering the grants or contracts include personnel costs that are reflected in this record series.
	Access Restrictions	KRS 61.878
	Contents	Bi-weekly check register, bi-weekly grant distribution summary, bi-weekly burden summary, bi-weekly payroll register, supporting documents.
	Retention and Disposition	Retain for seventy (70) years from date of hire, then destroy.
L4265	Time Sheet (V)	This series documents personnel hours charged per grant, leave taken, and holiday designations.
	Access Restrictions	None
	Contents	May contain date, employee name, employee numbers, employee signature, supervisor signature, grant number, hours charged per grant.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4266	Request for Leave	This series documents request & approval of annual and/or sick time with or without pay taken.
	Access Restrictions	None
	Contents	May contain date, hours taken, type of leave desired, employee signature, supervisor signature.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Area Development District
 Community/Economic Development

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Series	Records Title and Description	Function and Use
L4267	Industrial Sites and Buildings Inventory and Demographics File	This record series documents the industrial sites and buildings that are available or exist in the local agencies including counties and cities. This information is collected from the local agencies, state and federal agencies, ADD surveys, local economic development representatives, utility company, local real estate agents, chamber of commerce, local banks and manufacturers, educational institutions and public school and vocational systems. The information is used in assisting local governments in comprehensive and strategic planning, industrial marketing and development, community development needs, facility infrastructure upgrading and grant writing. Some of the information is used for trend studies, producing local brochures and industrial packets. This information is updated quarterly. Basically the ADD uses all this information to stimulate economic growth whether representing the company or the local government. In addition this information is used to coordinate with state agencies, develop financing packages and technical assistance in stimulating economic development.
	Access Restrictions	None
	Contents	This record series contains supportive demographics information, articles about community, available industrial sites, economic development booklets, community profile information, industrial site profile(including acreage, physical features, transportation access, utilities) and regional economic profile(employment information & personal income).
	Retention and Disposition	Retain until no longer useful, then destroy.
L4268	Economic Development Program File	This record series is used as supporting documentation in the economic development process. This includes developing financial program packages and making trend analysis. It is used as a primary reference file.
	Access Restrictions	None
	Contents	This record series contains research information, demographics, copies of grant applications, publication articles about economic development, educational material, publications, press releases and other informational material about state for prospective industries.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4269	Industrial Client and Prospect File	This record series documents prospective industrial clients who are looking to locate and those which are already located in the ADD's area. The information in this file is collected from the industries when they are looking for a new location or when they are expanding an existing facility. This information can be quite sensitive and must be used cautiously. Much of the information is divulged by the industry to the ADD in confidence that it will not be given out to others without the industry permission. This is basically a trust issue of which the ADD is very aware of. Sensitive information may include closure information, financial information(profit and loss), expansion plans, investment plans, environmental issues, and information on other facilities existing elsewhere(Overseas). This file is used by the ADD to assist local governments in their economic development plans and also to assist the industries.
	Access Restrictions	KRS 61.870
	Contents	This record series contains correspondence, reference material from the Economic Development Cabinet, hand written notes, and financial information about certain industries.
	Retention and Disposition	Retain until no longer useful, then destroy.

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Series	Records Title and Description	Function and Use
L4270	Existing Industry File	This record series is used to document the industries and companies located and doing business in the area. It is used primarily as a reference file when assisting these industries with problems such as environmental impact. Also used to document the technical assistance and industrial marketing assistance provided to the local agencies and the industries. This information is used sparingly, but becomes more important at the development stage, whether it is a new development or a change in the existing industry. Used in research if there is a new industry moving in or to assist existing industry in a new development.
	Access Restrictions	None
	Contents	This record series may contain copies of studies, directories, correspondence, and reference material about industries.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4276	Unsuccessful Community Development Block Grants (CDBG) Application File	This series documents application for funding to complete community development projects. Application is made by cities and/or counties generally for purchase of equipment or for structural changes to buildings that will house public activities or services such as health departments, senior citizens centers, public water lines, etc. Requirements include that 51% of people using the facility be within a certain income level. These applications are sent to Dept of Local Government for acceptance. If funded, generally administered by area development districts. If administered by area development districts, this file becomes part of Community Development Block Grant Administration File. If not funded, this application can be re-submitted with alterations. This information would be used to create a new application.
	Access Restrictions	KRS 61.878 (Income level surveys only)
	Contents	May contain application, income level survey forms, working papers, engineering drawings, reports, correspondence
	Retention and Disposition	Retain for three (3) years, then destroy.
L4277	Community Development Block Grant (CDBG) Administration File (V)	This series documents application for funding to complete community development projects. Application is made by cities and/or counties generally for the purchase of equipment or for structural changes to buildings used to house public activities and/or services such as health departments, senior citizens centers, water lines, etc. Requirements include that 51% of the people using the facility be within a certain income level. These applications are sent to dept of Local Government for acceptance. If funded, these projects are generally administered by local area development districts. This file is used to monitor the 2 year term of the project.
	Access Restrictions	Business Plans, Income level survey forms
	Contents	May contain application, income level survey forms, working papers, engineering drawings, grant reports, financial supporting documents, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4278	Criminal Justice Application File	This series documents assistance by area development districts to local agencies in completing applications for funding from the Justice Cabinet. Funds may be used for temporary police hiring, equipment purchase, drug control, violence prevention, education, victims advocate programs, or spouse abuse centers. Those eligible for funds are law enforcement agencies and non-profit service agencies. Most projects are for 12 term with a 48 month maximum. Area development districts only aid in the application for funding and do not administer successful grants.
	Access Restrictions	None
	Contents	May contain application, correspondence, reference material, copies of reports
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L4279	Public Administration Management File	This series documents assistance given by area development district staff to local governments in the areas of budgeting, finance, personnel, and general management. Typically, dept for Local Government would provide funds for a specific scope of work in providing this assistance. This can be one-time assistance or can be an ongoing process.
	Access Restrictions	None
	Contents	May contain correspondence, studies, financial & statistical data, work papers, property tax calculations
	Retention and Disposition	Retain for five (5) years, then destroy.
L4280	Regional Transportation Annual Work Program File (V)	This series documents annual progress toward completing scope of work defined in the annual contract with the Transportation Cabinet. BGADD staff serve as consultants to the Transportation Cabinet in identifying and evaluating highway projects or conducting land use studies for use in the Cabinet's 6 year planning process.
	Access Restrictions	61.878 Proprietary Information
	Contents	May contain Highway Needs Evaluations, Special studies, Quarterly & Annual Reports to Transportation Cabinet, Resident Survey, Facility Inventory, correspondence
	Retention and Disposition	Retain until no longer useful, then destroy.
L4281	Independent Transportation Studies (V)	This series documents corridor studies in greater detail and at greater effort than studies found in the Regional Transportation Annual Work Program File (). These studies are funded from a different source within the Transportation Cabinet and be jointly funded with a local agency. Typically, these studies will be for a more concentrated geographic area. The information is provided to the Transportation Cabinet for use in the agency's plan for road construction and/or improvement.
	Access Restrictions	None
	Contents	May contain land use recommendations, existing conditions report, proposed recommendations, progress reports to Transportation Cabinet, correspondence
	Retention and Disposition	Retain until no longer useful, then destroy.
L4282	Community and Regional Comprehensive Plan Project Reference File	This series provides informational and reference material to be used in composing a comprehensive plan for a local community. A local community contracts with an area development district to develop basic goals and objectives and write an appropriate plan. The components of a plan must include Future Land Use, Future Community Facilities, and Future Transportation.
	Access Restrictions	None
	Contents	May include copies of population trends, economic statistics, employment information, water and sewer data, police & fire data, land use data, schools data, parks & recreation data, road conditions and classifications, and informational and reference material used in developing a comprehensive plan for local governments.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L4283	Zoning and Ordinance Subdivision Regulations Project Reference File	This series documents the information and reference material provided by a local community in order to compile zoning ordinances and subdivision regulations. A local community contracts with an area development district to provide the expertise necessary to complete a project such as this.
	Access Restrictions	None
	Contents	May contain copies of sample ordinances, state regulations, wording models and informational and reference material in the development of zoning and subdivision regulations for local governments.
	Retention and Disposition	Retain for three (3) years, then destroy.
L4284	Planning and Zoning Technical Assistance File	This series documents technical assistance given in the planning process for local communities. A local community contracts with an area development district to serve as a local planner, which includes reviewing plats, meeting with local developers, reviewing zone change requests, on-site reviews, and preparing and presenting staff reports for planning commission meetings at the local level. This file contains only reference materials that aid in the planning process.
	Access Restrictions	None
	Contents	May contain copies of zoning applications, plats, plans, background information, staff reports
	Retention and Disposition	Retain until no longer useful, then destroy.
L4285	Solid Waste Planning File	This series documents informational and reference material provided to compile a solid waste plan for a local community. Local communities contract with area development districts to provide technical assistance in completing a plan for the disposal of solid waste within that community. Updates are required on a five-year basis.
	Access Restrictions	None
	Contents	May contain copies of narrative reports, statistical information, updates, contract for services
	Retention and Disposition	Retain until no longer useful, then destroy.

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 Tourism, Parks and Recreation

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Series	Records Title and Description	Function and Use
L4271	Downtown Revitalization Program Grant Project Files (V)	This record series is used to document the Downtown Revitalization Program. This Program provides grants funds for feasibility and engineering studies for the purpose of revitalizing downtown areas. These grants are not for construction only but can be used to implement construction. The Department for Local Government(DLG) is the state agency responsible for the administration of this program. The ADDs act as liaisons and brokers that do the actual hands on work. The maximum grant award for this program is \$10,000.00. Notice is sent to eligible local agencies through a ADD Newsletter that these grants are available and informing them of the grant process. The ADDs work with the Kentucky Heritage Commission in the revitalization of downtowns. The funded and unfunded grant proposals are kept in the same file. These grants may be for sidewalks, lighting, beautification and other similar projects.
	Access Restrictions	None
	Contents	This record series contains the application, grant agreement, correspondence, quarterly progress reports, close out information and a final report, including a financial statement.
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4272	Recreation Grant Project Files	This record series is used to document the grant process and assistance given to local agencies. The grant funds are derived from different programs and funds which are administrated through the Department for Local Government and the Kentucky Department of Transportation. Those sources are the Community Rivers and Streams Program, the Land, and Water Conservation Fund, the National Recreational Trails Program, The Intermodal Surface Transportation Efficiency Act (ISTEA), and the Enhancement Program. These are federal funds used to assist local agencies with environmental studies and beautification and construction projects. These include open space projects such as ball fields, playgrounds, parks, swimming pools and ISTEA projects such as construction of trails and beautification projects. The grant projects run for 1 year.
	Access Restrictions	None
	Contents	This record series contains the application, correspondence, inspection reports, project close-out information, studies.
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4273	Historic Preservation File	This record is used to document the use of grant funds through the Intermodal Surface Transportation and Efficiency Act (ISTEA) by local agencies for the purpose of construction of trails, building renovations, beautification and landscaping projects. The funds are administered by the Kentucky Department of Transportation with the ADDs being the hands on administrator for all phases of the grant projects. Each grant can be for no more than 2 years with a possibility of an extension if needed. The ADDs provide technical assistance which includes grant preparation, grant administration, coordination and other assistance as needed. Also documented is assistance given for free which may lead to a contract.
	Access Restrictions	None
	Contents	This record series contains copies of the following: application, correspondence, studies, progress reports, closeout reports, agreements, community surveys, grants, by-laws, preservation reference material.
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Community/Economic Development
 Tourism, Parks and Recreation

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4274	Area Development Fund Grant Project Files	This record series is used to document grant projects funded by the Area Development Fund. The fund was established by the Kentucky General Assembly for projects by local governments. The ADDs institutes a formula for each county for the purpose of determining the needs for each. Using this formula each county determines their priorities. The projects are endorsed by the ADD Board of Directors. This program ended in 1995 but there is a possibility that it may be revived by a future General Assembly.
	Access Restrictions	None
	Contents	This record series contains the application, correspondence, project completion report, agreement, support documentation, bidding documents, commitment of other funds, invoice.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4275	Tourism File	This record series is used to document assistance given to local governments for the purpose of developing a tourism strategy. The ADD will contract with a local government to provide technical assistance for developing tourism brochures, writing grants, environmental studies and assessments feasibility studies, economic studies for the development of tourism. Assistance is also given to local governments of the purpose of getting funds and coordinating any grant projects they might receive. Basically, this file documents all the assistance given to local agencies in the development of tourism plans.
	Access Restrictions	None
	Contents	This record contains correspondence, studies, copies of grant applications, environmental assessments and copies of maps.
	Retention and Disposition	Retain until no longer useful, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Grant Administration

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4304	Joint Funding Administration Program (JFA) Grant Administration Files (V)	This record series documents the administrative records of the different grant funds administered through the Department for Local Government's Joint Funding Administration Program. These are federal funds which are matched, at differing rates, by state monies and given to local governments and administered by the Area Development Districts. These federal funds are granted by different federal agencies including the Department of Housing and Urban Development, Economic Development Administration, Appalachian Regional Commission, Department of Health and Human Services and Department of Justice. The funding agencies may change from time to time.
	Access Restrictions	None
	Contents	This record series contains the application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Home & Community Based Services

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L6931	1915 (c) Medicaid Waiver Participant Files (Adult)	This record series documents Medicaid 1915 (c) Home and Community Based Waiver Service Programs adult eligibility and participation. Records are used to monitor services provided to a participant and are active for as long as the participant is receiving services.
	Access Restrictions	KRS 61.878 (1)(a) Medical Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Assessments, reassessments, plan of care recommendations, progress notes, case notes, participant directed timesheets and/or financial information, medical assistance program forms, liability information, releases, confidentiality agreements, termination documents, correspondence and related documents.
	Retention and Disposition	Retain for six (6) years after last service is provided, then destroy.
L6932	1915 (c) Medicaid Waiver Participant Files (Minor)	This record series documents Medicaid 1915 (c) Home and Community Based Waiver Service Programs minor eligibility and participation. Records are used to monitor services provided to a participant and are active for as long as the participant is receiving services.
	Access Restrictions	KRS 61.878 (1)(a) Medical Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Assessments, reassessments, plan of care recommendations, progress notes, case notes, participant directed timesheets and/or financial information, medical assistance program forms, liability information, releases, confidentiality agreements, termination documents, correspondence and related documents.
	Retention and Disposition	Retain for three (3) years after participant reaches the age of majority or six (6) years after last service is provided, whichever is longest, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Human Resources Development

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4286	Area Aging Plans (V)	This series documents an overview of expected program accomplishments by local senior citizens centers. This yearly plan prepared by area development districts serves as the application to the Cabinet for Families & Children for funding. Each senior citizens center supplies budget projections which are then compiled by the area development district into a district plan.
	Access Restrictions	None
	Contents	May contain general, administrative, program, and financial plans for the coming year
	Retention and Disposition	Retain for three (3) years after submission of final report, then destroy.
L4287	Aging Contract File	This series documents terms and conditions for contractual agreements with sub-contractors to provide services through senior citizens centers. The Cabinet for Families & Children, Division of Aging, provides funds that are administered through area development districts for services provided to the aged. The contract spells out scope of project and details completely eligible services. Funds are paid to centers after services are provided.
	Access Restrictions	None
	Contents	May contain application for funding, contract, amendments, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4288	Aging Monthly Fiscal Report	This series documents financial expenses for services rendered to senior citizens through local sub-contractors or senior citizens centers. The Cabinet for Families & Children provides funds that are administered through local area development districts to senior citizens centers throughout the state. These services may include home care, respite care, minor home repair, transportation, advocacy, homemaker care, or home management care. Additional costs noted may be costs incurred by the center such as personnel costs, utilities, rents, or administrative costs.
	Access Restrictions	None
	Contents	May contain statistical data, invoices, utility costs, expense estimates, year-to-date totals
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4289	Aging/Homecare Client Files (V)	This series documents eligibility for homecare services provided to the aged, plan of care recommendation, progress notes, and termination of services. These documents are used to monitor services provided to a participating client. The local agency must re-apply each year. This file is maintained as long as the client participates.
	Access Restrictions	Privacy Act 1974
	Contents	May contain initial application, notification of service, bi-annual re-assessment, care plan, quality assurance agreement, case manager progress note, fee determination worksheet, information release authorization, correspondence, request for fair hearing, termination statement
	Retention and Disposition	Retain until five (5) years after inactive, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Human Resources Development

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4290	Aging/Adult Day Care Monitoring File (V)	This series documents requirements for monitoring compliance with terms and conditions of the contract contained in the Aging Contract File (BO14). Budget, program requirements, facility requirements, staff qualifications and training, and client records are all monitored at the service agency. If changes are needed, correspondence is initiated. If no changes are needed, a letter of compliance is issued.
	Access Restrictions	None
	Contents	May contain monitoring instrument, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4291	Aging/Adult Day Care Monthly Financial Report File	This series documents compliance with financial terms and conditions of contracts between local senior citizens centers and the Cabinet for Families and Children for services to the aged. These grants are administered by area development districts. These records allow for payment to be made to the local senior citizens center, while also being used to request payment from the Cabinet for Families & Children. The funds reflected in this financial report file may be state, local, and /or participant fees.
	Access Restrictions	Privacy Act 1974
	Contents	May contain monthly financial report from center, monthly attendance report, copies of appropriate pages from contract, copy of Monthly Financial & Budget Form to Cabinet for Families & Children, correspondence.
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4292	Aging/Pacesetters Participation File	This series documents participation with walking programs administered through local senior citizen centers. This file contains lists of participants that walked over 500 or over 1,000 miles within a year period. Each year participants in these categories are invited to a celebration in Frankfort. Centers transport participants to the celebration and are later reimbursed for the cost of transportation. This file is used as a basis for that reimbursement.
	Access Restrictions	None
	Contents	May contain list of 500 and/or 1,000 mile walkers, documentation of travel expenses, copy of reimbursement checks.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4293	Family Preservation Regional Application File (V)	This series documents the application for funding through Cabinet for Families and Children with area development districts to provide administration of grants. This information provides an explanation of what providers will do to meet objectives set for by the Cabinet for Families and Children in regard to family preservation. Grants are funded for a one year period and additional funding is determined by completed activities.
	Access Restrictions	None
	Contents	May contain application, contract, quarterly reports, monthly financial summary, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.

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RETENTION SCHEDULE

Area Development District
 Human Resources Development

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4294	Community Connections for Children Project Files (V)	This series documents planning services for the Community Connections for Children projects. This program seeks to assist families to meet new demands. Some community projects that may be funded through this area are Homebuilders Program, Housing Authority Family Projects, Truancy Intervention, and community needs assessment studies. Area development districts contract with providers to complete projects designed to aid in the preservation of families. Guidelines are provided by the Cabinet for Families and Children, and projects are administered by the area development district personnel.
	Access Restrictions	None
	Contents	May contain application, contract, monthly invoices, back up documentation for actual expenditures and in-kind expenditures, quarterly reports, budget modifications, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4295	Job Training Partnership Act (JTPA) Sub-Contract Files (V)	This series documents requirements of contracts relating to the training of participants of JTPA. Services are sub-contracted to educational institutions or agencies that provide training for further employment. All services and payments relating to that training including administrative costs, utilities, participant travel, child care, tuition, supplies, postage, etc. are documented in this file.
	Access Restrictions	None
	Contents	May contain contract, amendments, correspondence, invoices, copies of payment checks, monitor reports
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.
L4296	Job Training Partnership Act (JTPA) Participant Record File (V)	This series documents eligibility to participate in training, case management notes, test scores, attendance records, certification, and vital personal information. After training is completed or exit of program, participant is given 90 days to gain employment to be considered positive or negative result.
	Access Restrictions	Privacy Act 1974
	Contents	May contain application, enrollment form, referral notice, attendance record, grades, class schedule, completion/exit form, employment form, eligibility requirement documents, correspondence, information release form
	Retention and Disposition	Retain for three (3) years after submission of final report, then destroy.
L4297	Job Training Partnership Act (JTPA) Participant Financial File	This series documents payment for goods and supportive services rendered to participants while training. Payment is issued to providers after invoices for such things as child care, travel, eyeglasses, tests costs, and/or lodging are received.
	Access Restrictions	None
	Contents	May contain invoices, copies of checks, correspondence
	Retention and Disposition	Retain for three (3) years after submission of final report and audit, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Human Resources Development

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4298	Job Training Partnership Act (JTPA) Summer Youth Employee Payment Record File Access Restrictions Contents Retention and Disposition	This series documents hours of work by summer youth employees participating in JTPA. This information is then passed to the payroll section to initiate payment for said hours. Privacy Act 1974 May contain time sheets, payroll deductions form, K-4, W-4 Retain for three (3) years after submission of final report and audit, then destroy.
L4299	Job Partnership Training Act (JTPA) Inventory of Equipment File (V) Access Restrictions Contents Retention and Disposition	This series documents purchase, maintenance, and disposal of equipment purchased with JTPA funds and made available to sub-contractors. Equipment purchased prior to 7/1/93 is owned by the Workforce Development Cabinet, after that date, it is owned by Area Development Districts. Equipment may be transferred from one sub-contractor to another. None May contain bailment agreement with inventory list, inventory number, Workforce Development Cabinet Number, description, cost, date of purchase of acquisition, location of item, serial number, sub-contractor address, request of proposal, bids, service agreements, correspondence, JTPA Equipment Record of Receipt. Retain until disposition of equipment, then destroy.
L4300	JTPA Equal Employment Opportunity Commission Grievance File (V) Access Restrictions Contents Retention and Disposition	This series documents grievances or complaints filed that are alleged to be in violation of Civil Rights Act. Since 1993, Americans for Disability Act (ADA) has required that workplaces must have an EEOC Coordinator. A grievance may be filed by an applicant, participant, interested party, sub-contractor, or vendor. Privacy Act 1974 May contain original complaint, audio tape of grievance meeting, correspondence, resolution, referral to Workforce Development Cabinet. Retain until litigation resolved or three (3) years, whichever is later, then destroy.
L4301	Jobs, Opportunity and Basic Skills (JOBS) Case Files (V) Access Restrictions Contents Retention and Disposition	This series documents application for or recommendation to participant in JOBS. This program provides funding fees or short-term training. This file documents expenditures related to a participant and/or provider. The Department for Social Insurance monitors programs to make sure obligations are being met. BGADD does not administer JOBS as of 6/30/1997. CLOSED SERIES KRS 61.878 May contain application, letter of request, explanation of fee, copy of check, correspondence Retain for three (3) years, then destroy after audit.

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RETENTION SCHEDULE

Area Development District
 Human Resources Development

Record Group
Number
5150

Records Title Series and Description	Function and Use
L4302 JOBS Regional File	This series documents application for grant funding from Department for Social Insurance (DSI). A local agency makes the application with the area development districts administering the grants. This series allows DSI to know what is being done for participants, providers of service, and agency staff in order to carry out requirements of JOBS. This series was closed as of 6/30/1997. CLOSED SERIES
Access Restrictions	None
Contents	May contain regional plan, regional contract, regional quarterly report, copies of inter-agency council minutes, copies of committee minutes, budget modification documents, correspondence
Retention and Disposition	Retain for three (3) years, then destroy after audit.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

Area Development District
 Human Resources Development
 Commodity Distribution

Record Group
Number
5150

Series	Records Title and Description	Function and Use
L4303	Commodity Program File	This record series documents the receiving and distribution of commodity food groups to those agencies applying for it. This food is distributed to the ADDs by the Federal Dept. of Agriculture and is administered state-wide by the Kentucky Department of Agriculture. The ADDs act as a broker for the state in distributing the food to agencies in the business of feeding the public, namely soup kitchens and charitable agencies.
	Access Restrictions	None
	Contents	The record series may contain the client application form, authorization form (proxy), monthly consolidated reports, distribution receiving form, bill of lading reports, USDA commodity distribution monthly reimbursement reports, correspondence with clients. State Department of Agriculture and training agendas and attendance records.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.