



County Judge/Executive

Records Retention Schedule

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



Kentucky Department for Libraries and Archives

County Judge/Executive Records Retention Schedule

This retention schedule is to be used by all County Judge/Executive offices in the Commonwealth. It lists records that are legally required for them to create and/or specific to the County Judge/Executive Office. The County Judge/Executive Records Retention Schedule should be used along with the Local Government General Records Retention Schedule, which lists those records that are common to all local government agencies, i.e. financial, personnel, payroll etc. The records retention schedule is the foundation of an effective records management program and must be used on regular basis. All retention schedules have been approved by the State Archives and Records Commission in accordance with KRS 171.410 – 740. This approval provides the legal basis for all local agencies to apply the appropriate schedule to their records management needs.

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

Agency _____

Schedule Date _____

Unit _____

Change Date _____

9/13/90
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 _____

Richard M. Udner
State Archivist and Records Administrator
Director, Public Records Division

9/12/90
Date of Approval

[Signature]
Chairman, Archives and Records Commission

9-14-90
Date of Approval

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

Gerald Thompson
Records Analyst/Regional Administrator

8/31/1990
Date of Approval

[Signature]
Appraisal Archivist

8/31/90
Date of Approval

Darrell Subhart
State/Local Records Branch Manager

8/31/1990
Date of Approval

The determination as set forth meets with my approval.

Bob Babbage by Regina Grubb
Auditor of Public Accounts

9/11/90
Date of Approval

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

COUNTY JUDGE/EXECUTIVE

Record Group
Number

Series and Description	Function and Use
L2767 Building and Electrical Inspection File (V)	Local government chief executives are required to administer and regulate the inspection and permit requirements on certain classes of buildings as set forth in the Kentucky Building Code (KBC) 815 KAR 7:10. This record series documents each applicant's (building owner's) compliance or non-compliance with the KBC and collectively the local government's administration of its designated duties. The permit forms which make up this series are standardized and are obtained from BOCA International, Inc., Inc., 4051 West Flossmoor Road, Country Club Hills, IL 60478-5795 and/or the Department of Housing, Building, and Construction as stipulated in the KBC. Certificates of Compliance from the Department of Housing, Building, and Construction in Frankfort, KY. The inspection clerk sells the permit and the file is begun under the name of the person or business being inspected. After posting the fee charged for the permit in the Cash Receipts Ledger, the permit clerk gives the person being inspected the top copy of the electrical permit. The three copies of the electrical permit serve as the file receipt. The building permit applicant gets the yellow copy (applicant's copy) and the long white (job weather card) which the applicant posts at the site of the job. (See Attachment.)
Access Restrictions	None
Contents	For the contents of the file see the attachment page.
Retention and Disposition	Retain until five (5) years after the job has been completed and the file has been audited, then destroy provided no litigation is in process.

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Series	Records Title and Description	Function and Use
L2251	Public Properties Corporation Files	This file was created to document the proceedings and business of the Public Properties Corporation. KRS 58.010 permits the fiscal court to set as a non-profit corporation in dealing with the financing of public projects. This entails the issuance of revenue bonds for these public projects such as water systems health facilities, schools, recreational and sports facilities, jails, etc. This corporation must file with the secretary of state. The proceedings are read into the minutes of the fiscal court.
	Access Restrictions	None
	Contents	This record contains copies of bond issues, minutes, supporting documents, and correspondence with state agencies. This record also contains the renewals by the secretary of state of its corporation status, which is done yearly. The supporting documents are the bond resolution, sale resolution, mortgage deed of trust, lease agreement, notice of sale of bonds, bid form, and copy of ordinance.
	Retention and Disposition	Retain until no longer needed, then destroy.
L2252	Annual Report to Secretary of State -- to Secretary of State	This report is filed with the Secretary of State in June of each year stating the correctness of the location and post-office address of its registered office and the name of its agent. This is used to verify the corporation is still in existence. This report is mandated by statute (KRS 273.367).
	Access Restrictions	None
	Contents	This record contains record number, date of incorporation, state of incorporation, process agent, exact corporate name, mailing address, date of incorporation, exact corporate name, mailing address, signature of county judge/executive, title, telephone number.
	Retention and Disposition	Retain for one (1) year, then destroy.
L2253	Official Statement of Bond Issue (V)	This record was created to furnish pertinent information to all who may become holders of its revenue bonds. This statement was issued after passage by the Fiscal Court setting as the Public Properties Corporation, and the approval by the local finance officer.
	Access Restrictions	None
	Contents	This record contains maturity schedule, interest rate, date of issue, purpose, paying agent, and such other information as the state local finance officer may require.
	Retention and Disposition	Retain the duration of the bond issue, then destroy.
L2254	Annual Inspection Instrument for Jails (V)	This report is required by KRS 441.064. This instrument is used in reporting by the Corrections Cabinet, the condition of the jail facility as well as the administration of the jail. The inspections are made biannually and this annual report is produced from those inspections. This report is then sent to the County Judge/Executive with recommendations for the correction of any things found wrong. If an order from the Cabinet is handed down, the Cabinet will set a time for compliance with the report. After compiling the report, the county judge/executive will send a letter to the Cabinet detailing what steps have been taken to alleviate the problem.
	Access Restrictions	None
	Contents	This record contains the name of the facility, address, type of facility, person in charge, date of inspection, inspector, inspector's signature, date, and the body of the report.
	Retention and Disposition	Retain until one (1) year after compliance with report, then destroy.

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Series	Records Title and Description	Function and Use
L2255	Jailer's Quarterly Report to Fiscal Court	This report is required under KRS 441.105. This report documents for fiscal court, the physical condition of the jail and any other pertinent questions the court might ask.
	Access Restrictions	None
	Contents	This record contains the date, number of jail personnel, and a listing of the needs of the jail. It is signed by the jailer.
	Retention and Disposition	Retain for one (1) year, then destroy.
L2259	Administrative Code (V)	This code is created for the purpose of incorporating the details of administrative procedures for the operation of the county. The preparation is the responsibility of the County Judge/Executive (KRS 67.710., Sec. 2).
	Access Restrictions	None
	Contents	This code must contain provisions for personnel administration, fiscal management, purchasing, and the general administration of county governments (KRS 67.715).
	Retention and Disposition	Retain permanently.
L2261	Expenditure Budget Report	This record is used to document by account the amount spent and the amount appropriated for each account. This information is maintained in the County Treasurer's Office in the Appropriation and Expenditure Ledger. This is used by the County Judge/Executive as a reference document when conducting Fiscal Court business.
	Access Restrictions	None
	Contents	This record contains the date, county, account number, description, appropriation, month to date, year to date, unexpended appropriation, current encumbered, unencumbered balance, totals of functions.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L2262	Condition of General Expense Fund Appropriation Allotments	This is a report used in the office of the county judge/executive as a reference tool in reporting to the fiscal court all funds expended and received on a monthly basis. The actual report is compiled by the county treasurer. This report documents to the county judge/executive and the fiscal court the fiscal health of the county.
	Access Restrictions	None
	Contents	This record contains the date, county, appropriation, expended funds since last report, expended to date, and unencumbered 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
L2269	Annual Financial Statement	This record is used to document the actual receipts from each county revenue source, the total encumbrances and expenditures charged against each budget fund, the unencumbered balance of the fund, and any transfers made to or from the fund for the fiscal year.
	Access Restrictions	None
	Contents	This record contains the date of the fiscal year, page number, name of county, appropriation account number, name of appropriation account, original budget appropriation, amendments, transfers, claims allowed, free balance.
	Retention and Disposition	Retain permanently.
L2273	Current Earnings/Benefit Report (V)	This record is used to compile the payroll for all county employees except those employed in the elected offices (County Clerk, Circuit Clerk, P.V.A., Jailer, and Sheriff). This record is used as a cross-reference with the County Treasurer during the audit process.
	Access Restrictions	None
	Contents	This file contains the name of employee, social security number, gross pay, withholding, net pay, and totals of payroll.
	Retention and Disposition	Retain until three (3) years after termination, then destroy after audit.
L2277	Individual Driver Questionnaire	This is a record which is used to document the driving record, restrictions, accidents, or violations of an employee. This is done for insurance purposes and is completed at the time of employment. May be in personnel file.
	Access Restrictions	None
	Contents	This record contains the name of the driver, drivers license number, driver experience, date of birth, previous employers, driving record, violations or convictions, accidents, date and signature of driver.
	Retention and Disposition	Retain until termination of employment, then destroy.
L2278	Hazardous Waste Annual Report for Small Quantity Generators	This record is used to report the generation of hazardous waste by local companies or individuals on an annual basis. This particular report is small quantity generators (100-1000 kg/month). This report is required under KRS 224.864 which reflects the federal legislation known as the 1986 Emergency Planning and Community Right-to-Know Act (Title III) (Superfund Amendments and Reauthorization Act). This report identifies waste which are regulated as hazardous in Kentucky, those which were generated and shipped to a hazardous waste treatment, storage or disposal facility. They do not provide information on hazardous materials which have not been discarded. This report can be used as a tool to plan for transportation accidents or emergency planning purposes since hazardous materials which are not wastes which will not appear on Annual Reports.
	Access Restrictions	None
	Contents	This record contains the generator, county, address, contact person, phone, waste minimization statement, certification, signature, date, primary transporter receiving facility's name, ID number, generator waste summary sheet.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L2279	Hazardous Waste Generator Annual Report	This record is used to report the generation of hazardous waste by local companies or individuals. This report covers all generators except small quantity. This report is required under KRS 224.864 which reflects the federal legislation known as the 1986 Emergency Planning and Community Right-to-Know Act (Title III). This report identifies wastes which are regulated as hazardous in Kentucky, those which were generated and shipped to a hazardous waste treatment, storage or disposal facility. They do not provide information on hazardous materials which have not been discarded. This report can be used as a tool to plan for transportation accidents or emergency planning purposes since hazardous materials which are not wastes will not appear on Annual Reports.
	Access Restrictions	None
	Contents	This record contains the generator, county, address, contact person, phone, waste minimization statement, certification, signature, date, primary transporter, receiving facility's name, ID number, generator waste summary sheet.
	Retention and Disposition	Retain for three (3) years, then destroy.
L2280	Solid Waste Plan (V)	This plan is required by KRS 224.887. The purpose of the plan is to provide for the orderly extension and improvement of a solid waste management system, to protect the public's health and the environment, and to minimize the social and economic costs associated with improper waste management practices. This KRS action was brought in 1983 to deal with the garbage and refuse problems throughout the state.
	Access Restrictions	None
	Contents	This record contains the ordinances, collection and transportation, processing, disposal, and references.
	Retention and Disposition	Retain permanently.
L2281	Civil Defense Plan	This plan is used during a disaster or attack to ensure maximum utilization of local resources to save lives and minimize property damage through a coordinated effort by the emergency response agencies of the county under the jurisdiction of the County Judge/Executive. This plan is mandated by Presidential Executive Order 11795; Governor of Kentucky Executive Orders 75-503, 81-425 and 84-534; Public Laws 81-920, 93-288, 92-385, 91-6-6, 93-24, 93-234, 94-68 and 99-499; KRS 39.400 through 39.432 and 39.99; and the national plan for Emergency Preparedness as authorized by federal law and Presidential Executive Orders and Madison County Resolution, 7/3/62 and the City of Richmond Ordinance, 8/27/56.
	Access Restrictions	None
	Contents	This record contains the authority, situations and assumptions, possible disasters, mission, direction and control of program.
	Retention and Disposition	Retain individual documents until superseded, then destroy. Retain entire plan for two (2) years, then destroy.
L2282	Petitions for Road Name Change	This record is used by the property owners abutting a county road to petition the county judge/executive to change the name of a county road. The petition must be signed by 50% of those property owners. The county judge/executive is empowered to change the name without fiscal court approval (KRS 179.330, section 2).
	Access Restrictions	None
	Contents	This record contains the date, name change, property owners signature.
	Retention and Disposition	Retain for one (1) year, then destroy.

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Series	Records Title and Description	Function and Use
L2283	Local Government Economic Assistance Fund Project File	This record is used to document each capital expenditure which shall be subject to inspection by the Department of Local Government, the Attorney General, and the Auditor of Public Accounts.
	Access Restrictions	None
	Contents	This file may contain copies of deeds, contracts, change orders and documents which shall prove that the local government complied with any and all federal and state laws and regulations pertaining to bid advertisement and award, prevailing wage, nondiscrimination, licensing and permits and other such laws and regulations applicable to the expenditure.
	Retention and Disposition	Retain until five (5) years after final expenditure, then destroy after audit.
L2284	Annual Use Report for Local Government Economic Assistance Fund	This record is used to report how the money from coal and mineral severance tax revenue which was returned to the county was spent. Under KRS 42.450-42.495 a portion of the coal and mineral severance tax revenue is returned to eligible local government. The Department of Local Government is responsible for the allocation of these funds. 30% of this returned money must be spent on local public highways over which substantial amounts of coal are transported and the remaining 70% on either public safety, environmental protection, public transportation, health, recreation, libraries, social services, financial and governmental administration, industrial and economic development, and vocational education. Coal impact counties are limited to public transportation, streets, and roads. This report must be submitted to the Department of Local Government within 60 days after the end of the fiscal year in which LGEA funds were received (200 KAR 4:005).
	Access Restrictions	None
	Contents	This record contains name of county, unappropriated finds, funds received, expenditures, total of expenditures, amount of interest earned, total receipts, certification by the county judge/executive, date submitted, and person preparing the report.
	Retention and Disposition	Retain until five (5) years after final expenditure, then destroy after audit.
L2285	Area Development District Grant Project File	This record is used to document the expenditures of monies from direct grants given by the Area Development District. The grants are given out upon a request by the local agency to the board of directors of the area development district which in turn must apply to the department of local government for the funds and they are given out to each local agency based on merit. Upon completion of the grant project a final report is submitted by the local agency. All money not expended must be returned to the State Treasurer.
	Access Restrictions	None
	Contents	This record contains all record of accounts, request for funds, final report, and any pertinent documentation concerning expenditures.
	Retention and Disposition	Retain until five (5) years after completion of project, then destroy after audit.
L2286	Monthly Report of Dog License Sold	This report is used in reporting to the Department of Agriculture, Dog Law Administration, the amount of fees collected for dog licenses for the month. Twenty-five cents is retained by the dog warden, while the remainder is sent with the report to the Livestock Fund. This report is compiled by the dog warden with a copy going to the fiscal court and county judge/executive. This report is required by KRS 258.185.
	Access Restrictions	None
	Contents	This record contains the name of county, date, name of dog warden, number of licenses sold, amount collected, number of kennel licenses sold, amount collected, total number of licenses sold, total amount collected, amount retained by warden, amount paid to livestock fund, number of dogs picked up, number dogs destroyed, signature.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L2287	Yearly Report of Dog License Sold	This record is used to document the number and amount of dog licenses sold for the year. This report is given at the fiscal court meeting and entered into the minutes. This shows the revenue the dog warden has received (.25 per license) and the amount turned over to the livestock fund. If the department of agriculture decides that the local government is in need of funds, some of this revenue may be returned to the county.
	Access Restrictions	None
	Contents	This record contains the date, number of dog licenses sold during the year, the amount of revenue generated, the amount due to the dog warden, and the amount turned over to the livestock fund. It is signed by the dog warden.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L2288	Animal Adoptions	This record is used to document that animals are given to patrons when these animals are not claimed.
	Access Restrictions	None
	Contents	This record contains the name of person getting animal, the date, any cost, and type of animal.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L2293	Proposal for Services	This record is used to submit proposals for projects which have been let by the Fiscal Court and County Judge/Executive. This used by the county government in determining whether these professional services are qualified to implement and complete the projects let by Fiscal Court.
	Access Restrictions	None
	Contents	This record contains the background information, methodology, references, project team, qualifications of the company or professional.
	Retention and Disposition	Retain unsuccessful bids until contract is let, then destroy. Retain successful bids until project is completed, then destroy.
L2294	Public Notices-Bids	This record was created to document the process of the county's advertisement of work construction, purchases, or service that is open to the bidding process. The record traces the process of all such activities from the specifications required by a county on a particular project through the job bids by private firms along with all pertinent correspondence.
	Access Restrictions	None
	Contents	This record contains the specifications, correspondence, copies of ordinances and information and reference materials. This includes exact descriptions of service or project, when and where bids are received, when the contract will be awarded, the bidders method of fulfilling the contract and, in some cases notification of the bidders success or failure to secure a contract.
	Retention and Disposition	Retain until five (5) years after completion of contract, then destroy after audit.