



Lexington/Fayette Urban County Government

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

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

Lexington/Fayette Urban County Govt

Agency

Unit

September 9, 2004

Schedule Date

February 4, 2020

Change Date

February 4, 2020

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

State Archivist and Records Administrator
Director, Archives and Records Management Division

Date of Approval

Chairman, State Libraries, Archives, and
Records Commission

Date of Approval

FEB - 4 2020

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


Records Analyst/Regional Administrator

2/4/2020
Date of Approval

Appraisal Archivist

2/4/2020
Date of Approval


State/Local Records Branch Manager

2/4/2020
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

2/4/2020
Date of Approval

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

**LOCAL AGENCY RECORDS
 RETENTION SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
 Administrative Services
 Budgeting

**Record Group
 Number**

Series	Records Title and Description	Function and Use
L4925	Record of Budget Amendments	This record series is used to document the amendments approved for the annual budget.
	Access Restrictions	None
	Contents	This record series may contain the date, signature amount and nature of amendment.
	Retention and Disposition	Retain permanently.
L5469	Budget Draft/Proposal (V)	This series serves as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until the final budget is approved.
	Access Restrictions	None
	Contents	Each fund & department's proposed budget, agency request, executive recommendations, 3 previous years' expenses, current year expenses, estimated expenses for current year
	Retention and Disposition	Retain until end of current fiscal year and audit, then destroy.
L5470	Budget Workpapers (V)	This series documents the budget process and helps in the preparation of the proposed budget for submission to the approving legislative body.
	Access Restrictions	None
	Contents	Correspondence, working budget requests, computations, previous budget totals.
	Retention and Disposition	Retain until end of current fiscal year and audit, then destroy.
L5471	Annual Approved Operating Budget (V)	This record series documents the proposed revenues and expenditures for each agency within the local government based on solid projections. This is the final product which is adopted by the legislative body through the approval process. This budget is binding for the fiscal year.
	Access Restrictions	None
	Contents	This record series contains the projected revenues and expenditures for each agency, date, narrative, reconciliation and signature.
	Retention and Disposition	Retain one copy permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Community Development

Record Group
Number

Series	Records Title and Description	Function and Use
L5625	Grant Administration Files (V)	This record series is used to document all federal and state grants managed by Community Development. The Division works with the public and private sectors in preparing grant applications for submission to state/federal agencies. The Division participates in activities related to community and economic development and administers merged government's housing rehabilitation activities through the Community Wide Housing Rehab Program (financial assistance to low to moderate income owner/occupants for the elimination of substandard housing) and the Home Housing Investment Partnership (to develop affordable housing).
	Access Restrictions	None
	Contents	This record series may contain the application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.
	Retention and Disposition	Retain until three (3) years after submission of the final report then destroy after audit.
L5626	Consolidated Plan (V)	This record series is used to serve as a planning document for the Urban County Government's participation in the U.S. Department of Housing and Urban Development's community planning and development programs. The goal of these programs is to develop urban communities by providing decent housing and a suitable living environment and to expand economic opportunities for low and moderate income persons. This plan is for the fiscal year (July 1 thru June 30) documents the federal funding acquired through Community Development Block Grants, the HOME Investment Partnerships program, the American Dream Down payment Initiative, and the Emergency Shelter Grants program.
	Access Restrictions	None
	Contents	This record series may contains what funds will be spent and how they are spent. The expenditure of funds for public improvement, public facilities, housing rehab, public services, first time homebuyer program, construction of new rental units, development of units for persons with special needs, tenant based rental assistance, homeless prevention, operational support for emergency and transitional housing, and planning and administration activities is documented.
	Retention and Disposition	Retain one copy permanently.
L5627	Chart of Accounts (V)	This record series is used to document and identify those grants that are active. It is used as a finding aid for the grant files which are listed by number. It is updated periodically with the original being held by the Division of Accounting. This is a listing of all grants for Urban County Government.
	Access Restrictions	None
	Contents	This record series contains the fund number, project name, period end date, department #, grantor agency, project manager, in house manager, report due date, comments and amount of grant.
	Retention and Disposition	Retain until updated, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Historic Preservation

Record Group
Number

Series	Records Title and Description	Function and Use
L5617	Property Survey Book	This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks. These are properties that are in the historic districts. These are surveys along with inventory sheets. They are filed by street address within the historic district file. These are used extensively for any improvements to the property and to document the history of the property.
	Access Restrictions	None
	Contents	This record series may contain the historic name, original owner, present owner, location, description, history, source of historic information, county, ADD, zoning classification, district name, status, whether on national register etc., architect who prepared the document, date completed and site plan.
	Retention and Disposition	Retain permanently.
L5618	Historic District Property File	This record series is used to document all properties in historic districts. There are fourteen designated historic districts and two historic landmarks with more than 2000 properties. These are properties that are in the historic districts. This has all the information concerning changes made over time, and the history of the property. There is a file on each property.
	Access Restrictions	None
	Contents	This record series may contain the address, name of owner, certificate of appropriateness, photos, drawings, any changes, application for changes and correspondence.
	Retention and Disposition	Retain permanently.
L5619	Demolition Documentation File	This record series is used to document a property that is to be demolished outside the historic district. This is research material to see if this property may come under the historic district designation.
	Access Restrictions	None
	Contents	This record series may contain the address, name of owner, survey information, photos, sketches of buildings, negatives and building inspection report.
	Retention and Disposition	Retain permanently.
L5620	Photographs/Slide File	This record series is used in the initial phase of surveying a property or when application is made for inclusion into an historic district. This file is linked to the property file and is used in conjunction with it.
	Access Restrictions	None
	Contents	This record series may contain the address, name of owner, survey information, photos, negatives, and link to property file.
	Retention and Disposition	Retain permanently.
L5621	106 Review File	This record series is used to document the review process designed to ensure that historic properties are considered during Federal project planning and execution. This is a determination that may result in grant money from HUD or other federal agencies. When there is possibility of damage or harm to historic districts or property by federal activities this review is done. If it is found that the property may be harmed there may be a chance of grants from HUD of other Federal agencies.
	Access Restrictions	None
	Contents	This record series may contain the address, name of owner, survey information, correspondence. There are five steps in the review process: Identification and evaluation of historic properties, assessment of effects, consultation notes.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Historic Preservation

Record Group
Number

Series	Records Title and Description	Function and Use
L5622	National Register Property Files	This record series is used to document studies made of properties that are on the National Register. These are done by consultants. These proposed properties are nominated and a process is followed to see if they meet specifications to be designated an Historic Property. There are over 3,700 properties in Lexington on the National Register.
	Access Restrictions	None
	Contents	This record series may contain the address, name of owner, survey information, correspondence, nomination, photos, history and building drawings/characteristics.
	Retention and Disposition	Retain permanently.
L5623	Local Historic District/Landmark Designation Report	This record series is used to report to the Board of Architectural Review when an area is applying to become an Historic District or if there is to be a change in an existing district. This report is issued by Historic Preservation through a consultant. This report goes through the process of being reviewed by the Planning Commission and ultimately by the Council.
	Access Restrictions	None
	Contents	This record series may contain name of consultant, history of area, properties involved, boundary information, national register information, evolution of area, drawings, areas within the district, photos, and summary information.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5473	Individual Master Earning Record (V)	This record series is used to document the total earning and withholdings of employees of the local government. This record is in electronic as well as paper format and is completed quarterly. This is the master copy of the earnings of the employees for the time they are employed by the local government. There are copies in different departments.
	Access Restrictions	None
	Contents	This record series contains the employee #, employee name, employee title or classification, address, social security #, phone #, personal information, accounting, rate & tax information, gross earnings, mandatory withholdings, voluntary deductions, hours & earnings, net earnings, pay period, date of payment, garnishment and other related information.
	Retention and Disposition	Retain until seventy (70) years from date first employed, then destroy.
L5474	Yearly Payroll Register (V)	This record series is used to document the earnings and withholdings of employees from pay period to pay period. This is a year to date accumulation of the payroll. This information is placed in the Individual Master Earning Record quarterly and this record is only used to quickly access payroll information. This record is a listing of all employees and easier to access than the Master File.
	Access Restrictions	None
	Contents	This record series contains the run date, name of employee, gross pay, withholdings, rate of pay, year to date totals, total deductions.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5475	Monthly Summary of Wages Earned	This record series documents the monthly summary of wages for local government employees contributing to the Kentucky Retirement System. Attached to the summary report is a check to cover both the employee contribution rate of 5% and the employer contribution rate of 7.95%. Unlike other wage statements submitted to state and federal agencies, this agency (Ky. Retirement System) does not require an annual reconciliation. However, the monthly summary has a listing of individual employees attached to it.
	Access Restrictions	None
	Contents	This record series contains the agency #, period covered, total wages reported, employee's installment payment, employee contributions at 5%, total of installment payment and employee contribution, employer contribution at 7.95%, grand total for installment, employee and employer contribution, plus added payment for late reporting, city name, contact person, address, and phone #, certification that persons listed in report are full-time employees, date report filed, signature of reporting official followed by a listing of employees names with social security number, gross wages previous month, gross wages current month, installment purchase previous month, and installment purchase for the current month.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5476	Payroll Register for Each Pay Period (V)	This record series is used as a reference to verify that all calculations for payroll of individuals is complete and accurate. This information is part of database that is used to complete the Individual Master Earning Record.
	Access Restrictions	None
	Contents	This record series contains the pay period ending, name of employees, gross salary, net salary, withholdings, payroll vouchers, vacation and sick leave, totals of all salaries for a single pay period.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5477	Time and Attendance Record File (V) Access Restrictions Contents	This record series is used to document the official time worked by the employees during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees. None This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5478	Individual Payroll Authority File (V) Access Restrictions Contents	This record series is used to document the authorization to produce a payroll for each employee for a given pay period. This file is used for payroll purposes only and is maintained for each employee. Included in this are all authorizations needed in order to produce the payroll. None This record series contains the W-4, K-4, date of employment, position, payrate, pay period, appropriate tax information, authorized deductions, leave requests, record of credit checks from lending institutions, record of attachments or garnishments and health and welfare claims paid and time and attendance records.
	Retention and Disposition	Retain until three (3) years after termination of employment or three (3) years after superseded, then destroy after audit.
L5479	Wage and Tax Statements/W-2 (V) Access Restrictions Contents	This record series is the annual statement of wages and taxes paid an employee for federal and state tax purposes. The Internal Revenue Service requires an employer to prepare such a statement for each employee. The employee uses the statement in the preparation of the federal and state tax return. The local government maintains a copy in its file. None This record series contains employer's I.d. number, control number, name, address, employees social security number, employee's name, address, wages and tips, federal income tax withheld, FICA, social security wages, medicare wages and tips, medicare tax withheld, social security tips, allocated tips, advance EIC payment, dependent care benefits, non-qualified plans, other, type of employee, employers state I.D. # state wages and tips, state income tax, locality name, local wages and tips, local income tax.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L5480	Tax Payment Report Worksheet Access Restrictions Contents	This record series is used to authorize the payment of all federal withholding from the bank. This is done telephonically with the actual payment sent electronically to the IRS. This takes the place of the Federal Tax Deposit Coupon Book and the written check. This is done after each pay period. Additional information is requested on this worksheet for Tax Form 720, 941, and CT-1 FTD Payment. If total deposits of income tax withheld and social security, medicare, and railroad retirement taxes are more than \$50,000 an employer must make electronic deposits for all depository tax liabilities that occur. This was started as of January 1, 1998. None This series contains the steps necessary to send in the federal withholding to the IRS. This includes the federal phone #, taxpayer I.D. #, PIN #, menu selections to initiate a tax payment, tax type #, tax payment type, tax filing period, payment amount, verification code, tax payment settlement date, acknowledgement #, settlement date.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L5481	Employee Direct Deposit Authorization Access Restrictions Contents	This record series is used by the employee to authorize the direct deposit of their paycheck in the bank by the city. None This record series contains the name of employee, name of bank, bank routing number, bank account number and signature of employee.
	Retention and Disposition	Retain until superseded or termination of employment, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5482	Transmittal Register of Direct Deposits	This record series is used to document that the direct deposit has occurred. This is routed through the automated clearing house and run each pay period. The employee receives the payroll check stub.
	Access Restrictions	None
	Contents	This record series contains the originating point, receiving point, date of transfer, time, type of service, name, entry count, amount, credits, debits, savings credits and file totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5483	Annual Return of Withheld Federal Income Tax (Form 945)	This record series is used to report income tax withheld from nonpayroll payments. This includes pension, annuities, and IRAs, military retirement, gambling winnings, indian gaming profits, voluntary withholding, and backup withholding. All income tax withholding reported on Forms 1099, 1099R, 1099 Misc, or Form W-2G are reported on this form,
	Access Restrictions	None
	Contents	This series contains the name of employer, address, I.D. #, federal income tax withheld, total taxes, total deposits, balance due, overpayment, monthly summary of federal tax liability, signature of employer and date.
	Retention and Disposition	Retain for seven (7) years, then destroy after audit.
L5484	Form 1099	This includes forms 1099-Miscellaneous and 1099-G. Form 1099 - Miscellaneous documents the income earned by vendors for supplies, service, equipment, office building rentals. City property tax and income tax and city licence refunds received by these vendors is also documented here. The IRS uses the information in these records to garnishee wages. This is a three part form. The top red copy(copy A) goes to the IRS, copy B goes to the payee and copy C is filed by the cityclerk/treasurer or finance officer in the city files Form 1099-G documents unemployment compensation and state or local income tax refunds, credits, or offsets earned by vendors of the city. The copies of the form are distributed the same as the 1099-Miscellaneous.
	Access Restrictions	None
	Contents	Form 1099-Misc contains Payer's name, street address city, state and zip, account #, 2nd TIN not., rents, royalties, prizes, award, federal income tax withheld, fishing boat proceeds, medical and health care payments, nonemployee compensation, substitute payments in lieu of dividends or interest, payee made direct sales of \$5,000 or more of consumer products to buyer for resale, crop insurance proceeds, state income tax withheld, and state/payers state number. Form 1099-G contains unemployment compensation, state or local income tax refunds, credits, or offsets, tax years, federal income tax withheld, discharge of indebtedness, taxable grants, agriculture payments, and the income from trader or business.
	Retention and Disposition	Retain for four (4) years, then destroy after audit.
L5485	Employer's Monthly Return of Income Tax Withheld	This record series documents the monthly withholding of state income tax for local government employees by the local government. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.
	Access Restrictions	None
	Contents	This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5486	Employer's Annual Return of Income Tax Withheld	This record series documents the annual withholding of state income tax from the wages of local government employees. Included on the return is an annual reconciliation for the months January to December. The return also serves as the monthly return for December. Unlike the monthly return, this document will have K-2's Employee Wage Statements attached at the time of submission, in addition, the return has the December withholding check attached to it.
	Access Restrictions	None
	Contents	This record series contains the employer name and address, period beginning, period ending, return due, account number, total number of employees this period, total withholding payments processed for the period January 1 to September 30 as of December 13, Annual Reconciliation providing total wages for the year, Kentucky Income Tax Withheld as shown on K2's, a Ky. Income tax withheld, previous adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature line, title line and date line, plus a statement of adjustments and credits, Attached to the return are the individual employee K2's (Wage Statements).
	Retention and Disposition	Retain for seven (7) years, then destroy after audit.
L5487	Employer's Quarterly Federal Income Tax Return	This record series documents the quarterly payment of federal income taxes plus Social Security and Medicare taxes paid to the IRS by a local government. Attached to the return will be a check to cover these payments.
	Access Restrictions	None
	Contents	This record series contains the federal ID #, name of local government office and local government, address, number of employees, total of wages subject to withholding plus other compensation, total income tax withheld from wages, tips, pensions, annuities, sick pay, etc., adjustment of withheld income tax for preceding quarters of the calendar year, adjusted total of income tax withheld, taxable Social Security wages and tips, taxable Medicare wages and tips, total Social Security and Medicare taxes, backup withholding, adjustment of backup withholding, total taxes, advance earned income credit made to employees, net taxes, balance due, overpayment, followed by a listing of tax liability by pay period and by months in each quarter with grand totals, plus signature line, job title and date.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L5488	Reimbursing Employer's Quarterly Unemployment Wage Report	This record series documents the quarterly payment of unemployment insurance contributions by a local government to the Division of Unemployment Insurance. At minimum the report may be one page in length but could be far longer depending upon the number of employees. A check may or may not be attached to the report depending on whether the local government decides to file it with the report or separately.
	Access Restrictions	None
	Contents	This record series contains the KY employer ID number, federal employer ID number, employee name, social security number, gross wages, total for the pages, totals for all pages, number of employees by quarter with monthly totals, previous amount due, total amount due, number of pages in the report, remittance attached yes or no, signature line, title line, address and telephone number, date.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5488	Family and Medical Leave Record File (V)	This record series is used to document those who apply for leave under the Family and Medical Leave Act (FMLA). Covered employers must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for maternity, for adoption, to care for an immediate family member, or because of a serious health condition. This file is maintained separately from other payroll and personnel records.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the application, approval or denial letter, doctor's statements, payroll information and leave records.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5649	Disability Leave Files (V)	This record series is used to document those who apply for leave because of an existing disability. This disability may have been job related or other circumstances. This is a separate file and is used as a reference when doing payroll and to denote that this is a special disability case. These applicants may apply under the Americans with Disabilities Act.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the leave request, doctor's statements, P1 to restore the time missed and employee directory information.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5650	Benefits File (V)	This record series is used to document the benefits offered by Urban County Government to the employees and the application for those benefits. This file is used to verify beneficiary changes to insurance and other plans and to document what benefits an employee has elected to take.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the application, benefits offered, copies of benefit changes and employee information.
	Retention and Disposition	Retain until three (3) years after termination of employment, then destroy.
L5654	Terminate/Warning List	This record series is used to document those employees who are scheduled to leave employment in the upcoming month. This may be those who have given notice to leave, those who are retiring or those who are terminated for other reasons. Some are on probation and will be terminated. This series is used to make the appropriate changes to the employment records.
	Access Restrictions	KRS 61.878.(1)(a)
	Contents	This record series may have the name of employee, work status, directory information, classification, date of hire and information concerning why the person is leaving.
	Retention and Disposition	Retain until one (1) year after update, then destroy.
L5655	Child Support Orders	This record series are orders issued by the court for employees to pay child support. When these orders are received the information is put into the employees record for deduction from their pay.
	Access Restrictions	None
	Contents	This record series may contain employee information, amount to be paid, when to be paid and directory information.
	Retention and Disposition	Retain until employee leaves or the order is terminated, then destroy.
L5656	Domestic Relations Report	This record series is used to document the amount of money is paid to the Division of Child Support for each employee. This is done through payroll deduction and is completed each pay period. Some of these employees are court ordered to do this and others do it as a convenience.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name of employee, directory information, amount of payment.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5657	Classification Report	This record series is used to document the exact classification of employees by Division. This is a reference in doing payroll.
	Access Restrictions	None
	Contents	This record series may contain the name of employee, division, classification #, title, hire date, employee #, account #, grade, totals of each Division and totals of all employed by Urban County Government.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5658	Garnishment Register	This record series is used to document those who have had wages garnished. The appropriate notation is made concerning the payroll deduction and where the amounts are to be forwarded. This file is updated as garnishments come and go. Used to as a reference for inquiries from the IRS and state revenue.
	Access Restrictions	None
	Contents	This record series may contain the amount of garnishment, employee's name, and time period.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5659	Employment Verification File	This record series is used to document that a person is employed by Urban County Government. There are requests from financial institutions when an employee is borrowing money and for background checks. This is only a statement that says a person actually works for Urban County Government.
	Access Restrictions	None
	Contents	This record series may contain the employee's name, salary, time employed and directory information.
	Retention and Disposition	Retain until copied to employee's payroll file, then destroy.
L5660	Payroll Edits	This record series is created to use as a double check when changes are made to employee's records. Using the P1 and other entry documents changes are made on a bi-weekly basis. This documents all adjustments and changes that may be made to an employees payroll on pay period basis.
	Access Restrictions	None
	Contents	This record series may contain the changes made, direct deposit information, w4/k4 information, new p1 information, name of employee, directory information.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5661	Vacancy Report	This record series is used to list all of the jobs that are authorized and filled at any given time. This report gives the salary and classification of each vacancy. This report is used primarily by the Director of Human Resources to keep track of vacancies. This report is by position number and does not include names.
	Access Restrictions	None
	Contents	This record series may contain classification #, position title, civil service positions and those that are deemed unclassified.
	Retention and Disposition	Retain until updated, then destroy.
L5662	Life Insurance Death Claims File (V)	This record series is used to document information that is prepared to send to the insurance company when an employee or retiree dies.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain a copy of the death certificate, beneficiary forms and application for the life insurance.
	Retention and Disposition	Retain until claim is settled, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5663	Health and Dental Claims Payment (V) Access Restrictions Contents Retention and Disposition	This record series is used to document claims made by employees for medical and dental services. This is done bi - weekly and a the claims are submitted to the appropriate insurance company. None This record series may contain invoices, proof of claims draft, claims register, and disbursement requests. It will contain the name of employee and insurance information. Retain for three (3) years, then destroy after audit.
L5664	Life Insurance Payment File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the proof of payment of the group term life insurance premium to the insurance company. This is for both current employees and retirees. None This record series may contain pay period, date, payroll reports, payments by employees, and total. Retain for three (3) years, then destroy after audit.
L5665	401K Reports Access Restrictions Contents Retention and Disposition	This record series is used to document payment into a 401K fund by employees. This report is used as a reference when inquiries are made and as proof that a payment has been made. This is done each pay period. KRS 61.878(1)(a) This record series may contain employee name, position, amount, payroll reports, check copies. Retain for one (1) year, then destroy.
L5666	Comp - Time Report Access Restrictions Contents Retention and Disposition	This record series is used to document the amount of comp time accrued by each employee. This report is only used as a quick reference. Comp time will be a part of the time and attendance record and will also be on the year end payroll register. None This record series may contain the name of employee, amount of comp time, pay period, and directory information. Retain for one (1) year, then destroy.
L5667	Bi-Weekly Absentee Report Access Restrictions Contents Retention and Disposition	This record series is used to document the absences for a pay period. This is used as a quick reference by staff when inquiries are made or there is a need to answer payroll questions. None This record series may contain the name of employee, type of absence, amount of time taken and employee information. Retain for one (1) year, then destroy.
L5668	New Hire Report Access Restrictions Contents Retention and Disposition	This record series is used to document any employees that are newly hired, rehired, or who return to work after a separation of employment. This mandated by the Social Security Act. The information that is reported is used in assisting the state in locating parents who owe child support or to identify recipients of public assistance and unemployment compensation who fail to report earnings. This report must be submitted no later than 20 days after an employee is hired, or returns. This report is transmitted electronically. KRS 61.878(1)(a) This record series may contain the employee's name, address, SS#, employer's name, payroll address, federal id #, date of hire, date of birth, and other information. Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Payroll and Benefits

Record Group
Number

Series	Records Title and Description	Function and Use
L5763	Leave Requests	This record series is used to document requests for leave by urban county government employees. This information may be forwarded to the payroll section which will use it to compile attendance.
	Access Restrictions	None
	Contents	Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L5489	<p>Personnel File (V)</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>This record series is used to document an individual's employment with the 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.</p>
L5490	<p>Personnel Medical File</p> <p>Access Restrictions None</p> <p>Contents This record series contains physical examinations, drug testing results, psychological profiles, and health information concerning the ability to do the work.</p> <p>Retention and Disposition Maintain while individual employed; after termination of employment place in the Personnel File.</p>	<p>This record series is used to document the physical condition of an employee when first hired and for subsequent medical related information. Used to document physicals taken by employees such as police, firemen, and others. This may include drug testing and screening, psychological profiles and CDL physical. These include blood test results as well. The volume and use of these records varies from local government to local government.</p>
L5491	<p>Personnel Training Program File (Human Resources)</p> <p>Access Restrictions KRS 61.878 (1)(a)</p> <p>Contents This record series contains the employee agreement, grades, certificates of completion, and requests and approval for training.</p> <p>Retention and Disposition Retain until three (3) years from the date of creation of the record or after litigation resolved, whichever is later (29 CFR 1602.30-31), then destroy.</p>	<p>This record series is used to document mandatory as well as voluntary training for employees. This may be for classes taken at a college or technical school or training given as part of the job description. This file also documents requests for training and approvals and payments for the training. This training also can be given in-house or by state agencies such as the Department for Local Government. There are mandatory training courses for the policemen and firemen. Used especially when litigation may be brought by an employee for some sort of discrimination.</p>
L5492	<p>Hiring Procedures File</p> <p>Access Restrictions KRS 61.878 (k)(3)</p> <p>Contents This record series contains the name of person, address, social security #, previous employer, reference confirmation, test scores, hiring information.</p> <p>Retention and Disposition Retain until three (3) years from the date of creation of the record or after litigation resolved, whichever is later (29 CFR 1602.30-31), then destroy.</p>	<p>This record series is used to document information that is used in reporting to Equal Employment Opportunity Commission (EEOC). This is primarily for compliance with affirmative action guidelines. This sets out the groups of persons protected and letters received for testing and that positions have been filled according to EEOC guidelines. This file also may have police reports for individuals seeking employment.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L5493	Applications - Persons Not Hired	This record series is used to document those applicants who have applied for positions but not hired. It is used as a reference for possible filling of positions in the future.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the applicant name, address, telephone, social security #, questions about past employment, visa or immigration status, work availability, education, references, specialized skills, military service and signature.
	Retention and Disposition	Retain for two (2) years or until after close of litigation whichever is later, then destroy.
L5494	Civil Service Exam File	This record series is used to document the exams taken by persons to fill positions. These must be advertised in the local paper. These tests are rented from the Internal Personnel Management Association and are returned to them along with the answer key. These tests are given only when there is a position to fill.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the list of applicants, applications, resumes, test, eligibility list, results, tear sheets and related correspondence.
	Retention and Disposition	Retain until three (3) years from the date of creation of the record or until the litigation is resolved, whichever comes later (29 CFR 1602.30-31), then destroy.
L5495	Workers' Compensation File (V)	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	Retention and Disposition	Retain for five (5) years, then destroy after claim is settled.
L5496	Position Classification Documents File (V)	This record series is used to document each job classification and the requirements needed to hold a particular position. Used in the hiring of persons to fill positions.
	Access Restrictions	None
	Contents	This record series contains the title of each job classification, qualifications, minium requirements, educaitonal requirements, type of testing needed and certifications requested.
	Retention and Disposition	Retain one (1) copy of each position classification permanently.
L5872	Employee Grievance File	This record series is used to document grievances by employees concerning violations, misapplication or misinterpretation of specific provisions of employee/employer agreements. A grievance is a complaint filed by an employee which concerns some aspect of the conditions of employment over which the local government has control and which has occurred or which the employee has become aware, through the exercise of due diligence. Grievances may be channeled through the supervisory chain . This record series also includes EEO complaints which may be appealed to the State Personnel Board.
	Access Restrictions	None
	Contents	This record series may contain the written complaint, conference summary, administrative decision, date , name, address, job title, investigative documents, exhibits, related correspondence, withdrawal notices and decisions.
	Retention and Disposition	Retain original until three (3) years after resolution, then destroy. Retain duplicate files until after resolution, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Human Resources
Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L6297	Sworn Personnel Promotional Process File	This record series is used to document the promotional process for sworn personnel which includes police, fire and emergency personnel and community corrections.
	Access Restrictions	KRS 61.878 (1)a
	Contents	This record series may contain applications, eligibility tests, position interest form, examinations, oral interview scores, confidentiality agreement, training record, diplomas and record check.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6383	Unemployment Insurance Claim File Change Date: 12/9/2010	This record series is used to document those claims made by Urban County Government former employees who qualify for unemployment benefits. They must have worked at least the first four out of the last five completed calendar quarters prior to the time that your claim is filed. They must have been determined to be unemployed through no fault of their own. As used Kentucky Revised Statutes 341.05 thru 341.990,"employing unit" means state or any department, division, administrative unit, political subdivision or municipality thereof, which has or subsequent to January 1, 1936, had one (1) or more workers performing services for it within this state, or one (1) or more workers performing services for it in covered employment in any state, or any successor to any employing unit defined in this subsection.
	Access Restrictions	KRS 341.190(3)(a)
	Contents	This record series may include the notice of claim, employment verification, fact finding report, notice of decision, referee hearing notice, referee decision, correspondence and other information pertaining to the claim.
	Retention and Disposition	Retain for five (5) years, then destroy after case closure and audit.
L6649	Civil Service Commission Case Files	This record series is used to document Civil Service Commission rulings on disciplinary actions involving employees of Urban County Government.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain copies of disciplinary actions, charges of dismissal, opinion and order, date, name, address, job title, investigative documents, exhibits, correspondence, subpoenas, attorney letter of introduction, photographs and hearing tapes/recordings.
	Retention and Disposition	Retain until five (5) years after case has been resolved or closed, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Planning

Record Group
Number

Series	Records Title and Description	Function and Use
L5500	Comprehensive Plan and Adjustments	This record series is used to document plans for the future growth and development of a community or county. The comprehensive plan covers all geographic parts of local governments and all aspects that affect physical development. The plan is considered a summary of policy and procedure and is not necessarily a mandate that all of the plans be carried out. It strives to present a 20 year vision of the future for the local government and what steps it will take to make that vision happen. It is required by KRS 100.183.
	Access Restrictions	None
	Contents	Introduction, Base Study, Issue Analysis, Goals & Objectives, Land Use Plan, Transportation Plan, Community Facilities Plan, Implementation.
	Retention and Disposition	Retain one copy permanently.
L5501	Subdivision Regulations (V)	This record series documents requirements for the subdivision of land for industrial use, commercial use, farms into tracts for residential use. These regulations are usually compiled with the assistance of the Area Development Districts or it can be a solo effort on the part of a planning and zoning commission and the legislative body.
	Access Restrictions	None
	Contents	Definitions, purpose statements, subdivision classes, requirements for plat submission, design standards, physical improvements, general provisions
	Retention and Disposition	Retain one copy permanently.
L5502	Site Development Plan File (V)	This record series documents the application with zoning boards or commissions for permission to construct a multi-family dwelling, a commercial building, an apartment complex, or any other structure that is under the jurisdiction of this governing body. The developer is required to submit a plan indicating all physical information regarding his intentions to develop. The board is then responsible for deciding if all zoning requirements are adequately met within the submitted plan. After the project is completed, this information is used as reference and/or for historical purposes only.
	Access Restrictions	None
	Contents	Date, name of developer or development company name and address, architectural or engineering drawings and plans, other required plan information
	Retention and Disposition	Retain permanently.
L5503	Master Map (V)	This record series is used to document the zoning designation for all areas within a zoning board or commission jurisdiction. It also provides the geographic dimensions of each particular zone.
	Access Restrictions	None
	Contents	Date, legend, zone specifications, geographic detail of each zone
	Retention and Disposition	Retain one copy permanently.
L5504	Maps, Plats, Plans and Drawings File (Planning & Zoning) (V)	This record series documents the planning and zoning areas within the city and may be preliminary maps and plats of all zoning and may also be maps of certain areas within the city. These are used in the zoning and building process.
	Access Restrictions	None
	Contents	This series may contain the preliminary maps, plats, plans and drawings. Also may include the final zoning of distinct areas within the city. Includes the date, names and areas.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Planning

Record Group
Number

Series	Records Title and Description	Function and Use
L6899	Zoning Violation File	This record series documents investigations and notices issued for violations of zoning use. If not remedied, violations may result in legal action and thus become part of a litigation file.
	Access Restrictions	None
	Contents	This record series may contain: Address of violator, name of owner, date of violation, photos, explanation of violation, the amount of time to remedy the violation, instructions for verification that the violation has been fixed and related documents.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6900	Zoning Compliance File	This record series documents compliance with zoning requirements. All zoning variances such as conditional use and/or dimensional restrictions are approved or denied by the Board of Adjustment. An approval allows the applicant to obtain a building permit and/or a Certificate of Occupancy.
	Access Restrictions	None
	Contents	This record series may contain: Permits, zoning letters, photographs, blueprints, plans, permit applications, previous building permits, copies of Board Minutes, zoning codes, Board referrals, land use restrictions and related documents.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Purchase of Development Rights Program (PDR)

Record Group
Number

Series	Records Title and Description	Function and Use
L5628	Appraiser File	This record series is used to document those persons who contract with the Rural Land Management as appraisers in the process of determining the value of land. These persons apply to be on the list and must submit qualifications. They must be a licensed real estate appraiser who is qualified to appraise property for easement purchase. A file is maintained on each appraiser. Payroll information is maintained by the Division of Human Resources.
	Access Restrictions	None
	Contents	This record series may contain qualifications, request for qualifications, hiring information, pay, name, address, phone, email and copy contract.
	Retention and Disposition	Retain until no longer useful, then destroy.
L5629	Appraisals (V)	This record series is used to document the appraisal for a conservation easement completed by a qualified appraiser. If the rural land staff and the landowner reach an agreement as to the terms of the proposed deed of easement this appraisal is completed. The cost is paid by the Rural Land Board. The appraisal is completed and a copy is sent to the landowner with a letter advising that within 30 days the landowner must agree with the appraisal, withdraw the application or get an independent appraisal.
	Access Restrictions	None
	Contents	This record series may contain a legal description of the land, description of improvements, photos of the land, sketch of the parcel of land, public or private land use restrictions, analysis of the best use of the land, valuation methodology used to determine value, market value, the conservation easement value of the land, and the value of the buildings on the land.
	Retention and Disposition	If a conservation easement is purchased retain permanently. If no conservation easement is purchased, retain two (2) years then destroy.
L5630	Farm Application File (V)	This record series is used to document the owners of farms who are offering to sell to the Rural Land Board or the Lexington/Fayette Urban County Government a conservation easement in eligible land. In order for the application for a conservation easement to be considered it must meet certain criteria. 1)The applicant must have good, marketable, fee simple title 2) the land must be located entirely within either the core agricultural and rural land category (CARL) or the natural areas category (NAT) land use categories 3) any non-conforming or non-agricultural use shall be excluded 4) must be at least 20 acres 4) landowners must agree for the duration of the easement to maintain a land conservation plan and/or forest stewardship plan. These applications are reviewed by the rural land staff and ranked according to certain criteria. If an offer is made by LFUCG the owner may accept or refuse. If the owner refuses the offer the application file becomes inactive. If the owner accepts the offer the easement is purchased and a deed is executed by the landowner.
	Access Restrictions	None
	Contents	This records series may contain name of owner, address, contact information, property information including location, if there are multiple tracts, deed information, conservation easement information, map of property, description of agricultural production, statement by the landowner of any contingencies which may effect the property such as health, financial stress etc., statement by the landowner agreeing to allow inspection and appraisal of the land, list of encumbrances, existence of any surface or mineral leases, and filing fee.
	Retention and Disposition	Retain purchased files permanently. Retain inactive files for five (5) years, then destroy.
L5631	Farm Application File (Rejected)	This record series is used to document that an application has been submitted by a landowner for the purpose of offering to sell an PDR easement to urban county government. There are certain criteria that must be met in order to qualify and if they aren't the application is rejected.
	Access Restrictions	None
	Contents	This record series may contain the owners directory information, land information, plans.
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Claims

Record Group
Number

Series	Records Title and Description	Function and Use
L5585	Workers' Compensation File (V)	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	Retention and Disposition	Retain for five (5) years, then destroy after claim settled.
L5586	General Liability Claims (V)	This record series is used to document those claims by a third party against the Urban County Government or its employees and should be reported to Risk Management Claims within three working days of notice to the Division. This may be any claim other than the ones listed that are brought by a third party, including those involving government employees.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the injury/complaint report, medical determinations, summary of claim, police report if necessary.
	Retention and Disposition	Retain until five (5) years after claim is settled, then destroy. For a minor, retain until he/she reaches twenty-three (23) years of age, then destroy.
L5587	Auto Liability Claims (V)	This record series is used to document claims where an Urban County Government vehicle has damaged or injured a third party and should be reported within three days to Risk Management by the employee.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the injury report, medical determinations, summary of claim, type of damage or injury, date, time, police report, if needed, and other supporting documents.
	Retention and Disposition	Retain until five (5) years after claim is settled, then destroy. For a minor, retain until he/she reaches twenty-three (23) years of age, then destroy.
L5588	Auto Physical Damage Claims (V)	This record series is used to document claims where an Urban County Government vehicle has been damaged and should be reported within three days to Risk Management by the employee. These are claims where third parties are not involved.
	Access Restrictions	None
	Contents	This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5589	Property Damage Claim File (V)	This record series is used to document claims where an Urban County Government vehicle has been damaged or has damaged property and should be reported within three days to Risk Management by the employee. This is a demand for payment for insured loss to physical property, independent of liability or bodily injury.
	Access Restrictions	None
	Contents	This record series contains the , summary of claim, type of damage, date, time, police report, if needed, and other supporting documents.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Claims

Record Group
Number

Series	Records Title and Description	Function and Use
L5590	Accident Review Committee Report (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the reviews of accidents that may be in question. This committee, which is made up of Risk Management personnel, with input from the Law Department determines fault issues and what procedures should be taken in particular accidents. This committee meets as needed. This report is made to the Division Director. None This record series contains the issues involved, summary of claim, type of damage, date, time, police report, if needed, recommendations and other supporting documents. Retain for two (2) years, then destroy.
L5591	Third Party Administrator (TPA) Contracts (V) Access Restrictions Contents Retention and Disposition	This record series is used to document an agreement between Lexington Fayette Urban County Government and a third party, which is an outside agency or individual responsible for claims adjustment and administration for the self insured government. Urban county government has contracted with two TPAs, one for worker's comp. and one for auto and general liability claims. None This record series may contain the name of the third party, name of insured party, agreement details and duration of agreement. Retain until three (3) years after termination of agreement, then destroy.
L5592	Claim File Audits and Responses Access Restrictions Contents Retention and Disposition	This record series is used as quality control to make sure that all claims are maintained and serviced according to best practices. This is done annually and is only used by Risk Management to police themselves. None This record series may contain a general overview of the claims, how they were handled, who was responsible for the audit, and the responses made. Retain for three (3) years, then destroy.
L5808	Insurance Policy File (Property and Casualty) (V) Access Restrictions Contents Retention and Disposition	This series documents a contract between LFUCG and an insurance company whereby for a stipulated consideration, the company agrees to compensate the other for loss against a specified action or event. According to KRS 413.120 actions taken against the provisions of the policy must be made within a 5 year period. These are primarily property and casualty policies. None This record series contains th policy, correspondence, supportive claim documents. Retain until five (5) years after cancellation or expiration, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Safety and Health

Record Group
Number

Series	Records Title and Description	Function and Use
L5593	Training Records (Employees)	This record series is used to document training given to employees from the first time employed and throughout their employment. This training is stressed by OSHA and should be done to outline all contingencies that may occur in a work environment. These training procedures are defined for the areas of employee orientation, blood borne pathogens, infectious disease, confined spaces, lockout/tagout, hazard communication and hot work permit.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series may contain the training procedures, name of employee, training, date, time, and supporting documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5594	Occupational Safety & Health Administration (OSHA) Logs	This record series is used to document work related injuries and illnesses and is mandated by the U.S. Department of labor. This is to be maintained by all Divisions in Urban County Governments. All work related injuries or illnesses are documented.
	Access Restrictions	None
	Contents	This record series may contain the case number, employee name, job title, date of injury or onset of illness, where the event occurred, description of illness or injury, classification of the case, number of days on the job or away from work, establishment name, date and city.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5595	OSHA Inspections & Investigations	This record series is used to document OSHA inspections of facilities and if there are special investigations into possible safety violations the documentation is in this file.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, overall evaluation, violations, conclusions of investigations, remedies, deadlines and signature of inspector.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5596	OSHA Surveys	This record series is used to document routine surveys taken to satisfy OSHA requirements. This may be for special injury or illness causing problems such as workplace hazards or air contaminations. These are conducted by Urban County Government at the request of OSHA.
	Access Restrictions	None
	Contents	This record series may contain the date, time, overall evaluation, description of survey, where surveyed and by whom.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5597	Job Hazard Analysis File	This record series is used to document that there has been an inspection of an area looking for possible hazards that may result in injury of health. This is a summary of information received from different areas in Urban County Government. This is mandated by OSHA and is done annually.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, listing of hazards and what was done to remedy.
	Retention and Disposition	Retain until updated or no longer applicable, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Safety and Health

Record Group
Number

Series	Records Title and Description	Function and Use
L5598	Personnel Protective Equipment File	This record series is used to document the protective equipment that certain employees have to use in their jobs such as construction, fire, ems etc. This updated periodically to make sure all are in compliance with OSHA standards.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	Retention and Disposition	Retain until updated or no longer applicable, then destroy.
L5599	Loss Prevention Surveys, Audits, Evaluations and Inspections File	This record series is used to document the a physical plant audit of a facility for the purpose of fire protection. This would include the checking of fire extinguishing equipment and anything that is involved in fire protection.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5600	Divisional Safety Inspections	This record series is used to document that there has been an inspection of areas for all safety issues. This is done on the division level periodically to make sure they are compliant with those safety guidelines issued by Risk Management.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, and any safety areas that are not in compliance.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5601	Asbestos Exposure File	This record series is used to document personnel who have been exposed to possible high levels of asbestos. Usually the exposure to asbestos is at the time the abatement team is cleaning out asbestos in government owned buildings. It may take a long period of time (estimated by OSHA to be 25 to 30 years) for the contamination to have an adverse on ones health.
	Access Restrictions	None
	Contents	This record series may contain the date, time, hazard exposed to , duration and where it happened.
	Retention and Disposition	Retain until thirty (30) years after termination of employment, then destroy.
L5602	Sampling and Testing File	This record series is used to document that there has been testing and sampling of areas in the government buildings. The sampling and testing is initially done by the Division of Building Maintenance and Construction staff. They are responsible for asbestos abatement and when this is done in an area the sampling and testing information is forwarded to Risk Management. When all the government buildings were initially checked in 1988 to see if there was asbestos contamination, samples were taken and areas disiganated as being contaminated. All of the areas showing high levels of asbestos were abated. When property is acquired samples are taken and tested. The findings of the Division of Building Maintenance is often cross checked by Risk Management. The areas are spot checked to see if they are within safety limits. This testing and sampling is also done for radon, particulates.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	Retention and Disposition	Retain until thirty (30) years after building demolished or asbestos abatement, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Safety and Health

Record Group
Number

Series	Records Title and Description	Function and Use
L5603	Noise Exposure File	This record series is used to document exposure to unhealthy level of noise as determined by OSHA. When there is a complaint that there is excess noise in the workplace, measurements are taken and charts supplied by OSHA are used to determine if levels are harmful. If it is determined to be a health risk it must be remedied.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	Retention and Disposition	Retain until two (2) years after termination of employment, then destroy.
L5604	Toxic or Flammable Gases/Vapor Sampling and Monitoring File	This record series is used to document that continuous testing of areas for any toxic or flammable gases. These do not have chronic consequences as determined by OSHA.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings and area taken.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5605	Indoor Air Quality File	This record series is used to respond to complaints from workers in areas where there may be a problem with the air. This involves the testing for CO2, humidity, temperature, and mold.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings and area taken.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L5606	Ergonomic Evaluation File	This record series is used to respond to complaints from workers in areas where there may be a ergonomic problem. The situation is surveyed and recommendations are made. This record is used when claims are made by employees that because of their work they have sustained back, wrist, or other physical chronic ailments.
	Access Restrictions	None
	Contents	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L5607	Job Site Inspections and Audits	This record series is used to document overall inspections of job sites. These are done periodically and may result in action being taken. This is done as a preventive measure.
	Access Restrictions	None
	Contents	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5608	Facility/Site Records	This record series is used to document all Urban County Government facilities and sites and possible environmental problems. These are layouts of these facilities and the history of problems or improvements made. These are essentially facility files which contain the environmental history of that facility.
	Access Restrictions	None
	Contents	This record series may contain the name of facility, address, function, drawings, any complaints registered, environmental work completed, and issues concerning air quality and work environment.
	Retention and Disposition	Retain Permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Risk Management
Safety and Health

Record Group
Number

Series	Records Title and Description	Function and Use
L5609	Environmental Training Records	This record series is used to document the training given by the Safety and Health section to offices throughout Lexington/Fayette Urban County Government. This training is done to inform and to provide guidance in sound environmental best practices.
	Access Restrictions	None
	Contents	This record series may contain the name of training, date given, audience and certification.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L5610	Federal Energy Efficiency Partnerships	This record series is used to document those federal programs that promote energy proficiency. They include the Energy Star Partnership which is a program managed by the EPA and Dept. of Energy. It is a labeling program designed to identify and promote energy efficient products, in order to reduce carbon dioxide emissions. Also the Rebuild America Partnership which is a US Dept of Energy program to build partnerships among communities, states and the private sector to improve building performance.
	Access Restrictions	None
	Contents	This record series may contain the procedures, agreement, federal guidelines and assistance, correspondence and informational material.
	Retention and Disposition	Retain until new agreement is initiated, then destroy.
L5611	Government Wide Environmental Initiatives	This record series is used to document those government wide programs that promote better environmental policies with the private sector. These include recycling and the universal waste program. The records are maintained by Risk Management for informational purposes and to document all policies and procedures.
	Access Restrictions	None
	Contents	This record series may contain the procedures, periodic reports, program initiatives, and those who participate.
	Retention and Disposition	Retain until no longer useful, then destroy.
L5612	Petroleum Underground Storage Tanks (UST)	This record series is used to document the Urban County government's underground storage tanks for hazardous chemicals. This is the registration file and is used to document any changes in the facility. This also documents what type of chemicals are stored and the maintenance on those facilities.
	Access Restrictions	None
	Contents	This record may contain the address, capacity, registration with the state, type of chemical, and maintenance.
	Retention and Disposition	Retain until three (3) years after tank is removed, then destroy.
L5613	Tier II Emergency and Hazardous Chemical Inventory Submittals (Community Right to Know)	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	Access Restrictions	None
	Contents	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
 Administrative Services
 Risk Management
 Safety and Health

Record Group
Number

Series	Records Title and Description	Function and Use
L5614	Hazardous Materials Exposure File	This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.
	Access Restrictions	None
	Contents	This record series contains date of exposure, amount, time, type of exposure and actions taken.
	Retention and Disposition	Retain for thirty (30) years, then destroy.
L5615	Material Safety Data Sheets (MSDS)	This record is used to document that a data sheet has been submitted for each hazardous chemical received by employers and must maintain it on file. These must be readily available to the employees. This record documents where the chemicals are used and where they were used and for how long.
	Access Restrictions	None
	Contents	This record series contains name of employer, address, chemical, quantity, summary of use, where they were used, date, and certification.
	Retention and Disposition	Retain for thirty (30) years, then destroy.
L5616	Occupational Safety & Health Administration (OSHA) Annual Summary	This record series is completed annually to report to OSHA the number of cases, number of days away from work, and the injury and illness involved. This is a statistical report and must be completed and signed.
	Access Restrictions	None
	Contents	This record series may contain the number of cases, total number of deaths, number of days missed, injuries, skin disorders, respiratory conditions, poisonings, facility info, employment information and a certification.
	Retention and Disposition	Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Administrative Services
Tenant Services and Housing Counseling Office

Record Group
Number

Series	Records Title and Description	Function and Use
L5632	Client Files	<p>This record series is used to document those who apply for the services provided by this office. This agency provides counseling referrals and information concerning housing. The agency acts as an advocacy center for low to moderate income individuals who experience a range of housing problems including issues of quality of housing, affordability, legality and discrimination. This office has been a HUD certified comprehensive housing counseling agency since 1989. The main types of service provided are: 1) Renter/tenant assistance, finding re-location housing or temporary housing, homeless prevention, emergency resources for rent, utilities, security deposits, food, furniture and money management counseling. 2) Tenant/Landlord Counseling 3) Lawyer services for notices to vacate, evictions, representation in court, appeals and landlord-tenant mediation 4) Homeowners assistance with mortgage default, foreclosure prevention counseling, pre-homeownership counseling, and home equity conversion mortgage.</p> <p>Access Restrictions KRS 61.878 (1)(a)</p> <p>Contents This record series may contain name of client, address, correspondence, medical statement, confidentiality statement, social security number, banking information, land ownership documentation.</p> <p>Retention and Disposition Retain for four (4) years, then destroy.</p>
L5633	Client Index (V)	<p>This record series is used as a finding aid for the clients that are actively being served by the office. This file is both in a card index and in electronic form. This is not only used as a finding aid but as a quick reference for information concerning a client.</p> <p>Access Restrictions KRS 61.878 (1)(a)</p> <p>Contents This record series may contain the name of the client, address, social security number, location in file, type of service, list of visits, intake data, income.</p> <p>Retention and Disposition Delete client name when client file is destroyed.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Citizens' Advocate Office

Record Group
Number

Series	Records Title and Description	Function and Use
L5635	Complaint Case File	This record series is used to document concerns of citizens. This office acts as an ombudsman or independent agent to investigate citizens' complaints, discloses any irregularities or abuses by urban county government or its employees, recommends policy changes to improve access to urban county government offices, suggests ways to strengthen the government system and provides callers with information and referrals. Citizens contact the office and a file is kept on each of these.
	Access Restrictions	None
	Contents	This record series may contain correspondence, time/date complaint received, citizen name, nature of complaint or request and steps taken by the office to answer the complaint.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5636	Index to Complaint Case File (V)	This record series is used as a finding aid for the complaint case files. Each citizen call or correspondence is given a number which corresponds to the name.
	Access Restrictions	None
	Contents	This record series may contain name of citizen, number of file and summary of the complaint.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5446	<p>Annual Reports of Departments, Divisions or Offices (V)</p> <p>Access Restrictions None</p> <p>Contents Annual compilation of department activities and statistics.</p> <p>Retention and Disposition Retain Permanently.</p>	<p>This series documents the administrative and fiscal history of each department, division, office or agency within the local government for the business year. These may be presented to the legislative body as the annual report or presented to the official office of record.</p>
L5447	<p>Periodic Reports of Departments, Divisions and Offices</p> <p>Access Restrictions None</p> <p>Contents Date, narrative, statistics, signature of department head, cover letter</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This series documents monthly, quarterly administrative and/or economic activity for each department, division or office. These report the activities for the period indicated and are used for the purpose of tracking the work completed during that period. These reports may be routed to the executive branch, legislative branch, department head or division head and are used to produce the annual report.</p>
L5448	<p>Agendas/Meeting Notices</p> <p>Access Restrictions None</p> <p>Contents This record series may include the date and time and the subjects to be addressed.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	<p>This record series is used to document that those members and other interested parties have been notified and sent what items would be addressed at a meeting of the legislative body.</p>
L5449	<p>Official Correspondence</p> <p>Access Restrictions None</p> <p>Contents This series may contain memos, letters, policy statements, surveys and other communication between the agency head and others. This may be in paper or electronic form.</p> <p>Retention and Disposition Retain Permanently.</p>	<p>This record series documents the major activities, functions, events and programs of a local government and in addition helps in the establishment of an administrative history. It provides a record of policy evolution and formulation, how and why decisions are made, and how these decisions impacted the local government and the public at large. This series is usually created by the chief administrative officer of the local government and also by administrative heads of official departments, commissions, boards and agencies within the local government.</p>
L5450	<p>Routine Correspondence</p> <p>Access Restrictions None</p> <p>Contents Incoming and outgoing correspondence of a non-policy nature without permanent value. May include: form letters, notice of meetings, intra-office memorandums, and duplicates of other correspondence, when the duplicates are made for reference purposes only.</p> <p>Retention and Disposition Retain for two (2) years, then destroy.</p>	<p>This correspondence is not crucial to the preservation of the administrative history of the agency. It is a non-policy nature and without permanent value. It deals only with general and routine operations of the office. The official operations are documented by other records maintained by the agency.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5451	Informational and Reference Material	Reference and informational materials are published and unpublished aids often not prepared by the urban county government itself, often of professional or technical nature, used in the official business of the local government and the agencies within the government. This includes material used in the professional enhancement of its employees. They may be destroyed when they become obsolete or are no longer of use to the various offices within urban county government.
	Access Restrictions	None
	Contents	Published and unpublished aids used in the conduct of the agency's business or the professional enhancement of its employees. Some examples may be magazines, publications or items distributed by professional organizations and catalogs used in the purchase of equipment.
	Retention and Disposition	Retain until obsolete or no longer useful, then destroy.
L5452	Publications Created by Urban County Government	This record series is created and published by urban county government. These may be in the form of surveys, informational material for the public, promotional material (tourism), statistical reports, periodicals and plans.
	Access Restrictions	None
	Contents	This record series may contain all published material produced by a local government.
	Retention and Disposition	Retain one (1) copy permanently.
L5453	Minutes of Official Meetings (V)	As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be open to public inspection at reasonable times no later than immediately following the next meeting of the body.
	Access Restrictions	None
	Contents	Date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.
	Retention and Disposition	Retain permanently.
L5454	Policies and Procedures (Manuals or Memorandums) (V)	This record series is used to document all policies and procedures regulating the internal administrative functions of urban county government. It is updated to reflect changes in administrative regulations, policies, procedures and state, federal or local mandates. This series provides an official operating policy while active and also reflects the history of urban county government.
	Access Restrictions	None
	Contents	This record series contains purchasing and procurement policies, internal roles, cost allocation policy, personnel policies and procedures, travel policy, meeting expense policies, investment policy, open records policy, retention schedule, and federal and state mandates.
	Retention and Disposition	Retain one (1) copy permanently.
L5455	Annual Policy Guidelines (V)	This series documents the policies and procedures for the administration of day-to-day business. This is reviewed annually and there may be updates and there may be nothing done.
	Access Restrictions	None
	Contents	Date, policy statement narratives
	Retention and Disposition	Retain one (1) copy permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5456	Open Records Register (V) Access Restrictions Contents Retention and Disposition	This series documents requests for information desired by the public or press and available through the Open Records Law. None Date of request, requesting party name, brief description of information wanted, disposition, disposition date Retain for five (5) years, then destroy.
L5457	Open Records Request for Inspection/Disposition Record (V) Access Restrictions Contents Retention and Disposition	This series documents requests for information from the public, press, or other governing agency. It is a joint form that also documents approval and/or denial of information and supporting documentation. None Date of request, requesting party name, information requested, copies needed or only viewing, disposition, supporting documentation for decision Retain for one (1) year, then destroy.
L5459	Itineraries/Schedules of Meetings Access Restrictions Contents Retention and Disposition	This record series is used to document the time and place of meetings and the agendas for those meetings. None This record series may include the time, date, place of meeting and the subjects to be covered. Retain for one (1) year, then destroy.
L5460	Department for Libraries and Archives Records File Access Restrictions Contents Retention and Disposition	This record series is used to document the official relationship with the Department for Libraries and Archives concerning records retention, records disposal, records transfers, records surveys and microfilm evaluation. None This record series may contain the signed records destruction certificate, signed records transmittal form, completed records survey and microfilm quality evaluation. Retain permanently.
L5461	Press Releases Access Restrictions Contents Retention and Disposition	This press release is used to inform the public about the activities and programs of the local government and it's agencies. They may be concerning a single item or may be general in nature. They may be promotional or information-seeking. None A narrative of time, place, event, activity, item being publicized, information sought, etc. Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5462	Telephone Record/Log	This record series is used to document all outgoing and incoming calls and may be used to disburse telephone expenses to other local government agencies. This file may include the extension detail and summary reports for outgoing calls and a daily listing and recap of incoming calls. In some instances this record series is used only for reference.
	Access Restrictions	None
	Contents	This record series may contain: Date, Time, Name, Division, Extension, Date, Time, Duration, Charge, Number Called, Local or Long Distance, Place. Extension Summary Report by Division contains: Date, Time, Name, Report Period, Division, Extension, Name, Total Cost, Fixed Cost, Local Cost, Long Distance Cost, Out duration hrs./min.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5464	Plans, Drawings and Blueprints (V)	This record is used to document all infrastructure construction and improvements done within the local government. They are used as a reference when there is a need for information concerning buildings and projects which are still current. They also may give a structural history of the local government.
	Access Restrictions	None
	Contents	This record contains drawings, name of architect, date of drawing, name of project or structure.
	Retention and Disposition	Retain permanently.
L5466	Vehicle Maintenance Record File	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning local government vehicles.
	Access Restrictions	None
	Contents	This record contains the name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5467	Duplicate "Copy of Record"	This record series is created/reproduced/copied for administrative convenience and distributed throughout the local government, department or agency. These are excess copies that are not recognized as the copy of record.
	Access Restrictions	None
	Contents	This record series may contain duplicates of the copy of record regardless of the format (paper, microfilm or electronic).
	Retention and Disposition	Retain until no longer useful, then destroy.
L5468	Surveillance Video/Audio Recordings	This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws.
	Access Restrictions	None
	Contents	Video of a certain area of the facility or the outside of the facility.
	Retention and Disposition	Retain for thirty (30) days, then destroy or re-use if no litigation is pending.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5553	Daily Calendars	This record series documents the activities of persons on a daily basis. This is used extensively while active. May be useful as a reference
	Access Restrictions	None
	Contents	This record series may contain the date, time and activity.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5554	Work Orders	This record series is used to document public works or utilities service that has been rendered. These are issued as a result of customer requests, construction needs or identification of problems. This order is issued and the repairs are made or consultations with customers completed. These are routine jobs such as the filling of street problems, water problems, sewer problems, electricity problems, building maintenance of any type etc.
	Access Restrictions	None
	Contents	This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5555	Building Access Records	This record series is used to document those who enter LFUCG buildings for business purposes, including employees. This is a reference to know who is in the building and who has had access in the past..
	Access Restrictions	None
	Contents	This record series may include building sign in/out sheets, visitor badging system records and building access control system records. Record may consist of photograph, employee number, name, position, division, driver's license number and other information, where in building and time entering/leaving.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5624	Daily Activity Report (This record series may act as a tracking document for daily activities within an office, division or department. This may be activities for individuals or those of the office, division or department. These may be used to compile periodic reports).	This record series is used to document the activities of individuals, offices, divisions or departments. Can be used as a tracking instrument to keep track of all activities such as telephone calls, meetings, location of individuals, work completed, schedules and all activities within a certain area.
	Access Restrictions	None
	Contents	This record series may contain the name of individual, work area, time, date, and summary of activities.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5759	Occupational and Safety and Health Act (OSHA) Records	This record series is used to document that OSHA requirements have been met. These records may be logs of work related injuries and summaries of work related injuries and illnesses. Some of these are required to be posted every year.
	Access Restrictions	None
	Contents	May include summaries of injuries and illnesses along with logs. Date and times.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5760	Purchase Orders (Duplicate)	These are duplicate copies of Po's sent to the Division of Accounting for payment. All offices within Urban County Government has these. These are never used past the time they are active.
	Access Restrictions	None
	Contents	Name of vendor, contents, date, signature, description of purchase, and cost.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5761	Audio/Video Recordings of Official Meetings Change Date: 9/11/2003	This series documents the actual proceedings of public meetings held by any local government body or its entities. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again.
	Access Restrictions	None
	Contents	Actual recording of proceedings
	Retention and Disposition	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.
L5762	Time and Attendance Record File (Division/Office Copy) (V)	This record series is used to document the time worked by the employees during a specific pay period. These records may be kept by each Division, office or agency of Urban County Government. The official copy is maintained by the Division of Human Resources.
	Access Restrictions	None
	Contents	This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5765	Speeches by Administrative Heads - (Those written or recorded and given as a function of or in behalf of the agency)	This series documents the public addresses to assemblies by administrative heads when given as a function of or on behalf of their respective agencies. The speeches may apply to issues related to public policies, results of programs, policy or procedural changes, or other issues related to the administration of the agency.
	Access Restrictions	None
	Contents	Series contains: Date; duration; location; administrative head; text of speech; location
	Retention and Disposition	Retain permanently.
L5766	Organizational Charts - (Record copy)	This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within urban county government and their functions. Additionally, the charts may identify by name and title those who manage the units and the individual staff responsible for specific activities, programs and functions within the agency. The series serves as representation of the organizational changes within an agency over time.
	Access Restrictions	None
	Contents	Series may contain: Date; agency; divisions; branches; sections; names of unit heads; individuals responsible for activities
	Retention and Disposition	Retain one (1) copy of each revision permanently in the agency.
L5767	Photographic File	This record series documents agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.
	Access Restrictions	None
	Contents	This record series may contain: Photographs and accompanying explanatory materials and finding aids.
	Retention and Disposition	Retain permanently material that has to do with Urban County Government. Duplicates may be destroyed if not needed by other agencies.
L5768	Newspaper Clipping File	This series documents various articles or news items clipped from newspapers related to the conduct of agency business. It is most usually used for reference purposes.
	Access Restrictions	None
	Contents	Series may contain: date; names of newspapers; articles related to agency function
	Retention and Disposition	Retain until no longer useful, then destroy.
L5770	Minutes - Staff Meetings - (Internal meeting minutes)	This series documents the record of proceedings of internal meetings in divisions and offices. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas.
	Access Restrictions	None
	Contents	Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L5771	Hiring Process Materials File	This series documents the process by which decisions are reached regarding who will or will not be hired when vacant positions are filled. It provides proof of the decisions made. It provides information on all aspects of the process including any notations that are written on applications or any written response to interview questions. If the interview is conducted in a panel format, all written comments by interviewers, including copies of the actual interview questions should be collected and retained. It also includes any information received from the applicant that directly relates to the decision that is reached. Such information would include leave balances, copies of evaluations, resumes, and recommendations for employment, as well information provided when references are checked. Information from the series would be needed in the event of any legal action regarding the hiring process.
	Access Restrictions	None
	Contents	Series may contain: All written comments; interview questions; job advertisements; job postings; resumes; leave balances; copies of evaluations; written recommendations for hiring; and any other information that directly relates to the hiring process
	Retention and Disposition	Retain for five (5) years, then destroy.
L5772	Leave Requests	This record series is used to document requests for leave by urban county government employees. This information may be forwarded to the payroll section which will use it to compile attendance.
	Access Restrictions	None
	Contents	Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5876	Nonbusiness Related Correspondence	This series represents paper correspondence and email that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should destroy or delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: SPAM and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related email, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the agency's email and Internet acceptable use policy. Given the nature of email, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government" for more information on managing email correspondence.
	Access Restrictions	None
	Contents	Nonbusiness related correspondence is incoming and outgoing correspondence that may consist of: Paper records that may be personal, unsolicited and unwanted that has nothing to do with agency business. Email that may be: (1) Personal messages: While a certain amount of personal material maybe acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (2) SPAM is the term for electronic junk mail. It is completely unsolicited and unwanted. It can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations. (3) Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related email from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.
	Retention and Disposition	Destroy all nonbusiness related records and delete all non business related email immediately.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L6288	Property Ownership and Disclosure Form (V)	This record series is used to document the ownership of real property in Fayette County by employees (and their immediate family members) of the Divisions of Building Inspection, Code Enforcement, Engineering, Planning and Fire Prevention Bureau in accordance with CAO policy 23R and to ensure that ownership is in compliance with that policy.
	Access Restrictions	None
	Contents	The record series may contain the address of each property, name of the owner of record (as recorded in the PVA office) and the names of any other individuals having an interest in the property. If the employee manages, oversees the management or maintenance of, or has an ownership interest in any business which manages or maintains any property in Fayette County. It must also include a description of his or her duties.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6633	Building Security Check Records	This record series is used to document periodic security checks of buildings and grounds done by staff. The security staff work with all departments in doing periodic checks after working hours. These may be routine checks or requested checks when there may be cause to investigate.
	Access Restrictions	
	Contents	This record series may contain the name and initials of the security person conducting the check, location, date, time of check, and listing of what buildings were checked on a particular shift.
	Retention and Disposition	Retain one (1) year, then destroy.
L6666	Open Records Appeals to the Office of the Attorney General	This record series is used to document appeals to the Office of Attorney General concerning requests made for public records under Kentucky's Open Records Law (KRS 61.870 - 61.884). If an Urban County agency denies a request for public records, the requester may file an appeal with the Attorney General for review of the agency's action. The Attorney General will review the appeal and issue a decision stating whether the agency violated the Open Records Act. The Attorney General will mail a copy to the agency and a copy to the person who requested the disputed records.
	Access Restrictions	
	Contents	This record series may contain the date, signature of the Attorney General, signature of Assistant Attorney General, the appeal letter, public agency response, notification to agency of receipt of open records appeal, response of public agency to the appeal, and the decision.
	Retention and Disposition	Retain five (5) years, then destroy.
L6898	Photo/Video Release Form	This record series documents that individuals have given permission to Lexington-Fayette Urban County Government to use photographs and/or videos (individual likeness) in promoting local government programs and events. Typically, this is a parent or guardian giving permission to release photos/videos of children, but can be for adults as well.
	Access Restrictions	None
	Contents	This record series may contain: Release policy, name of individual giving permission, address, names of children, date, signature of individual giving permission, description of photo/video and promotional event or program.
	Retention and Disposition	Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L4920	Dockets for Council Meetings (V) Access Restrictions Contents Retention and Disposition	This record series is used to document those items that will be presented at official meetings of the Council. This includes both regular and special meetings. This is a summary of what will be presented including ordinances, resolutions, reports, and announcements. The minutes will reflect the proceedings. None This record series may contain the agenda which will include the roll call, invocation, minutes of previous meetings, presentations, mayors communication, reports, and public comments. This is an outline. Retain for five (5) years, then destroy.
L4921	Exhibits (Official Meetings) Access Restrictions Contents Retention and Disposition	This record series documents those materials used to illustrate items presented before official meetings such as zoning, planning, public hearings and others. These may be written material, statistical material (written, tables, graphs etc), drawings, maps, plats, layouts, and other. Some of these exhibits may be forwarded to other agencies within Urban County Government but most of it is maintained by the Council Clerk. None This record series may contain written handouts, poster boards, graphs, tables, and demonstration material. Retain permanently those exhibits that are essential to the understanding of the official minutes. Destroy all others, including duplicates, when no longer useful.
L4922	Oath Books Access Restrictions Contents Retention and Disposition	This record series is used to document those officials who must take an oath of office. These may include members of commissions, fire and police personnel, corrections personnel, citation officers and others. None This record series may contain the name of the person taking the oath, signature, date, and information about the office. Retain until two (2) years after leaving position, then destroy.
L4923	Publication of Legal Notices (V) Access Restrictions Contents Retention and Disposition	This record series documents that a notice has been advertised by urban county government in a qualified newspaper with circulation/office in the area for the purpose of gathering news and soliciting advertisements an other general business of newspaper publications and has a second class mailing permit. The matters required to be published are financial statements, optional monthly or quarterly statements, city and county budgets, school district budgets, ordinances, bids for materials, supplies, equipment or services in excess of \$20,000. The publishing newspaper must submit an affidavit stating that an advertisement has been published and the times it was published and attach to a copy of the advertisement. Legal notices are required by KRS424.010 thru 424.990. None The contents of the advertisement of a hearing, meeting or examination states the time, place and purpose of the same. An advertisement of an election states the time and purpose of the election; An advertisemet for bids or of a sale shall describe what is the be bid for or sold, the time and place of the sale or for the receipt of bids and terms of the sale; where any statute provides that, within a specified period of time after action by any governmental agency the time and place when and where action may be taken. This file may also contain the affidavit of publication by the newspaper. Retain permanently.
L4924	Bond Transcripts Access Restrictions Contents Retention and Disposition	This record series documents the issuance of bonds for sale. This gives the progression of the issue from the time it is approved by the Council till closing. This contains the authorizing and financing documents and closing documents. None This record series may contain the date of issue, title, authorizing documents, financing documents, opinions of counsel, tazx certificates, and closing documents. Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5435	Official Minutes of Urban County Council (V)	This record series is used to document all official actions, votes and proceedings of the Urban County Council. These are maintained in the Council Clerk. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be 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 may contain date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.
	Retention and Disposition	Retain permanently.
L5437	Audio/Video Recordings of Urban County Council	This series documents the actual proceedings of the public meetings held by Urban County Council. The audio tapes are generally used by the recording secretary as a transcribing aid. The video tapes are generally made available to local access television stations for public broadcast. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.
	Access Restrictions	None
	Contents	Actual recording of proceedings
	Retention and Disposition	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.
L5438	Ordinances (V)	This record series documents an official action of Urban County Council, which is a regulation of a general and permanent nature and enforceable as a local law or is an appropriation of money. The ordinance shall embrace only one subject and shall have a title that clearly states the subject. No ordinance shall be enacted without two separate readings and publication in the local newspaper unless there is an emergency. The ordinances are to be recorded in a minute book or an ordinance book in the order adopted and indexed in a composite index or maintained in a code of ordinances.
	Access Restrictions	None
	Contents	This record series contains the date, title of the ordinance, subject of the ordinance, members present, the body of the ordinance, # of the ordinance, signatures of the presiding officer and the person responsible for the safe keeping of the record.
	Retention and Disposition	Retain permanently.
L5439	Index to Ordinances	This record series is used as a finding aid for the ordinances and may be by subject or key word identification. This series is maintained as part of the ordinance file.
	Access Restrictions	None
	Contents	This record series may contain the subject of the ordinance, # of ordinance, name of ordinance, date passed, and where found.
	Retention and Disposition	Retain permanently.
L5440	References to Ordinances	This record series is used as a finding aid to ordinances and sometimes resolutions. These are abstracts of the ordinances and are linked to the ordinance by number. These are used in the advertisement of ordinances in the paper.
	Access Restrictions	None
	Contents	This record series may contain the # of the ordinance, abstract of the ordinance, date passed.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5441	Resolutions (V)	This series documents administrative history of appropriations, personnel actions, and board appointments. Orders have a pre-assigned number and are indexed separately from minutes. These are synonymous with Resolutions. A municipal or county order is an official act of the legislative body which is binding upon the officers and employees of the local government and any governmental agency over which the local government has jurisdiction. These do not have to be advertised in the paper in order for action to be taken.
	Access Restrictions	None
	Contents	Order number, title, narrative, supporting documents, effective date, reading date(s), mayor's signature, city clerk certification
	Retention and Disposition	Retain permanently.
L5442	Index to Resolutions/Orders	This record series is used as a finding aid for the resolutions or orders issued by the legislative body. It is used in accessing the resolution or order file and book.
	Access Restrictions	None
	Contents	This record series may contain the number of the resolution/order, date passed, subject and abstract.
	Retention and Disposition	Retain permanently.
L5443	Code of Ordinances (V)	This record series documents the ordinances passed by the legislative body. A code of ordinances is a reenactment of the body of positive local government law, read and interpreted as a whole, with the text arranged by subject matter and properly indexed.
	Access Restrictions	None
	Contents	This record series contains the text of the ordinances, index by subject, date of passage, indexed alphabetical.
	Retention and Disposition	Retain permanently.
L5444	Proclamations	This series documents special recognitions of local government events and/or persons. If action is taken by the legislative body the information is covered in the official minutes. Sometimes a proclamation is only issued verbally and no certificate is created.
	Access Restrictions	None
	Contents	Date, narrative of proclamation, signatures
	Retention and Disposition	Retain permanently.
L5445	Real Estate File (V)	This record series is used to document all real estate transactions and holdings of the local government. These documents are for ownership and other land associated transactions. These include deeds to local government owned property, easements and right of ways.
	Access Restrictions	None
	Contents	May include deeds, easements and right of ways along with any legal documentation.
	Retention and Disposition	Retain permanently.
L5647	Contracts and Agreements (V)	This record series is used to document the terms by which items and/or services were purchased and the responsibilities of each party.
	Access Restrictions	None
	Contents	This record series contains the names of the parties involved, date issued, terms, expiration date, signatures and date signed.
	Retention and Disposition	Retain until fifteen (15) years after completion or termination then destroy after audit (KRS 413.090).

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L6662	Oath Books (Constitutional)	This record series is used to document those officials who must take a constitutional oath of office. These may include executive branch, board members, persons serving on certain commissions, fire and police personnel, corrections personnel, citation officers and others.
	Access Restrictions	None
	Contents	This record series may contain the name of person taking the oath, office or position, oath signature, and date.
	Retention and Disposition	Retain permanently.
L6890	Personal Information Security Breach Investigation/Notification File	This record series documents an agency's investigation in to a breach of sensitive information it collects, stores, or maintains. Effective January 1, 2015, KRS 61.933 requires local agencies that are notified of or determine that a breach has occurred in security relating to personal information they collect, maintain, or store, to begin a reasonable and prompt investigation within no later than seventy-two (72) hours of discovery or notification of the breach. If the agency determines that a security breach has occurred and that the misuse of personal information has occurred or is reasonably likely to occur, it must notify certain state officers and affected parties within timeframes established by the statute. If the agency determines that the misuse of personal information has not occurred and is not likely to occur, the agency does not have to give notice, but must maintain records that reflect the basis for its decision. The requirements of KRS 61.933 also apply if non-affiliated third parties collect, receive, maintain, or store personal information for state agencies.
	Access Restrictions	
	Contents	This record series may contain: Related contracts or agreements; related correspondence/notices; any records that reflect the basis for the decision of the investigation; related reports from non-affiliated third parties.
	Retention and Disposition	Retain until five (5) years after conclusion of investigation or any notifications, whichever is longer, then destroy. If any investigation, litigation, or open records request involving these records is taking place or is pending, maintain until all investigative or legal activity is completed.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Ethics Commission

Record Group
Number

Series	Records Title and Description	Function and Use
L5419	Code of Ethics (V)	This series documents compliance with the requirements of KRS 65.003(1) which states that the governing body of each city and county, including urban county and charter counties, shall adopt by ordinance, a code of ethics which shall apply to all elected officials of city or county, and to appointed officials and employees of the city or county government as specified. KRS 65.003 (4) requires that code of ethics may be amended but not repealed. Failure to comply may result in suspension of all services or funds to the governing body by state government.
	Access Restrictions	None
	Contents	May include standards of conduct, requirements for creation of financial disclosure statements, employment policies, designation of responsibility for ethics code enforcement, instructions for distribution.
	Retention and Disposition	Retain permanently.
L5420	Ethics Commission Financial Disclosure File (V)	This series documents the source of income of the filer and the filer's immediate family members exceeding a predetermined amount during the preceding calendar year and the nature of the income. It also documents the name and the address of any business located within the state in which the filer or any member of the filer's immediate family had at any time during the preceding calendar year had an interest of a predetermined amount, or whether the governing body conducted business transactions with the filer/filer's immediate family during a prior three year period. Failure to file the financial disclosure statement may result in a charge of civil offense or filing a false financial disclosure statement may result in a charge of a misdemeanor offense.
	Access Restrictions	None
	Contents	May include the name, address, telephone number, title of filer's office, office sought or position of employment, occupation of filer and filer's spouse, income, names and addresses of business/government related activities, designation of real property held by filer, plus name and address of gift sources and name and address of government creditors owed a predetermined amount.
	Retention and Disposition	Retain until two (2) years after termination of office or employment, then destroy.
L5421	Ethics Commission Advisory Opinions	This series documents the written advisory opinions rendered concerning matters under local ethics code enforcement jurisdiction, based upon real or hypothetical facts and circumstances, upon its own initiative, or when requested by any officer or employee of the governing body who is covered by the ordinance.
	Access Restrictions	None
	Contents	The narrative opinion providing a response to the requestor.
	Retention and Disposition	Retain permanently.
L5422	Ethics Commission Orders	This series documents a formal action summarized in writing by the local ethics code enforcement authority to require persons to comply with the request outlined in the order. Examples of requests may be the persons submit in writing and under oath reports and answers to questions relevant to the proceedings, to order testimonies to be taken by deposition, require attendance and testimony of witness, and to require a person to cease and desist violations.
	Access Restrictions	None
	Contents	A written narrative outlining a required action to be taken by the recipient.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Clerk
Ethics Commission

Record Group
Number

Series	Records Title and Description	Function and Use
L5423	Ethics Commission Hearing File (V)	This series documents the activities of the local ethics code enforcement authority in response to a formal complaint instituted under the provisions of KRS 65.003 (3) (d). Formal complaints must be filed within one year. If the authority finds no violation the subject of the complaint and party who filed the complaint are sent written notices. However, if the authority finds a violation it may issue an order to cease and desist, in writing, reprimand the violator and provide a copy to the governing body with which the violator serves. Further, the authority may recommend to the governing body that the violator be disciplined, dismissed or removed from office or impose a civil penalty or refer evidence of criminal violations to the appropriate jurisdiction for prosecution. Appeals may be made to the Circuit Court.
	Access Restrictions	None
	Contents	Copy of complaint, hearing notice, orders, hearing transcript, correspondence, research notes, and disposition of case.
	Retention and Disposition	Retain for twenty-five (25) years, then destroy.
L5424	Ethics Commission Complaint/Investigative File	This series documents the investigation of any local elected official and or local government employee. Pursuant to KRS 65.003 (3) (d) the local code enforcement authority is responsible for the receipt of any complaints alleging possible violations of the code of ethics and or investigation of said violations as well as imposing penalties for verified violations. Each complaint must be in writing and the local ethic enforcement begins a preliminary inquiry into the investigations. After inquiry, the accused may respond. Until a final determination is made all proceedings and records are confidential per KRS 61.878. If Grounds for further action are found necessary a hearing is initiated or allegations could be pursued by appropriate authorities. If none are found, the complainant and the subject are notified.
	Access Restrictions	KRS 61.878(1)(a)(i)(j)(until settled)
	Contents	Complaint, summary of investigative finds, relative evidence, correspondence.
	Retention and Disposition	Retain for six (6) years, then destroy.
L5425	Ethics Commission Expense File -- (Duplicate)	This series documents the request for reimbursement for expenses incurred by a designee of the local ethics code enforcement authority in an official capacity. These documents may be maintained as a separate file or as part of an expenditures file.
	Access Restrictions	None
	Contents	Travel vouchers, invoices, and receipts.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Council Office

Record Group
Number

Series	Records Title and Description	Function and Use
L5639	Staff Research Files (V)	This record series is used to document the research done by staff for each council member. This research is done for the purpose of informing and preparing each member for council meetings, committee meetings and work sessions where certain subjects or items are to be discussed. The Council employs its own administrative and research staff which include aides who work for specific council members. Twelve Council members are elected every two years. Each of these may serve no more than 6 terms. Three at large members are elected for four year terms and may serve only a total of 4 terms. These files are used extensively while active and give background information that may be important for upcoming regular bi - monthly meetings.
	Access Restrictions	None
	Contents	This record series may contain correspondence, informational materials, copies of monthly reports, and supporting documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5640	Table of Motions (V)	This record series is used to document those motions that are made during a council work session. The council members have a work session once a week which are open to the public. At these meetings the council members decide what actions will be presented at the formal Council meeting. Council staff members record and summarize the proceedings. A table of motions is part of the summarization. This is a finding aid for the motions that are presented and that will be presented at the next council meeting.
	Access Restrictions	None
	Contents	This record series may contain the title of the motion, when given, by whom and summary of the motion.
	Retention and Disposition	Retain permanently.
L5641	Summary of Meetings (V)	This record series is used to document the work sessions, which are informal meetings conducted weekly where the council members decide what to bring before the Council and items to be discussed. A Council staff member records and summarizes the proceedings. This may be committee work sessions or council as a whole work sessions. This is a capsule of the meetings and is presented to the whole council at their regular meeting for their approval.
	Access Restrictions	None
	Contents	This record series may contain the date of the meeting, items covered, council members present and a summary of the work session agenda.
	Retention and Disposition	Retain permanently.
L5642	Packets for Council Members (V)	This record series is used to furnish each council member information about business that is going to be conducted at a work session or committee meeting. This packet provides the information necessary for the council members to make informed decisions. There are four standing committees: The Planning Committee, the Intergovernmental Committee, the Services Committee and the Budget and Finance Committee which meet monthly. Packets are provided at the committee meetings as well as the work sessions.
	Access Restrictions	None
	Contents	This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.
	Retention and Disposition	Retain one (1) copy permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Accounting

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3198	Bond Register (Record of Bonds) (V) Access Restrictions Contents	This record series documents each bond issue and subsequent activity. It is a record of when the bonds are issued and when they mature. This gives a history of debt service. None This record series contains the name of issuer, name of series, date, denomination, numbers, interest rate, first interest coupon payable on, coupon payable thereafter on, at which bank payable, amount issued, bond numbers, number of bonds due, denomination of bonds due, maturity dates, funds sent paying agent(date fund sent, amount sent, including agents charges). Record of interest coupons: bond numbers, date cancelled, interest coupon numbers.
	Retention and Disposition	Retain permanently.
L3199	Certificate of Disposal for Bonds and Coupons Access Restrictions Contents	This documents all bonds and coupons that have been retired and destroyed. It is used for auditing purposes and records the date of maturity, series category, number of coupon, face value, and number of pieces. None This record series contains: Name of issuer, name of issue, series, date of issue, amount of issue; For matured coupons: number of coupon, face value each piece, number of pieces, date of maturity; For matured bonds: number of bond, face value each piece, number of pieces, date of maturity; destruction certification, dated and signed by destroyer and witness.
	Retention and Disposition	Retain permanently.
L3200	Paid Bond and Interest Coupons Access Restrictions Contents	The bonds and interest coupons are received by the Division of Accounting when they have matured and have been presented for payment. The coupons are cancelled by the bank when paid. Cancelled bonds and coupons are received monthly along with a bank statement. The bonds/coupons are reconciled each month just as the other accounts are. None This record series contains the issuer, purpose, amount, interest rate, trustee, date of issue, payable date, description, certification. Coupon: statement, date, coupon number, amount.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3201	General Ledger (V) Access Restrictions Contents	The General Ledger documents all specific account transactions for each month including receipts, expenditures, investments, grant awards, inventory records, purchases, and distribution, and gives monthly beginning and ending account balances for all funds and account groups. It is the primary accounts management tool. In addition to accounts management, the general ledger is used for reference and auditing. None This record series contains account number, description, check number, source, purchase order number, journal entry number, current period and balance, and date.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Accounting

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3202	<p>Equipment Fixed Assets Ledger (Inventory of Equipment) Change Date: 3/10/2005</p> <p>Access Restrictions None</p> <p>Contents Inventory Tag (sticker) Number, Value, Description, Serial Number, Building Number, Room, Fund-Dept.-Account, Date, Cost</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This is a register of equipment purchased, cost and value, and the account debited for its purchase. It is used for inventory purposes. This ledger is for the entire LFUCG and includes all equipment which cost \$500 and above including: computer equipment, office furnishings, rolling stock, tools, radios, horses & dogs, playground equipment. The primary purpose for maintaining this record is for accountability. Fixed assets are reported in financial statements, a subsidiary record.</p>
L3203	<p>Year-To-Date General Ledger Journal (Year-to-Date Transaction Listing) (V)</p> <p>Access Restrictions None</p> <p>Contents This record series contains the account number, description of transaction, reference-(cash receipt #, check#, journal entry#), date, project#, line #, amount, purchase order number, totals by line number, account number, program number, general ledger account number, and fund total.</p> <p>Retention and Disposition Retain for five (5) years, then destroy after audit.</p>	<p>This record series documents all transactions by fund and account group for the fiscal year. It is used as reference for past transactions and to verify those for the current fiscal year. Also used to document the audit process and in the management of the funds and accounts.</p>
L3204	<p>Subsidiary Ledger</p> <p>Access Restrictions None</p> <p>Contents This record series contains the accounting numbers, description, date, source, purchase order number, amount, account balance, general ledger balance by fund.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series documents detailed information on selected general ledger accounts, i.e. petty cash, receivables, reserves, due to and from other funds, etc. It documents which divisions have funds in each category and how much. It is used to reference in detail the general ledger summaries.</p>
L3205	<p>Journal Entries (General Journal)</p> <p>Access Restrictions None</p> <p>Contents This record series contains: Account Number, Purchase Order Status, Description, Vendor Number, Debit, Remarks, Credit, Month and Year, Purchase Order Number, Journal Number, Line Number, Page Number, Project Number.</p> <p>Retention and Disposition Retain for five (5) years, then destroy after audit.</p>	<p>Journal entries are used to document account transactions on a monthly basis. This form is used to make entries into the General Ledger. They are manually prepared and keypunched. This is a manual system, where purchase orders and payroll are automated. Journal entries are used for all transactions not entered automatically. Journal entries are used for auditing and reference.</p>
L3206	<p>Refund Check List</p> <p>Access Restrictions None</p> <p>Contents This record series contains the account number, vendor, date, source, payee, document number, check number, and amount.</p> <p>Retention and Disposition Retain for five (5) years, then destroy after audit.</p>	<p>This is a listing of refund checks written. Examples of reasons for receiving a refund include payroll taxes paid by people over 60 or overpayment of license fees. This list should be retained for the same period as the accounts payable vouchers because it references the vouchers file if reference is made by check/voucher number. This record is not currently being created as a unique record. It is a closed record as of FY1992.</p>

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Series	Records Title and Description	Function and Use
L3207	Manual Check List Closed Date: 6/30/1992	This record lists manually issued checks (as opposed to check issued by the computer system). Manual checks are checks manually prepared for payment to vendors for services rendered or goods received during the interim of computer generated check issuances. The register is used for auditing and reference purposes by the Division of Accounting. This list accesses the accounts payable vouchers if reference is made by check/voucher number. Therefore, it should be kept for the same period as the vouchers file is kept. This list is no longer created as a unique record. It is a closed series as of FY1992.
	Access Restrictions	None
	Contents	This record series contains the account number to debit, vendor, date, source, check number, amount, purchase order number.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L3208	Check Register (V)	The check register is a listing of each check issued. It is used to reconcile bank statements with the general ledger.
	Access Restrictions	None
	Contents	This record contains: Date, Check Number, Amount, Totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3209	Check Reference by Payee List (Accounts Payable by Vendor) (V)	This list documents all payments made to any source by the LFUCG, payroll excluded. It is an alphabetical listing by payee name. This is used to reference payments. this list accesses the accounts payable check vouchers which are arranged by number.
	Access Restrictions	None
	Contents	This record series contains the account number charged, vendor name, check date, invoice number, accounts payable check number, amount, purchase order number, fiscal year total by vendor.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3210	Cancelled Checks	These are checks issued to employees and vendors. Cancelled checks document expenditures and are needed to reconcile monthly bank statements. They are also used for auditing and reference. Cancelled checks are microfilmed by the LFUCG.
	Access Restrictions	None
	Contents	This record contains: Date, Name, Address, Check Number, Amount, Authorized Signature.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L3211	Bank Reconciliation	This record documents that the bank statement is reconciled with the general ledger.
	Access Restrictions	None
	Contents	This record series contains: Bank balance, outstanding deposits and checks, general ledger balance, returned checks, corrections & adjustments, unrecorded interest. Name of fund, date, month.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3212	Bank Statements	This records series documents the status of the all funds/accounts. It is used to reconcile bank accounts. Deposit slips are attached to statements.
	Access Restrictions	None
	Contents	This record series contains the statement period, bank name and address, LFUCG name and address, statement of accounts, balance forward, credits, debits, total debits, fee, closing balance. Checking account transactions, date, balance, date. checkbook reconciliation.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3213	Accounts Payable Check Vouchers	This record series documents the bill paying process and each bill which has been paid. This file consists of the check copy (carbon copy of the check issued to the vendor by LFUCG) and supporting documents such as copies of the vendor invoice, purchase order, receiving order, fuel receiving order. The Division of Accounting pays vendor invoices after the Division of Purchasing has authorized the purchase. The receiving division forwards to Accounting the receiving copy of the purchase order, which authorizes payment. It is matched with the invoice received from the vendor. All supporting documents are attached to the check voucher.
	Access Restrictions	None
	Contents	This record series contains check vouchers: check (top portion): Payee name and address, check number, payor name, amount, bank account name and number, check date. Register (bottom portion): invoice date, invoice number, purchase order number, account number, amount. Supporting documents attached.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L3214	Manual Check Vouchers	Manual checks are checks manually issued to vendors for services rendered or goods received during the interim of computer generated check issuances. Manual checks are primarily issued to transfer money between bank accounts. The check voucher is a copy of the check/check stub with attachments such as: cash disbursement request, payroll distribution, purchase order, invoice, etc. This record, then, consists of a check copy (exact carbon of check issued) and supporting documentation.
	Access Restrictions	None
	Contents	This record series contains: payee name and address, payor name, bank account name and number, check date, check number; Check Stub: invoice date, invoice number, purchase order number, account amount.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L3215	Purchase Order Reference List (V)	This record series documents all purchase orders issued and any activity such as payments or change orders, voids, etc.. It is used primarily as a quick reference.
	Access Restrictions	None
	Contents	This record series contains the purchase order number, date encumbered, amount encumbered, date paid, check number, amount paid, amount closed out, account numbers, balance.
	Retention and Disposition	Retain for three (3) years, then destroy.
L3216	Revenue Receipts (Cash Receipts) (V)	Revenue receipts (or cash receipts) document all monies received by the Division of Tax Collection. On it is recorded the source, amount received, description, and account number. Supporting documents may be attached to the receipt. Cash receipts are used for auditing and reference purposes. There are three copies of the cash receipt: white copy to citizen, yellow copy retained in Tax Collections, pink copy transferred to Finance Accounting.
	Access Restrictions	None
	Contents	This record series contains: Date, Receipt Number, Received from, Amount, Description, Account Number, Line Number, Clerk signature.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3217	Encumbrance Liquidation Register (V)	This record series documents all open (unpaid) purchase orders and is produced semi-monthly. It provides detailed listings of encumbrances payable. The final register produced June 30 documents those unpaid purchase orders for the fiscal year. This register is used for audit purposes because it is part of the end of the fiscal year documentation.
	Access Restrictions	None
	Contents	This record series contains the account number, purchase order number, payee, encumbrance amount, check amount, date, expense amount, and variance.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3218	Cash and Investments Monthly Activities File	This file documents daily cash and investments transactions and balances. It tells how much money is invested, when it will mature, and which bank it is in. The file includes source documents reflecting cash activities. Included are: bank repurchase agreements cash reports, memorandum, daily cash investment report, daily revenue detail report and summary, bank deposit tickets (money transacted between accounts), bank debit advice slips, payables summary by General Ledger account.
	Access Restrictions	None
	Contents	Daily Revenue Sheets, Cash and Investment Reports, Wire Transfers, Deposit Slips, Redemption and Procurement of Investments, Weekly Cash Reports
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3219	Stop Payments File	This record series is issued by the Division of Accounting to stop payment on checks issued for whatever reason.
	Access Restrictions	None
	Contents	This record series contains the name of payee, stop payment check number, check amount, confirmation of transaction completed.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3220	Budget Reports (V)	This record series summarizes by fund, division, and detailed account the approved budget and year-to-date expenditures and revenues. It is used by the Division of Accounting as a reporting tool and quick reference. This series includes four separate but related reports, two for revenues and two for expenditures. This is created for accountability of taxpayer dollars and for the preparation of the Comprehensive Annual Financial Report.
	Access Restrictions	None
	Contents	This record series contains the Detail Expenditures Budget Report(BUD030), Expenditures Budget Summary by Program(BUD031), Revenue Budget Analysis by Fund and Detail (BUD004), Revenue Budget Analysis by Fund and Program (BUD104). Includes fund, division, account code, account title, original budget amount, amended budget amount, expenditures or revenues for the month and year-to-date, year-to-date encumbrances, total budget committed, remaining balance, percent used or received.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3221	Audit Work Files (Comprehensive Financial Report Work Papers)	This is a cumulative record of schedules and printouts containing information pertinent to audits. It is used for auditing and future reference. Includes internal work papers, supporting documentation used in preparing the annual financial report of the LFUCG. The report is prepared by the Department of Finance. Audit work files contents may include copies from other files or may be reports generated for preparation of the Comprehensive Annual Financial Report. The report is prepared in the first quarter (Aug-Nov) of the flowing fiscal year. The report is verified by the independent auditor.
	Access Restrictions	None
	Contents	Depreciation and amortization schedules, actuary reports, inventory, internal & external memorandum, audit adjustment journal entries, year end special run reports.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3222	Trustee Statements (V)	This record documents the amount of funds available for pensions. It documents gains and losses, dividends, interest, and total investment balance available for the respective month. It is used for audit and reference. A trustee is a bank which holds funds in trust for the administration and safeguarding of assets. The statement gives monthly activity in the account with the beginning and ending amounts of cash and investments. The statement reports the activities involved in managing the funds- investment earnings, market value, gains and losses.
	Access Restrictions	None
	Contents	This record contains: Date, Gains/Losses, Fees, Contributions, Sales, Dividends, Interest, Purchases, and Totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3223	Federal and State Grants Files (V)	A grant is a any program that provides financial assistance from a source or sources outside the government. This record is maintained in the Division of Accounting for financial management and accountability only (ie. eligibility & approval of expenditures, matching funds requirements, etc.). The information in this record is used to create the general ledger for the grant project and the general ledger, in turn, is the source for preparing project financial reports. This file contains supporting documentation for the financial management of the grant project.
	Access Restrictions	None
	Contents	Documents included are copies of award letter, grant budget, financial reports and financial requests, correspondence & memorandums, vouchers, purchase orders, checks, invoices.
	Retention and Disposition	Retain for three (3) years, then destroy after completion of grant and audit.
L3224	Fuel Reports (V)	This record documents fuel purchases of all city vehicles. It is used for reference as well as to reconcile invoices. It documents the date of delivery, amount of delivery, type of fuel, pump number, invoice number. It also includes a usage report which documents the total amounts of fuel used daily.
	Access Restrictions	None
	Contents	This record series contains: Pump Number, Number of Gallons, Date, Delivery Personnel, Invoice Number, Cost of Shipment, Account Number, Gallons Used, Gallons Purchased, Supplier, Daily Overage/Shortage, Remainder of Monthly Allocation
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3225	Equipment Lease Revenue Notes Records	The LFUCG purchases equipment (cars, trucks, road graders, tractors, furniture, herbie curbies, etc.) through borrowed funds to be repaid over a specified length of time. This record documents transactions involved in this purchase program. Funds are borrowed through issuing notes and depositing the funds so acquired with a trustee (bank). Funds are drawn as they are spent to purchase vehicles/equipment from vendors. Notes are paid off in three years.
	Access Restrictions	None
	Contents	This record series contains: Date, Trustee Account Number, Authorized Signature, Account Number and Amount.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3226	Kentucky Sales and Use Tax Returns	This record documents sales tax and use taxes due and commissions earned by the Lexington Fayette Urban County Government for Sales, Concessions, Leases, Rentals, and Auctions. Used for audit purposes. This is a copy of the Kentucky Sales & Use Tax Returns. It is prepared by the Department of Finance monthly to report sales and use taxes collected by LFUCG in government programs (sewer use, parks & recreation). It is sent to the Kentucky Revenue Cabinet, including supporting documents. The check accompanies the report to Revenue.
	Access Restrictions	None
	Contents	Date, Name, Period of Time, Total Sales, Total Rentals and Leases, Tax Collected, Commission, Total Due
	Retention and Disposition	Retain for four (4) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3227	Indirect Cost Plan	This record documents calculations of the LFUCG indirect cost proposal for the respective fiscal year. It documents by department the allowable expenditure amounts, indirect costs, direct salaries, and other direct expenditures. It is used for grant proposal and allocations. It contains budget reports for each department as supporting documentation. The indirect cost plan is a ratio (% calculation) of indirect cost to direct salaries. The report is a calculation of that percentage and supporting documentation.
	Access Restrictions	None
	Contents	Total Expenditures by Fund and Division, Expenditures Allowable by Fund and Division, Indirect Costs by Fund and Division, Direct Salaries by Fund and Division, Other Direct Expenditures.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3228	City Uniform Financial Information Report (F-65,KY-3)	This is a state required report (KRS 65.905) which is submitted annually since 1991 to the Department of Local Government. It must be submitted in 2 copies by February 1 of each year for the previous fiscal year. It documents the revenue and expenditures by fund, division/department, and detail for all funds. Includes tax rates, cash and investments at end of the fiscal year, new dept issues. This report must be submitted in order to receive municipal aid road funds.
	Access Restrictions	None
	Contents	This record series contains the government name, address, reporting period, data supplied by, certification, tax rates, city revenue, city transfers and proceeds from long term debt, contact information, general fund expenditures, other fund expenditures, personnel expenditures, indebtedness, future payments, new capital lease agreements over \$50,000, future payments, explanations in support of report.
	Retention and Disposition	Retain for two (2) years, then destroy.
L3229	Employer Return Records (V)	Employer return records are used for reporting wage and tax withholdings to the appropriate taxing authority-state, federal, local, and for transmitting the funds.
	Access Restrictions	None
	Contents	Include: Reconciliation of License Fee Withheld-LFUCG; Reconciliation of Occupational License Tax Withheld for Schools; Summary of Gross Payroll and Taxes Withheld; Payroll Adjustments; FICA Refunds for Workers' Comp Wages; Circuit Court Judge Expense Reports; Indemnity Payments Report; W2Cs (corrected W2 forms); Employers Quarterly Federal Tax Return 941; Employers Record of Income Tax Withheld K3(D)/Employers Return of Income Tax Withheld K1(D); Quarterly Unemployment Insurance Returns; Transmitter Report and Summary of Magnetic Media.
	Retention and Disposition	Retain for seven (7) years, then destroy after audit.
L3230	W-2 Listing	This is created for annual W-2 & K-2 reporting to the Internal Revenue Service and the KY Revenue Cabinet. It is a listing of all employee W-2/K-2s. This reports all data for each employee as is listed on the W-2. Employees have their copies of the W-2.
	Access Restrictions	None
	Contents	This record series contains: Employment number, employee status, earnings, ssn, state taxable gross, fed tax, FICA, state tax, city tax, sch tax, pension, benefit gross, def-comp, C125, workmen's comp.
	Retention and Disposition	Retain for ten (10) years, then destroy.

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Series	Records Title and Description	Function and Use
L3231	Miscellaneous Income Form (Form 1099-Misc)	This form is used to report to the Internal Revenue Service and to individuals the amount of non-employee compensation paid for the year in amounts greater than \$600. These are used for professional services, consultants, employees hired under contract.
	Access Restrictions	None
	Contents	This record series contains: Payer's name, address, federal identification number; recipients name, address, account number; rents; royalties; prizes, awards, etc; federal income tax withheld; medical & health care payments; substitute payments in lieu of dividends or interest; crop insurance proceeds; state/payer's state number; fishing boat proceeds; nonemployee compensation; payer made direct sales of \$5,000 or more of consumer products to a buyer for resale; state income tax withheld.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3173	<p>Transcript of Proceedings-Revenue Bonds and Notes (LFUCG Public Corporations) (V)</p> <p>Access Restrictions None</p> <p>Contents This record series contains official documents relating to the sale of Notes or Bonds such as: authorization resolutions, bond resolution, resolution accepting bid, notice of sale, official bid form, official statements, acknowledgment of state local finance officer, mortgage & trust indenture, lease, sublease, title insurance policy, insurance & arbitrage certificates, information report to IRS, certificate of LFUCG, certificate of LFUCG corp, certificate of trustees, legal counsel opinion, rating letter, closing receipt, form of requisition certificate, specimen bond.</p> <p>Retention and Disposition Retain permanently.</p>	<p>This record documents all official proceedings relating to revenue bonds and notes issued. These are bound into books. Examples are: Public Library Corporation, Public Facilities Corporation, Public Parking Corporation, Home Mortgage Corporation, Detention Center Corporation, Sanitary Sewers Corporation. The record provides the historical record of the bond: agreements, legal proceedings, etc., related to the bonds. It is used for reference and for accountability-a public record.</p>
L3174	<p>LFUCG Public Corporation Minute Books (V)</p> <p>Access Restrictions None</p> <p>Contents This record series contains the minutes of the proceedings, supporting documentation, articles of incorporation, bylaws, resolutions, agreements, and notices.</p> <p>Retention and Disposition Retain permanently.</p>	<p>This record series documents the proceedings of the LFUCG public corporations: Public Facilities, Public Parking, Public Library, Detention Center. The public corporations exist to enable the government to finance public construction/renovation projects. The government cannot borrow money because a sitting council cannot commit a future council to debt payment. This function is done through the public corporation.</p>
L3175	<p>Comprehensive Annual Financial Report (Annual Audit)</p> <p>Access Restrictions None</p> <p>Contents Introductory section (list of elected officials, transmittal letters, organizational chart, etc); Financial section (Auditor's opinion, balance sheets, financial statements-budget and actual, for all funds and accounts); Statistical section.</p> <p>Retention and Disposition Retain one (1) copy permanently.</p>	<p>This report is a comprehensive review of LFUCG finances for a fiscal year. It includes general information about the LFUCG, the financial section (the actual audit), and a statistical section with economic trend information. The purpose is to provide a public accounting of how public funds were managed. The purpose is public disclosure. The report was first prepared in this format in 1983.</p>
L3176	<p>Independent Auditor's Management Letter</p> <p>Access Restrictions None</p> <p>Contents Auditor's letter of findings and recommendations, appendix defining the internal control structure, appendix outlining gov't auditing standards basic premises as defined by the General Accounting Office, appendix outlining the financial reporting entity as defined by the Governmental Accounting Standards Board.</p> <p>Retention and Disposition Retain permanently.</p>	<p>This is the independent auditor's summary of findings and suggestions for improved accounting controls. This is a report of findings, conclusions, and recommendations to the local government.</p>

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Series	Records Title and Description	Function and Use
L3177	Debt Service Book (V)	This record series documents the current and retired LFUCG bond or note records. It ensures that payments are made in a timely manner, for reference and as a historical record of bond payments, principal, interest, when due, when paid. Information is maintained in a ring binder with a single page for each bond issue. This is the only record where debt service payments are summarized by issue.
	Access Restrictions	None
	Contents	This record series contains the debt summary, amortization schedules by fund and issue.
	Retention and Disposition	Retain permanently.
L3178	Audit Work Papers (V)	This record series documents and supports the process used to prepare the Comprehensive Annual Financial Report (Annual Audit). The primary function of these records is met after the annual report is compiled, printed, and distributed. The file is also retained for a short period as reference to data printed in the report.
	Access Restrictions	None
	Contents	The file contains a variety of documents produced specifically for the audit function. Some contents may also be copies of other significant informational records such as Ky. Retirement Systems annual report. Also included are correspondence, press releases, major events newspaper coverage, audit adjustments (closing journal entries), spread sheets on LFUCG public corporations, audits of component units (Health Dept, Airport, Lex Ctr Corp, LexTran, Library), auditor's findings, conclusions, notes.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3179	Cash and Investment Management File	This record series documents the cash and investment policies of Lexington/Fayette Urban Co. Gov't which provide guidelines for investment purchases, cash deposit procedures, collateral requirements. This includes investment and bank analysis, cash investment policies and procedures, collateral valuation procedures, and cash management. This is back-up data and reference material for cash management policies.
	Access Restrictions	None
	Contents	This record series contains investment and bank analysis, summaries of annual examinations of investments purchased and banks that held funds for LFUCG, cash and investment policies and valuation procedures, background information on the need for placing a value on securities pledged as collateral, a study that examines the need for special procedures for parks deposits, investment yield workpapers and a study of investments prepared in 1985.
	Retention and Disposition	Retain until updated, then destroy.
L3180	Investments File	This record series documents the bidding process for the best interest rate for investment funds. This file further documents what investments are made, where the funds are invested, and the confirmation for each transaction. The highest interest rate is accepted for investment of all urban-county government funds. Over the course of a year, all investment documentation for the fiscal year is kept in this unique file. Further, documents show the types of investments (repurchase agreements, certificates of deposit, U. S. government securities) interest amount, etc. Competitive bidding is done once a month. The purpose is to invest LFUCG funds for maximum yield. This file is useful for a fiscal year, or as long as the investment is active. It provides an audit trail, thus is needed for the annual audit. Journal entries are made as a result of investments to move money to the proper accounts.
	Access Restrictions	None
	Contents	This record contains the type of investment, fund, amount, institution, interest. It also contains the recommendations for new investments which includes the institution, type, fund, term, maturity date, amount, yield, maturity value, LFUCG approval.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3181	<p>Cash Flow Projections</p> <p>Access Restrictions None</p> <p>Contents This record series contains the revenues by source, uses of funds by source, net cash flow, ending cash and investment balance.</p> <p>Retention and Disposition Retain for two (2) years, then destroy.</p>	<p>This record series documents the cash flow forecast that is updated monthly. The record details the cash flow activity and compares this to the original forecast. Files included are: Public Library Corporation, Recreation Project, and Sanitary Sewer. This file is used to project cash flow by comparing with previous forecasts.</p>
L3182	<p>Cash Flow Tracking</p> <p>Access Restrictions None</p> <p>Contents This record series contains payables summary by general ledger account, computer generated reports, and memos.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>Each day a cash report is prepared that documents deposits and disbursements for Lexington/Fayette Urban Co. Gov't. From this report a weekly, monthly, and annual report is generated. When comparing the monthly reports to general fund accounting records discrepancies may be found. The information in this file details the source of discrepancy and can be used in forecasting annual cash flow.</p>
L3183	<p>Petty Cash Funds File</p> <p>Access Restrictions None</p> <p>Contents This record series contains the amount for each petty cash fund and authorization forms for each fund.</p> <p>Retention and Disposition Retain until updated then destroy after audit.</p>	<p>Petty cash funds were created for purchasing items costing less than \$25. LFUCG authorization forms are required to designate/change the custodian for the fund, change the amount of the fund, and open or close the fund. This file is used to verify the current custodian and amount of the fund and is required until changes are made in status and for audit.</p>
L3184	<p>Change Fund file</p> <p>Access Restrictions None</p> <p>Contents This record series contains petty cash/change fund requisitions</p> <p>Retention and Disposition Retain until updated, then destroy.</p>	<p>This record series documents the individual responsible for the change fund in each Division and the money amount. Change funds consist of start-up money for cash drawers at LFUCG divisions such as Accounting, Purchasing etc.. A LFUCG authorization form must be submitted by the division to open a change fund or to make changes in that fund. When the person responsible for the change fund is replaced or the amount in the fund changed, this file is updated.</p>
L3185	<p>Interest Rate Quotations Table (V)</p> <p>Access Restrictions None</p> <p>Contents This record series contains bids for investments, the name of the financial institutions and the interest rates.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This record series documents the going interest rates from various investment firms doing competitive bidding. The table is use to determine the highest yield for investment purposes. The interest rates change periodically as new bid proposals are issued.</p>

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Series	Records Title and Description	Function and Use
L3186	Master Repurchase Agreement File	This record series documents the policies governing repurchase agreements with financial institutions. The Urban County Government purchases investments from local financial institutions. Policies governing repurchase agreements were deemed necessary after several securities dealers became insolvent. Although LFUCG was not effected by this, the Finance Department researched ways to protect its investments. From this research a master repurchase agreement was devised. All information involving repurchase agreements is in this file. Before LFUCG invests with an institution a repurchase agreement must be signed. The repurchase agreement sets the terms and conditions for financial dealings with that institution. It is a agreement stating what both will do.
	Access Restrictions	None
	Contents	This file contains memorandums, drafts of master repurchase and safekeeping agreement.
	Retention and Disposition	Retain until updated or no longer useful, then destroy.
L3187	Public Parking Corporation File	The Public Parking Corporation is an agency of the Lexington-Fayette Urban County Government that finances the construction of public parking facilities. This file is used to compile all information relative to the planning and operation of parking projects. It is used for reference.
	Access Restrictions	None
	Contents	Memos & Official Correspondence, Cost Projections.
	Retention and Disposition	Retain until updated or no longer useful, then destroy.
L3188	Self Insurance Fund File	This record series documents the monthly submission of the Self Insurance Report. Government's Self Insurance Fund (managed by Risk Management Division) covers claims for damages to vehicles, property, work related accidents. A computer generated report prepared by finance staff compiles the revenues, claims, and subrogations for each claim year. This report brings together information contained in several reports generated by Computer Services.
	Access Restrictions	None
	Contents	This record series contains the monthly self insurance fund report and supporting documentation. The report contains the revenues, claims against the fund, and any changes in the creditors and transference of the claims and rights of other creditors.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3189	Public Facilities Corporation File	This record series is maintained as a reference file for the Public Facilities Corporation which is an agency and instrumentality of LGUCG designed for the acquisition and financing of public projects undertaken by LFUCG. Public projects that are in the planning stage may be included in this series along with general information regarding the public facilities corporation.
	Access Restrictions	None
	Contents	This record series contains memorandums, cost projections, leases, construction summaries, meeting guidelines.
	Retention and Disposition	Retain until no longer useful, then destroy.
L3190	Town Branch Waste Water Treatment Plant Construction Monthly Reports File	This record series was submitted monthly to interested parties(construction manager, engineering, public works commissioner). Included are copies of all budgets, revenues, and general ledger balances pertaining to Town Branch Construction. The report provides a quick reference (informational material pulled together for Town Branch budget/construction activity. This is a closed file. The record is no longer created because Town Branch Construction office went on-line with the LFUCG computer network.
	Access Restrictions	None
	Contents	This record series contains memorandums and copies of appropriate reports (spreadsheets, budget documents, etc.)
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Administration

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3191	Sanitary Sewer Annual Assessment File	This record series documents the annual assessments for those individuals who do not pay in full upon completion of sewer improvements. Bonds are issued to cover the unpaid balances of sewer projects, which are in turn repaid over a specified period of time through the collection of annual assessments. All funds remaining after the repayment are then proportionately divided and refunded to the individuals who shared in the bond issue. This file is used to compile information relative to each fund's assessment and refund. Sewer bonds are set up for 20 year maximum debt service (some pay out earlier).
	Access Restrictions	None
	Contents	This record series contains memorandums, ordinances, rate calculations, computer printouts, and refund calculations
	Retention and Disposition	Retain until bond is closed and all refunds are made, then destroy.
L3192	KRS 107 Sewer Assessments Billing Register (IMP027) (V)	This record series is used as a billing register. It notes sewer assessments in Fayette County for the current fiscal year. It is a detailed register by street or property address of each sewer assessment bill sent out. Sewer assessments are on property for only 20 years which pays for the construction and installation. This report is for reference only.
	Access Restrictions	None
	Contents	This record series contains the name and address of current homeowner, value, principal, interest, total assessment, rate, account number, and zone number.
	Retention and Disposition	Retain for one (1) year, then destroy.
L3193	Fixed Assets Manual and Work Papers	The Fixed Asset Manual sets guidelines for the proper accounting procedures for the purchase, record keeping, and disposition of all LFUCG fixed assets which is all property except rolling stock. The work papers file is used to provide backup for the fixed asset policies. The work papers are the primary data documents used in creating the original data base file.
	Access Restrictions	None
	Contents	The record series contains the workpapers and draft of the manual, miscellaneous information on various properties, aand fixed asset manual.
	Retention and Disposition	Retain permanently.
L3194	Bond and Notes Payable File (V)	This record series was created to document all bonds and notes issued when outside financing is deemed necessary to finance a major public project, primarily construction. Bonds are sold through competitive bidding. Bonds are for a term of 20 years, even though some are called (paid off) earlier. Projects included in this file are: KRS 107 Sewer Improvement Bonds, 1983-1986 Housing Bonds, Public Library Corporation, Public Facilities Corporation, Sanitary Sewer, Detention Center, and Lexington Center. These files are used to provide documentation for funds borrowed which includes the sources, uses and financing.
	Access Restrictions	None
	Contents	This record series contains the preliminary workpapers, invitation to bid documents , bids on bonds, preliminary & official bond statements, bond ordinance, memos and correspondence.
	Retention and Disposition	Retain until two (2) years after expiration of bond or note, then destroy.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
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Record Group
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6168

Series	Records Title and Description	Function and Use
L3195	Arbitrage Report Work Papers	This record series documents that a report has been filed with the Internal Revenue Service according to the Federal Tax Reform Act of 1986 which stipulates that bond proceeds are to be expended within six months of issuance, otherwise municipalities must rebate any arbitrage earnings (interest earned on money not paid out) to the Federal Government. The Arbitrage Tax Rebate Report must be prepared and submitted to the federal government with each bond and is submitted after the six month period has elapsed. Each bond is issued for a 20 year duration, however some may close in lesser time. These calculation reports are prepared by the LFUCG's independent CPA firm. The file contains a copy of the report and supporting documentation: monthly bank statements, correspondence, bank requisitions.
	Access Restrictions	None
	Contents	This record series contains the Arbitrage Rebate Report which includes name and address of reporting authority, description of rebate earnings by the issuer, local government certification; trustee bank statements; memorandum and official correspondence-internal correspondence that would affect the balance of bond funds-requisitions of funds.
	Retention and Disposition	Retain until two (2) years after expiration of bond, then destroy audit.
L3196	HB 584 Pension (Fire and Police) Information File	This record series documents the legislative act relating to retirement annuities in urban-county governments. House Bill 584 was enacted to alter KRS 67A.360 to KRS 67A.690 which pertains to police and firefighter's retirement fund. This act established the pension fund to take the place of the previous pension fund which was established for second class cities. Those persons retiring before the enactment of this law in 1988 but after July 1, 1974 will be eligible for an increase in pension. The 1988 law supersedes the previous pension plan. This file is used for research and reference and is being kept as a unique record because this statute established new guidelines for the pension plan. This file is confidential because it contains personally identifying information about individual retirees.
	Access Restrictions	KRS 61.878 (f)-Open Records Law
	Contents	This record series contains an analysis of fiscal impact-HB1481-Pre-1974 retirees; copies of statutes and legislation; memorandum and correspondence; newspaper clippings; copies of legislative record; etc.
	Retention and Disposition	Retain until no longer useful, then destroy.
L3197	Vehicle Liens File	This records series documents the liens on motor vehicles (fleet) purchased and owned by the LFUCG. Vehicles are financed for three years. Once the liens are released, the usefulness of this file is over. The documents in this file are duplicates of the originals in the county clerk's office. This file is used to track the vehicles and know when the liens expire.
	Access Restrictions	None
	Contents	This record series contains the vehicle transaction record, motor vehicle lien statement, and the vehicle listing by inventory number.
	Retention and Disposition	Retain for four (4) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Pension Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5849	Individual Retirement/Pension File (V)	This record series is used to document the retirement of individual employees who are enrolled in the City Employees Pension Fund (CEPF) and the Policemen's and Firefighter's Retirement Fund. This also applies to those files of the old City Employee Pension Fund which is now closed. Each file is created at the time of employment to show that they are now a part of a pension plan. Upon retirement an employee's pension is activated. The information in this file is used to determine the amount of pension paid, who the beneficiaries are, funeral allowances to be paid, health insurance coverage, whether there is a disability involved. These records are vital as long as they are deemed active. This file becomes inactive when the individual dies, there are no legal beneficiaries, and there is no pending litigation. Also under the Policemen's and Firefighter's Retirement Fund a person may opt out before serving for 20 years. A lump sum payment may be made to those who leave before 20 years or they may buy time to increase their retirement to comply with the 20 years. If they do buy time the file evolves into an active individual retirement file. If a person dies on the job his/her beneficiaries will receive a monthly payment and the file continues to be active until there are no beneficiaries.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain retirement master deduction record, name, social security number, cola date, adjustment amount, direct deposit, correspondence, application for retirement, on the job disability documentation, medical evaluations, payment for medical evaluations, documentation of injuries, circuit court appeals, appeals to the pension board, disposition, rehearing, transcript of rehearing, documentation of injury, retirement checklist, enrollment change request, W4, audio tapes, and other reference information.
	Retention and Disposition	Retain until six (6) years after the file becomes inactive, then destroy. This file becomes inactive when the individual dies, there are no legal beneficiaries, there is no pending litigation or the employee leaves the pension plan early.
L5850	Benefits File (Retirees)	This record series is used to document those benefits for individual retirees. Those benefits include health insurance, dental insurance and life insurance. This file is used to document the deductions from individual retirees monthly pensions. A list containing the deductions is sent by computer services and this is reconciled with the amount paid to the insurance companies.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the list of individual retirees and includes the social security number, name, amount of individual deductions and the total for the month. May also contain a copy of the payment to the insurance companies that has been done by the Division of Accounting.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5851	Trust Statement (Monthly)	This record series is used to document the financial status of investment accounts maintained by financial institutions. These are monthly statements of accounts and are used in reporting to the pension board. These are used to track performance of accounts where pension funds are invested.
	Access Restrictions	None
	Contents	This record series may contain the asset (stocks and bonds), shares/units or par value, tax cost, market value, percentage of market, estimated annual income, yield at market/maturity, total fixed income non-taxable, cash, total principal, income cash and total account.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5852	Disability Application (Not Approved) (V)	This record series is used to document that an employee wants to retire because of a disability. For a job related injury or illness an employee initiates the retirement process by submitting a retirement application and supplemental questionnaire. The employee must submit a signed release for medical information and a doctor's statement regarding the disability, indicating whether the member has reached maximum medical improvement and a fitness for duty evaluation. A worker's compensation claim must be submitted along with an injury report. For a non-occupational disability may apply if they have 5 years of service. They must also use this application along with medical proof of illness or injury. Once the application is not approved by the Board the employee has 20 days to apply for a rehearing. If there is another denial, the employee may appeal to the Circuit Court.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain name, ss#, address, work title, denial letter, application, medical reports and correspondence.
	Retention and Disposition	Retain for two (2) years, then destroy after all appeals have been exhausted and all litigation completed.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Pension Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5853	Roster Sheet/Ballots & Legislative Survey (Policemen's & Firefighters') (V)	This record series is used to document the election of active members to the Board of Trustees (Policemen's & Firefighters' Retirement Fund). The mayor, police chief, fire chief, commissioner of finance, commissioner of public safety, director of human resources, 2 retired (fire and police) representatives and 4 active participants (2 from fire and 2 from police) make up the Board of Trustees. The election is done annually starting with the nomination process in August with the final election completed in September. This series documents the voting for the 4 active representatives to the Board. During this election cycle a survey is taken to see if the active participants in the pension fund want to vote on certain proposed legislation to be brought before the upcoming session of the Kentucky General Assembly. Using the results of this survey a listing of each piece of proposed legislation will be circulated and the membership will be asked to vote on each.
	Access Restrictions	None
	Contents	This record series may contain the roster of candidates, the completed ballot, results of the election and certification. Also a listing of proposed legislation.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5854	Roster Sheet/Ballots - Proposed Changes by Statute (Policemen's & Firefighters') (V)	This record series is used to document the active membership's vote to have certain proposed legislation presented to the upcoming legislative meeting of the Kentucky General Assembly. After receiving the survey completed by the membership a roster of specific legislation is presented to the active membership for a vote. The results will determine what specific legislation will be brought before the state legislature. Only legislation which will result in changes to the provisions of KRS 67A.360 thru KRS 67A.690 are considered.
	Access Restrictions	None
	Contents	This record series may contain a roster of proposed legislation, description, completed ballots, results and certification.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5855	Payroll Worksheets (Monthly)	This record series is used to verify any changes in the monthly payments to retirees. These changes may result from adjustments made for cost of living, benefits or beneficiary information. This is a listing of individuals who are receiving retirement payments and is used as a cross check to make sure that the information that Pension Administration has on file is the same as Human Resources. This file is used little after the monthly comparison.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the name, ss#, address, annuity information, deductions and date of report.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5856	Domestic Relations Report	This record series is used to document the amount of money is paid to the Division of Child Support for each participant in the pension plans. This deduction is a result of receiving an order from the Division of Child Support. Used as a reference and to verify the deduction. This is really just a back up to the information that is maintained by Payroll and Benefits section of Human Resources.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name of employee, ss#, directory information, amount of payment.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5857	Investment Manager Search Information (V)	This record series is used to document the search for investment consultants for pension funds. Applications are submitted by those seeking to be investors. An RFP is completed to request applications from investors. This file documents the criteria for those applying along with all other parameters that have to be met. The process whereby an investor is chosen starts with a list of investors compiled by a company employed by LFUCG to search for investors that have a proven track record. The list is pared to 3. These three are asked to make presentations and one is chosen. The one chosen will enter into a contract with LFUCG to provide services.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the RFP and the list of possible investors.
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Pension Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5858	Official Minutes Board of Trustees (V)	This record series is used to document all official actions, votes and proceedings of the Board of Trustees of Lexington/Fayette Urban County Government pension plans. These are maintained in the Pension Administration Office. As required by KRS 61.835, minutes of actions taken by any public agency, with an accurate record of votes and actions at such meetings, shall promptly be recorded and shall be 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 may contain date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, actions taken.
	Retention and Disposition	Retain permanently.
L5859	Audio/Video Recordings Board of Trustees	This record series documents the actual proceedings of the public meetings held by the Board of Trustees. The audio tapes are generally used by the recording secretary as a transcribing aid. Videos may also be used to verify the content of the official minutes. Minutes usually contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken, however, according to KRS 61.835, minutes need only contain an accurate record of votes and actions. Because additional discussion need not be included as part of the official record, after the minutes are formally accepted at the following meeting, the tapes can be destroyed or used again after 30 days.
	Access Restrictions	None
	Contents	Actual recording of proceedings
	Retention and Disposition	Retain until thirty (30) days after minutes have been transcribed and approved, then destroy or re-use unless challenged. If minutes are challenged, recordings should be retained until resolution.
L5860	Packets for Members of the Board of Trustees (V)	This record series is used to furnish each member with information about business that is going to be conducted at a meeting. This packet provides the information necessary for the Trustees to make informed decisions.
	Access Restrictions	None
	Contents	This record series may contain an agenda, copies of reports, administrative synopsis of new business and summary of business.
	Retention and Disposition	Retain one (1) copy permanently.
L5861	Banking Records File	This record series documents all banking transactions completed by the administration office. This file verifies the checks written and reconciliation of accounts. It is also used as an audit trail and a reference. This file also is used to maintain investment statements from the investment manager.
	Access Restrictions	None
	Contents	This record series may contain the, bank reconciliation, bank statement, check stubs, duplicate copies of checks and deposit ticket.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5862	Employer's Monthly Return of Income Tax Withheld	This record series documents the monthly withholding of state income tax for those enrolled in the pension plans. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.
	Access Restrictions	None
	Contents	This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Pension Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5863	Form 1099 - R	This record series is used by a participant in the pension plans to report retirement funds that are subject to state and federal taxes. This form is issued by Lexington/Fayette Urban County Government's Pension Administration office on an annual basis to those who are responsible for payment of taxes. A copy is maintained by the office.
	Access Restrictions	None
	Contents	This record series contains the name, social security number, address, amount subject to tax and tax year.
	Retention and Disposition	Retain for four (4) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Purchasing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3232	Procurement Regulations Access Restrictions Contents	This record series along with the applicable portions of Kentucky Revised Statutes and the Charter of the Lexington-Fayette Urban Co. Gov't govern all procurement activities of merged government. It is used in the acquisition of goods and services. This record series contains sections on responsibility and delegation of authority, purchasing coordinators, source selection: purchases that exceed \$10,000, competitive sealed bids, small purchase procedures, emergency purchases, multiple and partial contracts, contract modification and termination, sureties and bonds, disciplinary action for failure to perform, appropriations, verification and public availability of records, miscellaneous.
	Retention and Disposition	Retain permanently.
L3233	Purchasing Manual Access Restrictions Contents	This record series documents the purchasing procedures for goods and services for the Urban County Government. This record series contains the introduction, policies and procedures, purchasing coordinators, purchasing procedures, automated purchasing procedures, accounting/payment, surplus.
	Retention and Disposition	Retain permanently.
L3234	Fixed Assets Policies and Procedures (V) Access Restrictions Contents	This record series documents the purchasing system and provides written guidelines for the acquisition, recordkeeping and disposition for all Lexington/Fayette Urban County Gov't (LFUCG) fixed assets. The policies were formulated to enhance internal controls and improve safeguards for LFUCG property. All property, except rolling stock, is subject to these policies and procedures. All fixed assets, regardless of funding source, are subject to these guidelines. This record series contains the purpose of the procedures manual, definitions of terms, sections concerning fixed assets, land, buildings and improvements, construction work in progress, leased assets, equipment and machinery, audits and forms.
	Retention and Disposition	Retain until updated, then destroy.
L3235	Inventory Numbers Routing Memorandum (Form INV014) Access Restrictions Contents	This record series is used to route the inventory sticker for new fixed assets to the appropriate Division. The form is copied by the receiver and returned to Purchasing. The form is then reconciled with the Purchase Requisition to make sure that the appropriate tag has been assigned to the right fixed asset. After reconciliation this form becomes obsolete and is destroyed. This record series contains the name of the receiving party, Purchasing Division, subject, tag number, description of fixed asset, serial number, destination (building and room), fund, detail, acquisition date, cost, po/voucher number, model, signature of Purchasing Division person, date signed.
	Retention and Disposition	Retain until no longer useful, then destroy.
L3236	Monthly Fixed Assets Inventory Access Restrictions Contents	This record series is used to verify that all fixed asset deletions, transfers, and additions have been done. This report is generated by the Division of Computer Services from the Inventory Master Record Database. This report is reconciled with the Fixed asset Inventory Transfer and Equipment Retirement Forms (FA9) received from all government Divisions. This record series contains fixed assets inventory additions, transfers, and deletions, inventory tag number, fixed asset description, fund account, dept. #, account #, buyer account #, purchase order/voucher #, acquisition date, current value, totals, items listed.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L3237	<p>Purchase Requisition</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used in verifying that the appropriate inventory number is assigned to the appropriate fixed asset. This record is compiled from the purchase order/voucher. It is received from the Division of Computer Services on a daily basis.</p> <p>This record series contains the requisition number, acquisition date, purchase order number, buyer, vendor, shipping destination, description of fixed asset, quantity, unit, unit price, amount, requesting Division, and purchasing coordinator.</p> <p>Retain until no longer useful, then destroy.</p>
L3238	<p>Yearly Fixed Asset Inventory</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is created at the end of the fiscal year by the Division of Computer Services and is maintained by the Division of Purchasing. It is compiled by Department, thereunder by tag number. The Division of Purchasing distributes to each Division the appropriate section for that particular Division. Each Division then reconciles their files to the yearly report. The Division of Purchasing uses the reconciliation as an internal audit. The record is also used as a reference throughout the first year.</p> <p>This record series contains fixed assets inventory by department and tag number, description of fixed asset, equipment #, building, room, fund, department, account, buyer account, serial number, purchase order voucher #, acquisition date, acquisition cost, current value, and totals.</p> <p>Retain for three (3) years, then destroy after audit.</p>
L3239	<p>Fixed Asset Inventory Coordinator Appointment Form (FA4)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to appoint a person in each Division as Fixed Asset Inventory Coordinator. A copy is maintained in each Division with original returned to the Division of Purchasing.</p> <p>This record series contains effective date, new appointment, change, terminate, department, division, name, title, address, room #, phone, appointing authority, title, coordinator, and division director.</p> <p>Retain until changed or updated, then destroy.</p>
L3240	<p>Fixed Asset Inventory Transfer and Equipment Retirement Form (Form FA9)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used in the recording of the transfer of any existing asset, and whenever an asset is retired by disposal, scrapping or trade-in. It should be noted that it is signed by both departmental Inventory Coordinators any time an asset is transferred from one department to another.</p> <p>This record series contains whether it is a transfer or deletion. Also contains the inventory tag #, old department #, new dept. #, reason for request and method of disposal, date, requested by, inventory coord. for old dept., inventory coord. for new dept., division approval for new and old, dates for new and old.</p> <p>Retain for three (3) years, then destroy after audit.</p>

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Series	Records Title and Description	Function and Use
L3241	<p>Improvements or Adjustments to Existing Equipment (Form FA8)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to report any improvements or changes in existing equipment to the Division of Purchasing. These changes are entered into the Inventory Master Record Database.</p> <p>This record series contains the inventory #, fixed asset description, improvement cost, purchase order #, date of adjustment, name of preparer, date, division director, date, Division of Purchasing date received and by whom.</p>
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3242	<p>Fixed Asset Request for New Inventory Tag Numbers (Form FA10)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to assign new inventory tag numbers to existing fixed assets. The old tag numbers have been removed or have come off of the existing items. The form is routed to the Division of Purchasing where a new tag number is assigned and entered into the Inventory Master Record Database.</p> <p>This record series contains the old tag #, new tag #, item description, the person requesting the new #, and the date.</p>
	Retention and Disposition	Retain for one (1) year, then destroy.
L3243	<p>Fixed Asset Property Inventory Additions (Form FA6)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used for reporting any equipment and machinery previously purchased by Risk Management. These items are replacing those which have been stolen or destroyed through accidental means. Primarily this record is used to report donated equipment or machinery.</p> <p>This record series contains account information (fund, division), cost, asset description, serial number, purchase order, purchase order date, preparer name, date prepared, dept./division, dept./div. head signature, date signed.</p>
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3244	<p>Fixed Asset Cumulative Inventory File</p> <p>Access Restrictions</p> <p>Contents</p>	<p>The function of this record series is to maintain all the forms, reports and inventory information in one location. All the record series described and listed as fixed assets, except the procedures manual, in this schedule is maintained in this file.</p> <p>This record series may contain the Inventory Numbers Routing Memo., Purchase Requisition, Monthly Fixed Assets Inventory, Yearly Fixed Asset Inventory, Fixed Asset Inventory Transfer and Equipment Retirement Form, Fixed Asset Improvements or Adjustments to Existing Equipment, Fixed Asset Request for New Inventory Tag Numbers, Fixed Asset Property Inventory Additions and other reference material.</p>
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3245	<p>Purchase Orders and Procurement Card Transactions</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series documents the purchasing of items and the acceptance of a purchase order by a vendor results in a contract or a procurement card transaction.</p> <p>This record contains purchase order #, date, reference #, coordinator, requisition #, buyer, vendor name, shipping destination & phone, fed. I.D. #, item description, quantity, unit, unit price, amount., Division of Purchasing Director signature. Procurement card records also include transaction log, original sales receipt, packing slip, cash register receipt, order form, email conformation of internet order and monthly bank statement.</p>
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3246	<p>Price Contract Voucher</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to purchase goods or services costing from \$25.01 up to \$500.00. This is used to cut the check for the purchase.</p> <p>This record series contains voucher #, date, coordinator, blanket p.o., requisition #, Buyer, vendor name, shipping destination, federal I. D. #, accounting distribution, item description, quantity, unit, unit price, amount, and Division of Purchasing Director signature.</p>
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3247	<p>Bid Files - Firm (V)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to maintain all records associated with the bidding process for goods and services. Firm bids are those which are not associated with price contracts and are requested using listings of vendors to receive invitations to bid. This file documents each step in the bidding process from Invitation for Bid to the issuance of the purchase order.</p> <p>This record series contains copy of advertisement, invitation to bid, copy of specifications, bids, no-bids, performance bond, bid tabulations, bid recommendation from Division, bid recommendation with copy of bid, copy of resolution or ordinance, requisition #, purchase order.</p>
	Retention and Disposition	Retain for seven (7) years, then destroy after audit.
L3248	<p>Bid Files - Price Contracts (V)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series maintains all records dealing with the bidding for price contracts. Documents all phases of the bidding process from the newspaper advertisement to the issuance of a price contract.</p> <p>This record series contains the advertisement, vendor list, original bid, no-bids, bids not recommended, tabulation sheet, recommendation letter from division, bid recommendation with copy of bid, copy of resolution or ordinance, copy of price contract.</p>
	Retention and Disposition	Retain for seven (7) years, then destroy after audit.
L3249	<p>Legal Notices for Newspaper</p> <p>Access Restrictions</p> <p>Contents</p>	<p>A notice must be placed in the local newspaper advertising the fact that bids are being accepted. This requirement is designated by law. This file includes notices of auctions and bids on surplus equipment.</p> <p>This record series contains the date, bid deadline, bid specifications, bid conditions. A copy of the notice sent to the paper and a photo copy of the actual notice is in the file.</p>
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Purchasing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3250	Ordinances and Resolutions Reference File (Duplicate) Access Restrictions Contents Retention and Disposition	After a vendor's bid is approved it is delivered to the mayor. Upon the mayor's approval an ordinance or resolution to accept the bid is drafted. The ordinance or resolution is placed on the Council's docket. After receiving a copy of the ordinance or resolution, the Division of Purchasing a purchase order is issued. This record series contains the ordinance or resolution #, description, effective date, date of second reading. Retain for two (2) years, then destroy.
L3251	Invoices/Stock Room Access Restrictions Contents Retention and Disposition	This record series is used by each Division in merged government to order office supplies. This record series contains the Division name, person ordering, date, address, quantity, description of item, price , cost. Retain for one (1) year, then destroy after audit.
L3252	Vendor Application Access Restrictions Contents Retention and Disposition	This record series is used by vendors who are interested in receivig invitations to bid. The information from the application is input on the main frame and backed up monthly. Deletions or changes will only be made when the vendor goes out of business, changes address, or does not respond to a bid request. This record contains vendor name, date, telephone, fax #, business license, type of organization, Is the firm a Disabled Business Enterprise, Category, types of services , mailing address, persons authorized to sign bids, persons to contact, customer references, signature, name and title of person completing form, approval, reviewer, and date. Retain for two (2) years, then destroy.
L3253	Formal Quote File Access Restrictions Contents Retention and Disposition	This record series documents and maintains all the information concerning formal quotes. Formal quotes are required for goods and services costing from \$5,000 - \$9,999.00. This must be done in writing. This record contains request for quotations, date of issue, item description, quantity, unit price, total price, firm, address,signature or authorized co. representative, typed name of representative, phone number, specifications, terms and conditions. Retain for seven (7) years, then destroy after audit.
L3254	Monthly Distribution Report/Stock Room Access Restrictions Contents Retention and Disposition	This record series documents the Divisional purchase of supplies from the stock room. The report is done on a monthly basis and is then sent to the Division of Accounting, along with the invoice where it is reconciled with each division's fund. This record series contains fund #, division, account line, receipt #, date, and total. Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Purchasing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3255	Yearly Distribution Report/Stock Room Access Restrictions Contents	This record series is used to reconcile the inventory with the supplies ordered by each Division. This record series contains fund #, Division, account line, receipt#, date, total.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3256	Yearly Inventory Report/Stock Room Access Restrictions Contents	This record series documents the inventory activity of the stock room during the year. It documents who used the stock room, what was used, and the cost to each division. This record series contains date, stock #, item description, lots, unit price, value.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3257	State Price Contract Additions and Deletions Access Restrictions Contents	This record series is received from the state every 3 months and used by the Division of Purchasing to update the current state price contract file and contracts are used to make purchases in lieu of bidding. This record series contains the contract #, commodity, vendor, vendor phone, vendor number.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L3258	Deleted State Price Contracts Closed Date: 9/15/1998 Access Restrictions Contents	This record series is run daily and used in the purchasing process to make sure that all state price contracts are up to date. Used as a reference to make sure goods and services were on price contract at the time of purchase. This record series contains the commodity, vendor name, effective date, E/T, contract #, Buyer, Vendor #, index #, cutoff date, page #.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L3259	Local Price Contract Deletion Report Access Restrictions Contents	This record series is used in the bidding process to make sure that the prices used are in effect at the time of bidding. This report is run daily. This record series contains the commodity, vendor name, effective date, contract #, buyer, vendor #, index #.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L3260	Local Price Contract Report Access Restrictions Contents	This record series documents the price contracts in effect and when they first took effect. This report is used in the bidding process. This report is run monthly by vendor name, commodity and effective date. This record series contains the commodity, vendor name, effective date, contract #, Buyer, vendor #.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Purchasing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L3261	Blueprints	This record series is used in the bidding process when invitations to bid are sent out. These are done for street construction, building (construction or additions) or any other possible construction. The Division of Purchasing receives a copy of the blueprints from the requesting Division and they are used by the vendors. The blueprints are also used by Purchasing in the description part of the invitation to bid.
	Access Restrictions	
	Contents	This record series contains the name of the requesting Division and what the project is and the date.
	Retention and Disposition	Retain for one (1) year, then return to requesting division or destroy.
L3262	Report of Payroll Hours-Time and Attendance	This record series documents the time and attendance of the Division of Purchasing employees. Sent to the Division of Human Resources each pay period.
	Access Restrictions	
	Contents	This record series contains employee name, hours worked, vacation time accrued, vacation time used, sick time accrued, sick time used, other time accrued, other pay, explanation, signature of compiler, signature of Division Director.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3263	Payroll Report by Program	This record series documents the total salaries and withholdings of all employees in the Division of Purchasing.
	Access Restrictions	
	Contents	This record series contains the name of the Division, account number, civil service salaries, number of employees, expense amount, withholdings, totals of all above.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3264	Payroll Register (Duplicate)	This record series is used by the Division to reconcile with time and attendance and reference. It documents the total salary and withholdings for each employee.
	Access Restrictions	
	Contents	This record series contains the Division name, employee, address, telephone, hours worked, pay, hourly rate, deductions.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L3265	Biweekly Absentee Report	This record series is used to document the absences of the Division's employees and is used by the Division of Purchasing to reconcile that the Time and Attendance is correct.
	Access Restrictions	
	Contents	This record series contains employee name, employee #, beginning balances and ending balances for vacation, sick, holiday and other time.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number

Finance
Revenue
Audit Section

Series	Records Title and Description	Function and Use
L4194	Audit File (V)	This record series is used to document the procedures whereby taxpayers are audited. This is done either in a random fashion or when there are reasons to audit. This is done by the Davison of Revenue staff.
	Access Restrictions	None
	Contents	This record series may contain the payment form, audit information, license fee payment history, federal tax return, profit or loss statement, w2s, settlements, letter of findings, name of business or individual and directory information.
	Retention and Disposition	Retain until five (5) years after close of audit, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Revenue
Landfill User Fee Unit

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L4174	Landfill User Fee Payment Edit	This record series is used to verify payments made for those using herbie curbies and dumpsters. When the payment is received the paid bill is sent to the Processing Unit where it is given a batch number and microfilmed. From there it is sent to Computer Services where it is entered into the database and this edit report is generated and sent back to the Landfill User Fees Unit. This listing is used to verify payments when there are inquiries are made.
	Access Restrictions	None
	Contents	This record series contains the batch #, account #, owner name, date, transactin #, payment amount, open balance, totals and number of payments.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4175	Landfill User Fee Adjustments	This record series is used to document any adjustment made to the landfill user fee. This adjustment may be due to billing error, bankruptcy, refund, change of ownership and any other changes to the billing process. This record series is generated by the Unit when any adjustment is received which is almost daily. This adjustment is sent to Computer Services where the information is entered, then sent back to the Unit where it is used to verify the changes if inquiries are made.
	Access Restrictions	None
	Contents	This record series contains transaction code, date, adustment #, account #, adjustment code, bill code, user fee amooount, penalty, interest, returned check, other charges, tax and grand total.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4176	Landfill User Fee Adjustments Edit Report	This record series is used in the verifcaion of changes in billing of landfill user fees. This report is generated by computer services from the landfill user fee adjustment sheet sent by the Unit. Once these have been entered this report is completed and sent to the Landfill User Fee Unit. The landfill user fee adjustment sheets are reconciled with this report.
	Access Restrictions	None
	Contents	This record series contains the date, account number, name, amount, adjustment date, member and type, bill code.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4177	Landfill User Fee Payment Update	This record series is used to document user fee payments on a daily basis. This report differs from the others because not only the total amount is given but what charges went into making the total. The record series is used to answer questions concerning the billing for landfill user fees and to reconcile with the User Fee Adjustment Sheet.
	Access Restrictions	None
	Contents	This record series contains the date, account #, owner name, batch , sequence #, transaction #, amount paid, user fee, penalty, interest, pre-balance, new balance and grand totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4178	Landfill user Fee Adjusments Update	This record series is used to verify all adjustments made to the landfill user fee on daily basis. This report is generated from the Landfill User Fee Adjustment Sheet. This report differs from the other in that the total payments and adjustments are broken down to show what went into making those payments and adjustments. Used to reconcile with the Adjustment Sheet.
	Access Restrictions	None
	Contents	This record series contains the date, account #, service location, type, adjustment date and number, user fee, penalty, interest, return check, other, sales tax, total and grand totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group

Finance

Number

Revenue

6168

Landfill User Fee Unit

Series	Records Title and Description	Function and Use
L4179	Sewer User Payment Edit	This record series is used to document the payment of the sewer fee. When payment is received the bill receipt is processed and microfilmed and then sent to Computer Services where it is entered into the appropriate account. This report is then generated and sent to the Landfill User Fee Unit. Used as a quick reference and to reconcile with the database if questions arise.
	Access Restrictions	None
	Contents	This record series contains the date, account #, customer name, date, transaction #, payment amount, open balance, messages, total number of payments processed, tape total, computed total, batch #, and control #.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4180	Sewer User Adjustment Sheet	This record series is used to document any adjustments to the sewer user fee for individual accounts. The Landfill User Fee Unit compiles this for any change to a sewer account. The adjustment may be for a billing error, delinquency, return check, bankruptcy, change of ownership or extra strength(those accounts which in the past may have dumped any kind of toxic materials-prior to present law). This is the control document whereby Computer Services makes changes to the database. Used as a quick reference and reconciling any differences that may arise in the database.
	Access Restrictions	None
	Contents	This record series contains the date, transaction code, adjustment #, account number, adjustment code, bill code, sewer amount, penalty, interest, return check, extra strength, tax, totals and grand total.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4181	Sewer User Adjustment Edit Report	This record series is used to document the adjustments in the sewer billing for individual accounts. This report reflects those adjustments made on the Sewer User Adjustment Sheet which was forwarded to Computer Services by the Landfill User Fee Unit. This report is used in the Unit for verifying that changes were made if asked by the public and to make sure that the changes made on the adjustment sheet are the same.
	Access Restrictions	None
	Contents	This record series contains the date, account number, name, amount, adjustment date, number and type, bill code, total adjustments processed.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4182	Sewer User Payments Update	This record series is used to document the payments made for sewer services. This report is issued almost daily and reflects the different charges going into the total amount paid. This record series is used by the Unit in verifying the payments and to answer sewer user questions.
	Access Restrictions	None
	Contents	This record series contains the date, account number, customer name, batch number, sequence number, transaction number, amount paid, sewer amount, penalty, interest, pre-balance, new balance, and grand totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4183	Sewer User Adjustment Update	This record series is used to document all adjustments on a daily basis. This report not only documents the total payments for individual sewer users but reflects those amounts which go into compiling the totals. The Unit uses this report for verification of the information when they get inquiries and to reconcile that the database is accurate.
	Access Restrictions	None
	Contents	This record series contains the date, account #, service location, customer name, adjustment date and number, sewer amount, penalty, interest, returned check, sales tax and totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Revenue
Landfill User Fee Unit

Record Group
Number
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Series	Records Title and Description	Function and Use
L4184	Bank Deposit Ticket	This record series is used to document the deposit of monies into the government' bank account. These deposits are for money collected for sewer and landfill users. The payments are received by the Processing Unit and the deposit tickets are forwarded to the Landfill User Fee Unit. Some of the deposits are electronically made and others are taken to the bank.
	Access Restrictions	None
	Contents	This record series contains the name of the depositor, date, name of payer, amount, description, account number, line number, project number, p. o. number, amount and initial of one filling out the ticket.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4185	Sewer Payment for Kentucky Accounts(Report SEW117)	This record series is used to document those sewer bills that are delinquent(30 plus days overdue) and sent to the collection agency(Kentucky Accounts) that have had adjustments since the collection process was started. This is upgraded monthly and is sent to Kentucky Accounts for their use in adjusting their collection records. These delinquents may not be sent for collection for 6 months.
	Access Restrictions	None
	Contents	This record series contains the dates, account number, name, payment, date, batch, sequence number, transaction number, amount paid, current balance and totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4186	Sewer Charges for Kentucky Accounts(Report #118)	This record series is used to document any changes in delinquent accounts that have been sent to Kentucky Accounts for collection. This listing is done on a monthly basis and is sent to Kentucky Accounts for them to use to reconcile their accounts.
	Access Restrictions	None
	Contents	This record series contains the dates, account #, name, transaction date, current balance and reason for change.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4187	Landfill Tenant Accounts-Owner Responsibility/Transfer of Billing Form	This record series is used to document who is responsible for payment of the landfill user fee by a commercial user. The owner of the property must fill out this form and notarized stating who will be responsible for payment. A tenant is named responsible but if that tenant does not pay the owner is liable. Every time a tenant changes this form must be completed.
	Access Restrictions	None
	Contents	This record series contains the landfill tenant account, service location, account creation date, parent account number, parent name, date HB accounts created, date transfer adjustments submitted, date first tenant bills sent, account number, account name, no., type, and size containers and notes. Signature of owner, address, date signed and notarization.
	Retention and Disposition	Retain until updated or property no longer used, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number
6168

Finance

Revenue

Landfill User Fee Unit

Series	Records Title and Description	Function and Use
L4188	Monthly Activity Statement	This record series is used to document the collection of delinquent sewer user fees by the collection agency (Kentucky Accounts Service). This report is sent to the Unit monthly where it is used to calculate the commission due the collection agency. Along with this paper report a computer tape is sent to Computer Services where all accounts are updated. The paper copy is used in the Unit to reconcile with the tape if there are discrepancies.
	Access Restrictions	None
	Contents	This record series contains the activity dates, your number, check number, total collections, transaction date, debtor's transaction, current balance, code, amount paid to agency, amount paid to you, total due agency, amount due you, sub-totals, and totals.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4189	Bankruptcy File	This record series is used to document those landfill/sewer users who have filed for bankruptcy and are going through bankruptcy court. The bankruptcy notice is received and a memo is compiled with account information and is sent to the Urban County Government's Law Department where a Proof of Claim is completed.
	Access Restrictions	None
	Contents	This record series contains memo to the Law Department, copy of notice of commencement of bankruptcy case, and user fee account information.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4190	Landfill/Sewer User Fee Refund File	This record series is used to document that a refund of sewer or landfill user fees has been made. A cash disbursement request is made and the original is sent to the Division of Accounting where a check is made and sent to the user. An entry is made in the account of the user reflecting the refund amount and what it was for. Maintained in the Account Database.
	Access Restrictions	None
	Contents	This record series contains the cash disbursement request which has the name and address of payee and the amount and why the refund was made. Date of request and date of approval. A copy of the user's account is attached.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4191	Adult Services Grant Assistance Memo File	This record series is used to document those sewer users who have received grant assistance in the payment of their bill. This memo comes from the Adult Services Division where application for assistance is completed. After approval this memo is sent to the Landfill User Fee Unit where it is noted in the user's account. The memo is then filed and updates to the user's account is made and any action to be taken is completed.
	Access Restrictions	None
	Contents	This record series contains the name of the receiving person, person sending the memo, date, subject, client name, address, sewer account number and check -offs for what action is to be taken.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4192	Adult Services Grant Assistance Payment File	This record series is used to document that payment has been made in the accounts of those who qualify for grant assistance in the payment of landfill or sewer user fees. The Division of Accounting after receiving the memo from Adult Services will issue a check in the amount of the assistance and send it to the Landfill User Fee Unit. The check is then sent to the Processing Unit where it is processed, microfilmed and deposited. This file is maintained for reference purposes with the cancelled check and check register being maintained by the Division of Accounting.
	Access Restrictions	None
	Contents	This record series contains the check stub, routing memo which has the user's account information.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

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Record Group

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Landfill User Fee Unit

Series	Records Title and Description	Function and Use
L4193	Return Check File	This record series is used to document checks returned for insufficient funds for the payment of sewer and landfill user fees. When a returned check is received by the Division of Accounting it is routed to the Unit where documentation to the individual's account is made and the check is held till payment. A letter is sent to the user informing them of the returned check and requesting payment. When paid a copy of the check is maintained in the file.
	Access Restrictions	None
	Contents	This record series contains the deposit ticket, listing of returned checks for a certain date, copy of the letter sent to the user and a copy of the returned check or the original check.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

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Finance

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Processing

Series	Records Title and Description	Function and Use
L4105	Payment Record (EMS, Landfill, Citations and Sewer Assessments Receipts)	This record series is used to document the receipt of payments from those who have used the Emergency Medical Services, commercial users of the landfill, parking citations and sewer assessments. The billing is done monthly and the receipts are processed by the processing unit on a daily basis. This is a listing generated by computer services after receiving the paid bills. It documents the payments and is used for the audit.
	Access Restrictions	None
	Contents	This record series contains EMS receipts, receipt edit from remittance processor, landfill and citation receipts. These contain the batch #, type, date, account #, transaction #, sequence #, amount received for EMS, landfill, citations, the amount owed and totals.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4106	Landfill Charge Edit	This record series is used to document the charges to commercial users of the landfill. This listing is prepared from the transfer of information from the landfill operation to the Processing Unit on a daily basis. It is used to verify the charges and the amount(tonnage) deposited by a commercial user. This is used by the Processing Unit as a reference when confirming landfill use by commercial users.
	Access Restrictions	None
	Contents	This record series contains the date, the account number, name of user, date used, ticket #, amount charged, truck #, tonnage, yards, product code and total amount, total tonnage, total yards.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4107	Landfill Usage Billing Register	This record series is used to document the amount owed by the commercial users of landfill. This is a list of billings compiled by computer services for the current billing period. These are the bills sent out by the Processing Unit. This listing is used as a quick reference in determining the current and past billings of customers.
	Access Restrictions	None
	Contents	This record series contains the date, account number, name of user, previous balance, current interest, current charge, current payment, over 90 days, over 60 days, over 30 days, new balance, how many bills prepared, and totals of all columns.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4108	Landfill Weigh Ticket (V)	This record series is used to document the monthly billings of commercial users of the landfill. This ticket is prepared by the landfill office with one copy going to the commercial user and the other sent to the Processing Unit on a monthly basis. It is used to prepare the billings for the landfill users.
	Access Restrictions	None
	Contents	This record series contains page #, ticket #, date, time, customer, customer code, account #, truck #, gross pounds, non-taxable, net pounds, total amount charged, waste pounds, waste tons, rates per tons and cu. yardage, certification signature of truck driver and remittance address.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4109	Landfill Usage Charge Receipt (V)	This record series is used to document the billing and payment of charges made to commercial users of the landfill. This billing is sent out monthly based upon the usage by commercial entities of the landfill. The landfill usage charge receipt is sent to the Processing Unit along with payment. This record series is encoded and run through the processor where it is scanned into the database and microfilmed.
	Access Restrictions	None
	Contents	This record series contains the account number, billing date, due date, previous balance, payments, current charges, current interest, balance due, name of landfill user, ticket #, date used, tonnage, yardage, and payment instructions.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number
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Finance
Revenue
Processing

Series	Records Title and Description	Function and Use
L4110	Emergency Medical Ambulance Service Payment Receipt	This record series is used to document the payment of services provided by the Emergency Medical Ambulance Transportation Service on a monthly basis. The billing is received by the Processing Unit electronically from the receiving hospital, through the appropriate Medical Service firehouse to Urban County Gov't Computer Services. After receiving the payment this receipt is processed, put on disk, microfilmed and boxed.
	Access Restrictions	None
	Contents	This record series contains the EMS account number, service date, billing date, name of person receiving the service, amount due, encoding number and Urban County Gov't address.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4111	Sewer Improvement Assessment Payment Receipt	This record series is used to document the billing and payment of sewer improvement assessment on a yearly basis. This annual payment is based on bond issues for areas within Urban County Government. This payment is received and processed, encoded, put on disk and microfilmed.
	Access Restrictions	None
	Contents	This record series contains the account #, Urban County Gov't KRS statute-KRS 67A 97, subdivision, mtg. co. code, location, remittance address, amount due, name of person billed.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4112	Request for Medicare Payment - Ambulance(Medicare Claim Form)	This record series is used to request payment of medicare benefits when Emergency Medical Services are used. This claim is filed monthly by the Urban County Gov't for those eligible for medicare assistance. This form is used to identify and to determine the persons eligibility. It is also used to decide if the services and supplies received are covered by medicare and to insure that proper payment is made. The information may be given to other providers of services, carriers, intermediaries, medical review boards, and other organizations as necessary to administer the Medicare program.
	Access Restrictions	None
	Contents	This record series contains Part 1 - the name of patient, health Insurance Claim #, gender, patient's address, telephone #, whether illness or injury was work related, other insurance, signature of patient and date. Part II - Date of service, type of service, ordered by, description of illness or injury, name of treating doctor, address of doctor, origin of service, destination of service, number of miles, cost per mile, mileage charge, special service description, base rate, total charges, amount paid, balance due, name and address of supplier, supplier code, telephone number, assignment of patient's bill, signature of supplier and date signed.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4113	Medicare Remittance Notice	This record series is used to document the payment of medicare benefits to the Urban County EMS system. This notice is received from Administar Federal as often as bi-monthly. The Processing Unit uses this to compare with the claims made and to make sure that payments are received.
	Access Restrictions	None
	Contents	This record series contains the name and address of service provider, provider #, page #, date, check/EFT #, statement, name of client, service date, billing amount, allowed amount, deduction, provider payment, total claims, total billed, total allowed, total deduction, total provider payment, instructions.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number
6168

Finance
Revenue
Processing

Series	Records Title and Description	Function and Use
L4114	Remittance Advice Report	This record series is used to document the payment of claims made through the Kentucky Department for Medicaid Services by claimants using the Urban County EMS. This is received monthly by Urban County Government and is a listing of claims made and paid.
	Access Restrictions	None
	Contents	This record series contains the EMS invoice #, recipient I.D., claim service dates, billed charges, charge off, amount from other sources, claim payment amount. Run date, RA number, claim type, provider name, type of service, provider number.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4115	Medicaid Insurance Claim Form	This record series is used to document that a claim has been submitted by a person who has used the EMS ambulance service. This claim is completed through the database maintained by Urban Co. EMS and sent to the Kentucky Dept. for Medicaid Services. This form is not maintained by the Processing Unit but has been in the past.
	Access Restrictions	None
	Contents	This record series contains the patient name, address, birth date, patient relationship to insured, sex, patient status, other insured's name, patient's condition related to, signature of patient, date, insured's I.D. #, Insured's name, address, policy group #, insured's and other directory data.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4116	Veteran's Benefits Denial Letters	This record series documents the reasons for denying payment to Urban County EMS for services rendered to a person transported to the Veteran' Hospital. When payment is denied the Processing Unit will bill the person for payment of the EMS bill.
	Access Restrictions	None
	Contents	This record series contains the name and address, date, denial, reasons, signature, name of claimant and ss#.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4117	Veterans Administration Payment Record - EMS	This record series is used to document the payment for services rendered by Urban County EMS to persons transported to the Veteran's Hospital. This is a listing of those persons eligible for veteran's benefits who have used EMS services during the month. This listing is sent to Urban County Government prior to the sending of a payment check. When the check is received by the Processing Unit the stub is attached to the the listing.
	Access Restrictions	None
	Contents	This record series contains a cover letter giving the total amount to be received, the name of the patient, report date, amount, and account #, the date of the letter and the check stub.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4118	Parking Citation (Hard Copy)	This record series documents that a parking violation has occurred. The police department writes the parking citation and sends it on to the Processing Unit of the Division of Revenue. The Processing Unit is responsible for collection. This record series is the paid record sent in by the violator. This is called a hard copy because it is an envelope used for payment by the violator. This is kept separate from the soft-copy citations. When they are received they are batched and a receipt for the batch is completed and retained with the paid citations. They are boxed and six months worth is sent to the county archives every two years.
	Access Restrictions	None
	Contents	This record series contains the citation #, license # of vehicle, state, year, date cited, vehicle make, model, meter #, time, officer, badge #, location, type of parking violation, instructions for payment. These are batched with a cover containing the batch #, items paid, receipt numbers, and total received. Also in the batch are parking citation revenue receipts and notices of parking citations.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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L4119	Parking Citation (Soft Copy)	This record series documents that a parking violation has occurred. This is sent to the Processing Unit for collection. They are sent to computer services for entering and batching. This copy comes from the police department documenting the writing of a parking violation.
	Access Restrictions	None
	Contents	This record series contains the batch ticket, license #, state, license yr., date cited, vehicle make, model, meter #, time, officer, location, type of parking offence and instructions for payment and consequences.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4120	Parking Notices Issued by Name Report	This record series is used to verify that a parking violation has occurred and to print delinquent notices. This report is printed monthly and contains the names of the violators who have registered vehicles in Fayette County. The database from which this report is taken has access, through the Department of Transportation in Frankfort, to all vehicle registrations in Fayette County. This update is done monthly. This report is maintained in a file containing other reports including Parking Citations Needing Motor Vehicle Info., Complaints/Summons Issued by Name, Complaints/Summons Issued by Citation Number and AVIS updates.
	Access Restrictions	None
	Contents	This record series contains the date of report, page #, citation #, license #, state, year, issue date, make of vehicle, badge #, time, location, violation, name.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4121	Parking Citation Needing Motor Vehicle Info. Report	This record series is used to request the names and addresses of those owners of out of county registered vehicles which have been cited for parking violations. This report is sent to the Kentucky Department of Transportation. The Department sends back the name and addresses and the Processing Unit bills those people. This procedure is done monthly.
	Access Restrictions	None
	Contents	This record series contains the date of report, citation #, license #, state, year, issue date, make, transaction date, and VIN.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4122	Complaints/Summons Issued by Name Report	This record series is used to report those parking citations which have not been paid. If the citation is not paid within 6 months it is sent to District Court where action is taken for collection. District Court does not pursue collection after 1 year.
	Access Restrictions	None
	Contents	This record series contains the date of report, citation #, license #, state, year, issued date, badge, time, location, violation, and name of violator.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4123	Complaints/Summons Issued by Citation Number	This record series is used to document those parking citations which have not been paid and have consequently been sent to District Court for action. This report is maintained of those citations which have gone through the District Court process and action has been taken.
	Access Restrictions	None
	Contents	This record series contains the report date, citation #, license #, state, year, issue date, make, badge, time, location, violation, and name of person receiving citation.
	Retention and Disposition	Retain for two (2) years, then destroy.

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Series	Records Title and Description	Function and Use
L4124	<p>Revenue Receipt for Parking Citations</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name and address of Urban Co. Gov't., date, received from, amount, description, account number, line number, project number, p.o. number, amount, and initials of person completing the receipt.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the receipt of payment of parking citations. This record series is issued for every batch of citations paid which are processed on a daily basis. Used as an audit tool to track the payments of parking citations.</p>
L4125	<p>Parking Citation Receipt</p> <p>Access Restrictions None</p> <p>Contents This record series contains name of Urban Co. Gov't. date, received from, amount, citation #, vehicle license #, type of violation, type of payment, and initials of person collecting.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the payment of a parking citation by an individual. The original is given to the individual and this copy is maintained with the hard copy of the parking citation.</p>
L4126	<p>Notice of Parking Citation</p> <p>Access Restrictions None</p> <p>Contents This record series contains the Urban Co. Gov't name & address, citation #, license #, issue date, batch , validate #, badge #, violation code, location, amount due, date to be paid, name and address of individual.</p> <p>Retention and Disposition Retain for two (2) years, then destroy after audit.</p>	<p>This record series is used to document that a parking citation has been given and is sent to the individual receiving the citation if the citation has not been paid in 30 days. This notice is maintained with the soft copy of the citation.</p>
L4127	<p>Parking Citation Batch Control</p> <p>Access Restrictions None</p> <p>Contents This record series contains the date of the report, batch #, citation #, license #, st., year, issue dt., make, badge, time, location violation, batch, void, date pd., amount pd., record #.</p> <p>Retention and Disposition Retain for two (2) years, then destroy.</p>	<p>This record series is used to document those parking citations which have been entered and batched together. This is done daily showing the citation and whether it has been paid or not. This is used by staff to track those citations which have been paid and not paid and where each citation is batched.</p>
L4128	<p>Property Tax Bills - Paid</p> <p>Access Restrictions None</p> <p>Contents This record series contains the Urban Co. Gov't address and name, bill #, account #, district, locator #, homestead exemption, assessed value, tax, assessment date, date to be paid, class, address of taxpayer, state tax rate, school tax rate, general service tax rate and total.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the issuance and payment of real property tax on an annual basis. This bill is generated by Computer Services using the tax rolls sent electronically by the PVA to Urban Co. Gov't. A portion of the bill is sent with the payment to the Urban Co. Gov't. The property tax season runs from October 1 through April 15. Being a merged government, the Urban County Government is the billing and collecting agency for property tax. The Sheriff's office pays Urban County Government a commission to do this. An arrangement with 5th/3rd Bank allows the taxpayer to send payment directly to the bank where it is deposited. A record of payment along with the tax bill is sent by the Bank to the Processing Unit where the tax bill is processed and deposits are verified. The paid tax bills are maintained in the office for the current tax year, then boxed and sent to the Urban County Government Records Center for storage.</p>

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L4129	Certificate of Delinquency (V)	This record series is used to document the non-payment of property tax for a given tax year. This certificate is prepared in the Processing Unit after the tax sale has been completed. It is sent to the County Clerk for recording. A listing of the delinquent taxes owed is sent to the County Attorney who sends out letters to try and collect. After the delinquent tax bill is paid it will be released and the commission owed to Urban Co. Gov't will be forwarded to the Processing Unit. Only in special instances does the Processing Unit receive a copy of the certificate back. Processing Unit uses the delinquent tax list.
	Access Restrictions	None
	Contents	This record series contains year of tax bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment, address of property, tax rate and amount, address of taxpayer, noame of purchaser of delinquent tax bill, total taxes, penalty, sheriff's sservice fee, other costs, total of tax sale,and where recorded.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4130	Outstanding Property Tax Bill List (V)	This record series is used to document non-payment of property tax for a given year. This listing along with the certificate of delinquency is sent to the County Clerk for recording where the collection process is started. This listing is maintained by the Processing Unit along with any copies of the certificate of delinquency.
	Access Restrictions	None
	Contents	This record series contains the date of report, account #, bill #, name, location(address), and amount.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4131	Bankruptcy Status Report	This record series is used to document those property tax payers who have taken bankruptcy during the tax year. This report is generated from notices of bankruptcies received from US Bankruptcy Court. These are entered as bankruptcies in the database and given to the County Clerk so no attempts will be made to collect. This report contains not only those who owe property tax but those who owe any fees or taxes to Urban Co. Gov't.
	Access Restrictions	None
	Contents	This record series contains the name of debtor, case , date filed, type of account, date of research, date signed, amount owed. Also the notice of bankruptcy may be attached.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4132	Mortgage Company Tax Bill Reference File	This record series is use to document those property owners whose property taxes are paid by the mortgage company or from an escrow account. This file also documents when the mortgage has been paid and if the mortgage holder changes.
	Access Restrictions	None
	Contents	This record series contains a listing of taxpayers, correspondence with mortgagor and supporting documentation.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4133	Sheriffs Monthly Report of Property Tax Collections	This record series is used to document the collections of property taxes on a monthly basis. Being deputies of the Sheriff's office, the Processing Unit prepares this report. It is signed by the Sheriff and recorded in the County Clerk's Office. A copy of this is also sent the Department of Revenue.
	Access Restrictions	None
	Contents	This record series contains the name and address of the sheriff, gross tax, discount, tax collected, penalty & interest, gross collections, commission, total due for real estate, lease held, tangible, intangible, and omitted. Total normal and omitted taxes due, credit for bank and trust share tax, less refunds prior year, less refunds current year, penalty, amt. remitted, certification(signature of sheriff and county clerk.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4134	Report of Exonerations/Refunds	This record series is used to document tax assessments which have been changed by Property Valuation Administrator and the tax board. These exonerations are sent to the County Clerk for recording and are electronically sent to Urban Co. Government where changes are made in the tax bills and this report is generated to assist the Processing Unit in comparing with the copies of the order correcting erroneous assessment to make sure the changes are correct. If the exonerations are received after the tax billing a new bill will be created and a letter sent telling the taxpayer the new tax amount and disregard the original tax bill. If the taxpayer has paid the original tax bill a refund will be issued.
	Access Restrictions	None
	Contents	This record series contains the date of report, distric account #, exoneration #, name, location, original amount, change, adjusted amount, assessment amount, tax, tax amount, refund amount, difference, totals(Includes assessment amount, state tax, school tax, county tax), original billing, decreases, increases and adjusted billing.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4135	Order Correcting Erroneous Assessment	This record series is used to verify that all exonerations received by the Urban County Government from the PVA are correct and that the changes have been entered. From these a refund is generated.
	Access Restrictions	None
	Contents	This record series contains the name of taxpayer, tax bill #, date, tax period date, reason for change, description of error, description of property, original assessment, corrected assessment, decrease-increase, PVA signature, county name.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4136	Prior Year Refund File	This record series is used to document those tax bills changed from prior years due to erroneous assessment or error. This file is maintained to show those changes and to verify changes in past assessments. An application for refunds must be presented to either the sheriff, clerk, or each taxing district. A copy of an order correcting erroneous assessment from the PVA and a copy of the paid tax bill must accompany the request. Almost all of these are for Homestead Exemption.
	Access Restrictions	None
	Contents	This record series contains listing of prior year refunds by monthand year, list by year refunded, copy of refund check and stub, cash disbursement request, copy of prior year tax bill, copy of order correcting erroneous assessment, and application for property tax refund.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4137	Current Year Refund File	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4138	<p>Sheriff's Annual Settlement(Audit Copy) (V)</p> <p>Access Restrictions None</p> <p>Contents This record series contains the Sheriff's official receipt for additional, supplemental and deferred property tax bills, certification of equalized assessment. sheriff's county tax settlement, resolution approving co. settlement, revenue cabinet rate confirmation, county tax billing report and summary of tax calculations. The following schedules: Franchise tax bills by district, delinquent franchise tax bills by district, supplemental tax bills by district, delinquent supplemental tax bills by district, omitted tax bills by district, real estate delinquent tax bills, tangible and intangible delinquent tax bills, fractional pickups (2% chrgbacks) by district, summary of monthly reports by district, exonerations after certification and before bills printed by district, exonerations after tax bills printed by district, prior year exonerations refunded by district, payments to Ky. State Treasurer, payments to Fayette Co. Schools, interest earned during the tax collection period, reconciliation of cash on hand, property tax refund checks outstanding, duplicate payment reconciliation, change in collateral agreements and tax bills sold at sheriff's sale. Also copies of 3 delinquent tax advertisement and an invoice reflecting amount of advertising expense.</p> <p>Retention and Disposition Retain for five (5) years, then destroy after audit.</p>	<p>This record series is used to document the billing and collection process for real estate property tax. The Processing Unit of the Division of Revenue acts as deputy sheriff in this process. Lexington/Fayette Urban Co. Government, being a merged government, acts in the capacity of a sheriff's office in the billing and collection of property taxes. This annual settlement is done by the sheriff in other counties. The Fayette County sheriff approves and signs this annual settlement which really is an exact audit trail maintained primarily for the use of the auditor. The official annual sheriff settlement is recorded in the County Clerk's office which is not as detailed as this one. The use of this settlement is primarily for the internal audit conducted by auditors on annual basis.</p>
L4139	<p>Paid Public Service Company (Franchise) Property Tax Bills</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name of urban co. gov't, assessment date, bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment and payment dates, calss, name and address of PSC, tax rate for state, school, general service, full/partial service, amounts for each and totals.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the payment of property tax owed by public service companies. The tax bill is printed by the county clerk and delivered to the Processing Unit for collection. From this bill another bill is manually produced by the Processing Unit. The bill is sent out at the beginning of the taxing period. If the bill is paid on time as specified it will be shown as paid and maintained in a binder in the Processing Unit for a year after payment. Then sent to the county archives.</p>
L4140	<p>Unpaid Public Service Company (Franchise) Tax Bill</p> <p>Access Restrictions None</p> <p>Contents This record series contains the tax bill #, account #, district, locator #, homestead exemption, assessed value, tax, payment by date, name and address of PSC, tax rate and amount due for state, school, general service, full/partial service, and total.</p> <p>Retention and Disposition Retain for seven (7) years, then destroy after audit.</p>	<p>This record series is used to document those franchise taxes not paid by public service companies. If these are not paid by the specified date during the tax period, a list of delinquent franchise taxes is sent to the County Clerk for recording and collection. The unpaid tax bill is maintained in the Processing Unit until paid.</p>

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L4141	<p>Public Service Company (Franchise) Property Tax Statement (Form # 61A255)</p> <p>Access Restrictions None</p> <p>Contents This record series contains the form # and title, city/county, address, assessment year, bill #, date, name and address of PSC, payment instructions, property class, real estate rate, tangible rate for county, school, assessed value, county tax, school tax, special tax, signature of co. clerk, date, total tax, penalty, interest, total tax, penalty and interest, processing unit contact person.</p> <p>Retention and Disposition Destroy with the appropriate tax bill and after audit.</p>	<p>This record series is used to document the franchise tax bill for the assessment made on public service companies. This statement is prepared by the County Clerk and is sent to the Processing Unit where the franchise tax bill is produced. This statement is filed with the tax bill along with a copy of the tax assessment certification.</p>
L4142	<p>Certification of Public Service Company Property Assessment</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name and address of Revenue Cabinet, statement of authority, county, taxpayer name and address, certification date, name of tax district, assessment value for real estate, tangible property and total assessment for local tax.</p> <p>Retention and Disposition Destroy with the appropriate tax bill and after audit.</p>	<p>This record series is used to document the tax assessment of public service companies as provided by the Revenue Department. This certification is received by the county clerk in accordance with KRS 136.180 showing the assessment is subject to all local tax levies. A copy, attested by the county clerk, is sent along with the property tax statement to the Processing Unit where a tax bill is prepared.</p>
L4143	<p>Sheriff's Official Receipt for Property Tax Bills (Form #62A385)</p> <p>Access Restrictions None</p> <p>Contents This record series contains totals for state taxes(real estate, unmined coal, tangible personal property, intangibles, annuities, bank shares, broker's accounts receivable, totals), county taxes(real estate, tangible personal property, bank shares, domestic life ins., and totals). Also special levies and common school taxes and grand total.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the tax bills received by the Sheriff from the Co. Clerk for taxes due each taxing district. This is for the documentation of real estate, tangible and intangible tax bills paid for a given property tax year. After tax bills are prepared, the county clerk must complete 4 copies of this showing the amount of taxes due each taxing district. The sheriff must complete the acknowledgement and sign all four copies in the presence of the county clerk.</p>
L4144	<p>County Clerk's Claim for Preparing Tax Bills</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name and address of the county clerk, voucher no. account no., disburse amount, tax year, total number of tax bills prepared, cost for each and total amount, half to be paid by Commonwealth of Ky., official certificatio, total(paid by Ky.), certification by co. clerk, and notary certification.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document that the county clerk has prepared the tax bills and certifies the amount due for the preparation. The state pays half and Urban Co. Gov't pays half. This claim is recorded in an fiscal court order book in the county clerk's office. Actually in the Urban County Gov't the tax bills are printed by Urban County Gov't Computer Services. This accompanies the Sheriff's Official Receipt for Property Tax Bills to the Revenue Cabinet.</p>

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L4145	<p>Sheriff's Property Tax Account Statement(Rev. Form # 62A393)</p> <p>Access Restrictions None</p> <p>Contents This record contains the name of county, sheriff, date completed. Charges from the original certification, executive orders, omitted, penalty and interest collected and total charges. Deductions for certificates of delinquency, omitted and supplemental, discounts and total deductions(credits). Total tax collected for other districts, total state property tax collections, credit for bank and trust share tax, total commissions, amt. of state tax due, amt. of tax previously remitted, net amt. of tax due state, prior year refunds, total, penalty, interest, amount due to complete settlement.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the actual property tax collected in comparison with the original certification by the Revenue Cabinet. This is done after the tax period has ended. Maintained in the copy of the Sheriff's settlement in the Division of Revenue, Urban Co. Government. Used to complete the final annual settlement.</p>
L4146	<p>Certification of Equalized Assessment</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name and address of Revenue Cabinet, class of property, equalized assessment of each class, totals and certification by the Department of Property Taxation.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series documents the total assessments of the different classes of property in Fayette County and the amount of taxes due to the state upon completion of the tax year. This is subject to change because of increases and decreases granted by the Ky. Board of Tax Appeals. This is maintained in the Sheriff's Annual Settlement in the Processing Unit of the Division of Revenue.</p>
L4147	<p>Tax Billing Report Before Exonerations</p> <p>Access Restrictions None</p> <p>Contents This record series contains the date of report, taxes for real estate, tangible, intangible, rates, general, school, full and totals. Assessments for real estate, annuities, aircraft, raw material/goods processed, tool/precious metals, merchandise inventory/finished goods,priv., mfg machinery, bank shares, brokers, tobacco/storage, ag prod in hand prod., ag prod in stor, stocks and bonds, gds trans/farm/livestock, other int., recycling mach.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the total tax assessments before exonerations have been entered. This report is used to verify assessments after certification and used in producing the final sheriff settlement. It is an important part of the annual audit.</p>
L4148	<p>Summary of Tax Calculations Before Exonerations by District</p> <p>Access Restrictions None</p> <p>Contents This record series contains the type of tax, code #, assessment, state tax, general, school tax, full/partial, total tax for each district and grand totals. Attached are the summaries for each taxing district.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document by district the total tax assessment after certification. Mainly used in the the final settlement and the annual audit. This record series is made up of the totals for all districts and also totals from each individual district.</p>

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L4149	Tax Billing Report After Exonerations	This record series is used to document the total tax assessments after exonerations have been entered. This report is used to verify assessments after certification and used in producing the final sheriff settlement. An important part of the final annual audit. Used to prepare the final billings.
	Access Restrictions	None
	Contents	This record series contains date of report, taxes for real estate, tangible, intangible, reates, general, school, full/partial, and tootals. Assessments for real estate, annuities, aircraft, raw material/gds processed, tools/precious metals, mer inv/fin gds/priv, mfg machinery, bank shares, brokers, tobacco/stor/ag prod in hands prod, ag prod in stor, stocks & bonds, gds tran/farm/livestock, other int., recycling mach.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4150	Summary of Tax Calculations After Exonerations by District	This record series is used to document by district the total tax assessment after certification. Mainly used in the final settlement and the yearly audit. This record series is made up of the totals for all districts and also totals from each individual taxing districts. Used for comparing total after the tax bills are completed.
	Access Restrictions	None
	Contents	This record series contains the type of tax, code #, assessment, state tax, general, school tax, full/partial, tota tax for each district, and grand totals, Attached are the same summaries for each individual taxing district.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4151	Schedule(Report) of Franchise Tax Bills	This record series is used to document all of the public service companies who received bills during the year. These include the paid, unpaid and delinquent. It is used in the completion of the Sheriff's Settlement and annual audit. This record series is completed at the end of the tax year which is established by the tax bill sale date.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer name, billing date, base amouunts and totals- school tax, general tax, full/part tax, total tax due, and grand totals of each column.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4152	Schedule(Report) of Paid Franchise Tax Bills	This record series is used to reconcile the paid tax bills for public service companies with the total billings issued by the Public Service Commission. Tax bills for public service companies are prepared by the County Clerk and sent to the Processing Unit for collection. These tax bills are issued at different times during the year based upon when the Public Service Commission actions. The tax bills are sent out by the Processing Unit and the public service company has 30 days to pay. This report is a compilation of those paid tax bills. These bills may include more than one year. This report is completed on an annual basis and is used to complete the audit trail and becomes a part of the Sheriff's Settlement (Property Tax Settlement, Audit Workpapers).
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer, date billed, base amounts and totals-school tax, general tax, full/part tax, total due and grand totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4153	Schedule (Report) of Unpaid Franchise Tax Bills	This record series is used to reconcile those public service company tax bills that are unpaid with the total public service company tax billing as sent to the County Clerk by the Department of Revenue. It is also used in the production of the Sheriff's Settlement and the yearly audit. Unpaid public service company tax bills are those which were billed shortly before the property tax bill sale date was set. A public service company which receives a tax bill has 30 days to pay without penalty or interest. If a company receives a tax bill within that 30 days window it will be able to go over the tax sale date but not longer than 30 days. These bills are marked as unpaid instead of delinquent because of the timing of the tax bill. These are not sent to the County Clerk as delinquent.
	Access Restrictions	None
	Contents	This record series contains bill number, account number, tax year, taxpayer, date billed, base amounts and totals- school tax, general tax, full/part tax, total due and grand totals.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4154	Schedule(Report) of Delinquent Franchise Tax Bills	This record series is used to document those public service company tax bills that were billed on time but not paid within the 30 day period. At the end of the tax year and after the tax bill sale date this report is issued and those in delinquency are sent to the County Clerk's office as such. This record series is used in the reconciliation of the total franchise tax billing and in the annual audit.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, name of taxpayer, billing date, base amounts and totals-school tax, general tax, full/part tax, totals due, and grand totals.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4155	Schedule(Report) of Supplemental Property Tax Bills	This record series is used to document those property tax bills which were prepared and sent because either the Kentucky Board of Tax Appeals has changed an assessment or the PVA has done so after the initial billing has been done. This record series is completed at the end of the tax year for the purpose of reconciling the tax collected and used in the preparation of the Sheriff's Settlement and the annual audit. This report contains all supplemental property tax bills(paid,unpaid,delinquent) but are not distinguishable.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also Signed for Amounts-net state tax, net school tax, net general tax, and net full/part taxfor each taxpayer and totals of each column.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4156	Schedule(Report) of Paid Supplemental Tax Bills	This report is used to document those supplemental property tax bills paid on time. Supplemental bills are received at various times during the taxing year. If a supplemental bill is received and signed for by the Processing Unit around the time of the initial property tax billing in September and it is for the current tax year it will be billed just as other tax bills. If it is signed for a period after the initial tax billing, a tax bill will be issued to the taxpayer with a 30 day payment period plus interest. Again supplemental tax bills are issued either by the Kentucky Tax Appeal or PVA.
	Access Restrictions	None
	Contents	This record series contains the billing number, account number, tax year, taxpayer name and billing date. Also signed for amounts for the net state tax, net school tax, net general tax, and net full/part tax and totals of each. Also grand totals of all columns.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number
6168

Finance
Revenue
Processing

Series	Records Title and Description	Function and Use
L4157	Schedule (Report) of Unpaid Supplemental Tax Bills	This record series is used to document those supplemental tax bills issued near the tax bill sale date. Because there would not be enough time(30days) to pay before the sale date these are not considered delinquent. If these are not paid they will be carried over to the next year as unpaid with interest and penalty. They will not be placed on the delinquent list and sent to the County Clerk for collection. This report is used to complete the Sheriff's Settlement and in the annual audit process.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amounts for net state tax, net school tax, net general tax, net full/part tax and their totals. Also grand totals of each column.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4158	Schedule(Report) of Delinquent Supplemental Property Tax Bills	This record series is used to document the supplemental property tax bills which are delinquent. These have not been paid within the 30 day period and also had sufficient time between the billing date and the tax bill sale date. These are sent to the County Clerk who prepares a delinquent tax list for collection. This report is used to prepare the Sheriff's Settlement and used in the annual audit process.
	Access Restrictions	None
	Contents	This record contains the tax bill number, account number, tax year, taxpayer name, billing date. Also signed for amounts for net state tax, net school tax, net general tax, and net full/part tax and their totals. Grand totals of all columns.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4159	Schedule(Report) of Omitted Property Tax Bills	This record series is used to document the omitted property tax bills received throughout the tax year. These were submitted to the County Clerk by the PVA after the initial billing in September. The Processing Unit signed for these as the County Clerk called to inform them there was a need to collect. This report is completed at the end of the tax year and is used to complete the Sheriff's Settlement and the annual audit.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amount for net state tax, net school tax, net general tax, net full/part tax and their totals. Grand totals of each column.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4160	Schedule (Report) of Paid Omitted Tax Bills	This record series is used to document all omitted property tax bills which have been paid. Omitted tax bills are generated throughout the year and are initiated by the PVA if it is found that there was either an oversight or a change in taxpayer name which has not been posted. The taxpayer has 30 days to pay after billing takes place. This report is used to reconcile receipt of taxes with the listing signed for by the Processing Unit. It is generated at the end of the tax year and is used to complete the Sheriff's Settlement and the annual audit.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, account number, tax year, taxpayer name and billing date. Also signed for amounts for net state tax, net school tax, net general tax, net full/part tax and totals. Also grand totals of the individual columns.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Revenue
Processing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L4161	Schedule (Report) of Delinquent Omitted Tax Bills	This record series is used to document those omitted tax bills which have not been paid within the 30 day period and had sufficient time to do so. That is there was time before the tax bill sale date to pay the bill. This report is used to verify those in delinquency to the County Clerk. It is also used in the completion of the Shcriff's Settlement and the annual audit.
	Access Restrictions	None
	Contents	This record series contains the tax bill number, the account number, tax year, taxpayer name, billing date. Signed for amounts for net state tax, net school tax, net general tax, net full/part tax and their totals. Grand totals of each column.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4162	Schedule(Report) of Real Estate Assessments Outstanding	This record series is used to document those taxpayers are delinquet. This report is sent with the certificate of delinquency to the County Clerk showing just real estate assessments. This is done at the end of the tax year.
	Access Restrictions	None
	Contents	This record series contains the taxpayer name, district, bill number, real estimate, face amount(tax bill) and totals.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4163	Sheriff's Report of Delinquent Taxpayers	This record series is used to document those taxpayers who have not paid their property taxes for the tax year. This report is generated by the Processing Unit after the the tax year and the tax bill sale date has passed. This report is filed, along with the delinquent certification with the the County Clerk. This report is used in the preparation of the Sheriff's Settlement and the annual audit. Delinquent taxpayers are listed on green bar pages which are filed with this report. These pages are used in the County Clerk's office in the preparation of delinquent tax lists.
	Access Restrictions	None
	Contents	This record series contains the name of taxpayer, district, tax bill number, tangible and intangible rates and assessments, face amount owed, and totals.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4164	Property Tax Total Collections	This record series is use to document the totals of all property taxes collected for the tax year. This report is broken down into school property tax collections, city property tax collections(streets, sewer and infrastructure assessments) and county property tax collections(police/fire and library). This report is used to prepare the official Sheriff's Settlement. It is used in the preparation of the annual audit by reconciling the amount of assessed value with the actual collections.
	Access Restrictions	None
	Contents	This record series contains the amounts for gross tax, less 2% discount, tax collected, penalty and interest, grosss collections, commissions and total due. These amounts are compiled and shown according to real estate, leasehold, tangible rates, banks, intangible rates, annuities and omitted. Totals of each of the first group are compiled. Total taxes due, refund-prior year, refund-current year, tax due state, rounding, payments to state and total due state. Reports are attached for the school property tax collections, city property tax collections and county property tax collections.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group

Finance

Number

Revenue

6168

Processing

Series	Records Title and Description	Function and Use
L4165	<p>Summary of Monthly Reports</p> <p>Access Restrictions None</p> <p>Contents This record series contains the monthly summaries of property tax collections for the county, city, school and state assessments. Each summary contains gross tax, less 2% discount, tax collected, penalty & interest, gross collections for general property tax, franchise corp. tax, bank share tax, omitted tax, supplemental tax, life insurance, deferred tax, and totals. Also contains the total taxes due, refunds-current year, refunds-prior year, tax due and signature of sheriff.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document and summarize the Sheriff's Monthly Report of Property Tax Collections for the purpose of preparing the annual Sheriff's Settlement. These summaries are broken down into reports for the county, city, school and state. The summary is sent to the County Clerk's office and Department of Revenue.</p>
L4166	<p>Report of Executive Orders Correcting Erroneous Assessments</p> <p>Access Restrictions None</p> <p>Contents This record series contains 2 reports (before and after billing) with the following information: Name of taxpayer, district, bill number, exoneration number, assessment value for real estate, tangiblerate, intangible rate, decrease and increase and totals.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document and list of executive orders correction erroneous assessments. This report is separated into those executive orders issued before and after billing. This report is used in the preparation of the annual Sheriff's Settlement and the annual audit. These are the assessment values of the property as opposed to the monetary values. This report is generated from the executive orders issued through the PVA. The County Judge/Executive does not have to sign these but may sign them.</p>
L4167	<p>Report of Prior Year Refunds</p> <p>Access Restrictions None</p> <p>Contents This record series contains the date of refund, state tax, school tax, county tax, full and total refunds for each.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document those refunds made for the prior 2 years and is used to prepare the annual Sheriff's Settlement and the annual audit. This report is generated at the end of the tax year.</p>
L4168	<p>Property Tax Audit Report-Payments to State Treasurer</p> <p>Access Restrictions None</p> <p>Contents This record series contains the fund #, name of payee, amount of payment, check number, date and source.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document the monthly payments made to the Kentucky State Treasurer throughout the tax year. This report is compiled at the end of the tax year and is produced solely for audit purposes.</p>
L4169	<p>Property Tax Audit Report-Payments to County School Board</p> <p>Access Restrictions None</p> <p>Contents This record series contains fund #, division, detail, payee, amount, date, source and check #.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>This record series is used to document those payments to the Fayette County School Board throughout the tax year. This report is used primarily for the annual audit. It is produced at the end of the tax year from journal entries made by the Division of Accounting into the database serviced by Computer Services. It is a part of the annual Sheriff's Settlement.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Finance
Revenue
Processing

Record Group
Number
6168

Series	Records Title and Description	Function and Use
L4170	Property Tax Audit Reports-Interest Earned	This record series is used to document the interest accrued during the tax year on deposits made from tax receipts. This record series is used primarily in the annual audit process. The Division of Accounting compiles this report from journal entries and routes this report to processing where it is also used to complete the Sheriff's Annual Settlement.
	Access Restrictions	None
	Contents	This record series contains the fund #, division, detail, transaction, amount, date, source and journal entry #.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4171	Daily Property Tax Wire Transfer Report	This report is used to document the payment of the property tax to the Fayette County School Board. The report is run daily and shows all the payments due the School Board. This report is used in the compilation of the Sheriff's Settlement and the final audit.
	Access Restrictions	None
	Contents	This record series contains the batch #, date, amount collected, school tax amount, state amount, urban county government amount, duplicates, and any variance. Totals of all amounts, less commissions amount due the school board after commission.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4172	Schedule(Report) of Duplicate Payments	This record series is used to document those taxpayers who have been billed twice for the same property tax. This report is used to refund that amount due to the taxpayer. The report is compiled periodically to ensure that overpayment has been dealt with.
	Access Restrictions	None
	Contents	This record series contains the bill #, batch key, date billed, amounts, taxpayer name.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4173	Schedule(Report) of Duplicate Payment Refunds	This record series is used to document the refunds made to those taxpayers who were sent duplicate bills. The taxpayers paid the same bill twice so a refund is due. The report is run at the end of the tax year to reconcile with the amount of taxes billed.
	Access Restrictions	None
	Contents	This record series contains the tax bill #, name of taxpayer, amount of tax due, duplicate amount and totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group
Number
6168

Finance
Revenue
Tax Compliance

Series	Records Title and Description	Function and Use
L4101	Occupational License Fee on Wages and Net Profits File (V)	This record series documents the application for and payment of the occupational license fee by those doing business in Fayette County. The occupational license fee is assessed upon all salaries, wages, commissions or other compensations from businesses, trades, occupations, professions and other activities in the urban county. Also it is assessed on the net profits of all businesses, trades, occupations, professions and other activities in the urban county. Each employer must withhold the license fee from gross wages, salaries, commissions and other compensation paid to employees for services performed within Fayette County. Each business must register for the occupational license fee. When the total amount withheld is \$300 or more per quarter it must be submitted monthly, if less, quarterly. Each employer and each business must report annually the license fee withheld of each employee and its net profit subject to the fee. All of this, along with correspondence, refund info., and audit information is documented in this file. Because a business or individual may continue to do business in Fayette County for an indefinite period this file will be accessed frequently while it is active. When a business either goes out of business or ceases to do business in Fayette County the file becomes inactive and is sent to the Urban County Government Record Center.
	Access Restrictions	Ordinance, Chapter 13, Licenses and Reg. Sec. 13-11
	Contents	This record series contains the Questionnaire and Initial Reporting for an Occupational License Fee Account, Net Profits License Fee Return, Annual Reconciliation of License Fee Withheld, Employer's Return of License Fee Withheld, Refund Card, W-2s, copies of federal tax returns, Payment Forms, Revenue Audits, and general correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4102	Occupational License Fee on Wages File (Individuals) (V)	This record series documents the payment and collection of the occupational license fee on wages of individuals who are employed in Fayette County but were not listed on the employers Fee Return and those who, as businesses, did not have any expenses. Every individual whose earnings within Fayette County are from salaries, wages, commissions, or other compensation, received from one or more employers, on which a license fee was not deducted, must file on Form #245. If the licensee has conducted a business or other activity, Net Profits (Form #228) must be filed. These must be filed for the same period as the Federal Income Tax Return is filed. When the individual ceases to work in Fayette County the file becomes inactive and is sent to the Urban County Government Record Center.
	Access Restrictions	KRS 61.870-884, Ordinance Chap.13, Sec. 13-11
	Contents	This record series contains the Annual Individual License Fee Return (on Salaries Wages, Commissions, Etc., Under Ordinance #2882), refund card and general correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4103	Insurance Premium Tax File (V)	This record series documents the payment and collection of the Insurance Premium Tax from insurance companies doing business in Fayette County. Each insurer must file with the rate being 5% of premiums received. This record series is maintained in the Division of Revenue Tax Compliance Unit while active. As long as the insurer is doing business in Fayette County this file continues to be active and may document many years. Inactive files are transferred to the Urban County Government Record Center.
	Access Restrictions	None
	Contents	This record series contains the Quarterly Insurance Premium Tax Return, the Insurance Premium Tax Annual Reconciliation, general correspondence, refund card and Revenue audits.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT

Record Group

Finance

Number

Revenue

6168

Tax Compliance

Series	Records Title and Description	Function and Use
L4104	<p>Occupational License Fee Refund File (File may contain the following: Application for Refund(Form 211-22), Individual Work Schedules & Copy of W-2.</p>	<p>This record series documents the refund process for the overpayment of the occupational license fee by businesses and employees of those businesses. A refund may be requested within a three year window. Those requesting refunds are those with unreimbursed business expense or have and over 65 exemption. The individual employee refund requests are filed under the business name and account number. This file is transferred to the Urban County Government Record Center when it becomes inactive.</p>
	<p>Access Restrictions</p>	<p>KRS 413.120, Ordinance Chap.13,Sec.11,Lic.&Reg.</p>
	<p>Contents</p>	<p>This record series contains the application for refund(Form 211--22), individual work schedules, W-2s, general correspondence.</p>
	<p>Retention and Disposition</p>	<p>Retain for five (5) years, then destroy after audit.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
General Services
Fleet Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5556	Vehicle Information File (V)	This record series is used to document certain information about urban county government owned vehicles. This includes the purchasing documentation and type of vehicle.
	Access Restrictions	None
	Contents	This record series may contain the registration, purchase order, type of vehicle, specifications of vehicle and year put into service.
	Retention and Disposition	Retain until vehicle is no longer owned by government, then destroy.
L5557	Fuel Tickets	This record series is used to document that fuel was gotten from urban county government fueling places. This is used to track gas usage and the amount used by vehicles. The urban county government has fueling places that can be accessed by all government vehicles.
	Access Restrictions	None
	Contents	This record series may contain the date, name of driver, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5558	Monthly Fuel Report	This record series is used to document that fuel was purchased from an outside vendor. This report is created to reflect all purchases from a vendor other than urban county government. It is used to track the fuel usage and to verify the purchases.
	Access Restrictions	None
	Contents	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5559	Weekly Electronic Fuel Transaction Report	This record series is used to document fuel purchases through Fleet One. This fuel is purchased using Fleet One credit cards and the transactions are sent to the Division of Fleet Services for payment. This is a weekly report.
	Access Restrictions	None
	Contents	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5560	Vehicle Maintenance Record File	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning urban county government vehicles.
	Access Restrictions	None
	Contents	This record contains the work orders, name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
General Services
Fleet Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5561	Hazardous Waste Annual Report and Assessment Return	This record series is used to document any site registered as either a large or small hazardous waste generator. Any site that treats, stores or disposes of these waste products must submit this report by March 1 of each year to the Division of Hazardous Waste. The original and one copy is sent to that Division and one copy to the executive authority (Mayor's office). Fleet management documents the used oil, paints and oil filters that are disposed of and how it is done.
	Access Restrictions	None
	Contents	This record series may contain a signature, registration number of facility, description of waste, epa #, the disposal process, generic name of chemical waste, date, time and amount.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5562	Underground Storage Registration	This record series is used to document that Fleet Services has underground storage of hazardous chemicals. This is an annual registration and must be done by July 1 of each year. Fleet services has tanks for gasoline and oil.
	Access Restrictions	None
	Contents	This record series may contain a signature, description of stored chemicals, epa #, capacity, location and access information.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6643	Oil Price Information Service Reports	This record series is used to document the reports obtained from the Oil Price Information Service, a comprehensive database of U.S. wholesale petroleum prices, which provides the basis for the price at which fuel is purchased from the vendor.
	Access Restrictions	None
	Contents	This record series may contain the date, local terminal price per gallon of unleaded, diesel and other fuels.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
General Services
Parks and Recreation

Record Group
Number

Series	Records Title and Description	Function and Use
L5497	Departmental Loss/Incident Reports	This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.
	Access Restrictions	
	Contents	This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement
	Retention and Disposition	Retain for three (3) years, then destroy.
L5499	Release of Liability by Participant	This record series is used to document that the local government and recreation department will not be held liable for injuries and other accidents that may befall participants in recreational activities. This is signed by the parent or guardian at the beginning of the activity and is in force for the duration of that activity. This may also act as a reference if there is an injury to find medical information/insurance. This gives permission by the parent or guardian to the recreation department to utilize doctors/insurance when needed for the participant. This release may also contain the name of contact people in case of emergency.
	Access Restrictions	
	Contents	This record series may contain the release, dates of activity, name of participant, name of guardian/parent, names of emergency contacts, medical insurance documentation, and signature of parent/guardian.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5563	Report of Chemical Applications	This record series is used to document that certain chemicals have been applied to grassy areas, including golf courses, ball fields and other park areas. This application report is sent to the Division of Water periodically. This documentation provides information about the chemicals used in case there is ground water contamination.
	Access Restrictions	
	Contents	This record series may contain the name of the date, applicator, certification #, chemical name, type of fungicide, insecticide and fertilizer used, rates, acres or footage, locations, notes, weather, temperature, reason used, and total products.
	Retention and Disposition	Retain for six (6) years, then destroy.
L5564	Altercation File	This record series is used to document altercations that result in the permanent and non-permanent suspension of a spectator, fan, coach, or player from attending or participating in a parks supervised sponsored event. A physical and verbal altercation policy has been adopted by the Division of Parks and Recreation with the purpose of defining sportsmanship expectations of the department and to serve above and beyond the rules of the game. When certain rules are breached by any of the above participants. The rules address the issues of fighting, verbal abuse, harassing, use of racial/gender epithets, unsportsmanlike conduct, and procedures followed. There are definite penalties for 1st, 2nd and 3rd offenses. The suspensions can be for one year, three years or permanent.
	Access Restrictions	None
	Contents	This record series may contain the incident report, correspondence, policy violation, disposition of the case.
	Retention and Disposition	Retain until suspension is no longer active, then destroy.
L5565	Departmental Loss/Incident Reports	This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.
	Access Restrictions	
	Contents	This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
General Services
Parks and Recreation

Record Group
Number

Series	Records Title and Description	Function and Use
L5566	Accident Reports-Public (V) Access Restrictions Contents Retention and Disposition	This series is used to document any accident that occurs on parks property. It is an administrative document that aids in gathering statistics concerning injuries for each year. The information is also used to settle any liability claims that result from the accident. This record series may contain correspondence, accident form, supporting documents For adults, retain until two (2) years after accident, then destroy. For juveniles, retain until two (2) years after reaching eighteen years of age, then destroy.
L5830	Facilities Rental Agreement (Reservation) Access Restrictions Contents Retention and Disposition	This record series is used to document the rental of parks and recreation facilities. These facilities are reserved for specific times during the year. This may be buildings, ball fields, swimming pools etc. This record series may contain the name of renter, date, phone number, dates rented, facility, type of activity, and any compensation. Retain for two (2) years, then destroy.
L6291	Administrative File (Extended School Program) Access Restrictions Contents Retention and Disposition	This record series is used to document compliance with 922 KAR 2.110. This administrative regulation lists the requirements for child-care center providers. The Extended School Program is a fully licensed program that provides care and activities for elementary and middle school age children at a reasonable cost. This is a cooperative program of the Division of Parks and Recreation and selected Fayette County Public Schools. This file documents all reporting, plans and drills that are required for this licensed child care center. This record series contains the annual staff professional development plan, disaster plan, record of quarterly earthquake and tornado drills, record of monthly fire drills and reports required by 922 KAR 2:110 section 6(1) and inspection reports. Retain for five (5) years, then destroy.
L6292	ESP Student File (Extended School Program) Access Restrictions Contents Retention and Disposition	This record series is used to document compliance with 922 KAR 2.110. Under Section 3 all day care center providers must maintain records for those attending including the identification of each child, parents, home address, attendance and their schedule. KRS 61.878 (1) a This record series contains the enrollment form, parent information, physician information, medical history, immunization certificate, pick-up permission, off premises permission forms, and attendance records. Retain for five (5) years, then destroy.
L6293	ESP Personnel File (Extended School Program) Access Restrictions Contents Retention and Disposition	This record series is used to document the staff requirements for the Extended School Program operated by Parks and Recreation. The staff must meet certain qualifications listed in 922 KAR 2:110. This file is kept for each staff member. KRS 61.878 (1) a This record series contains the staff person name, ss#, directory information, criminal records check, child abuse and neglect check, background check, high school diploma/GED, TB test, and training information and certification. Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
General Services
Parks and Recreation

Record Group
Number

Series	Records Title and Description	Function and Use
L6612	Program Volunteer Records Check	This record series is used to document applications, criminal background check and other related documents for volunteers who assist in various Parks and Recreation sponsored events, activities and classes. Parks and Recreation will conduct a criminal background check on volunteers working in any capacity that is in a leadership role or works directly with minors.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the application including name, address, addresses for previous five years, date of birth, social security number, driver's license number, signature of applicant, results of background check and related documents.
	Retention and Disposition	Retain until five (5) years after end of volunteer service, then destroy.
L6613	Program Registration Records	This record series documents the registration and attendance of participants in various Parks and Recreation sponsored events, activities and classes.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain registration/enrollment forms or cards, class or activity rosters, sign-in/sign-out sheets, and related documents. Information usually includes name, address, phone number, date of birth, pertinent medical information, signature of participant or parent/guardian, name, dates, and times of class or activity, fee paid, correspondence and similar documents.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Internal Audit

Record Group
Number

Series	Records Title and Description	Function and Use
L6614	Final Audit Report (V)	This record series is created as a result of an audit or investigation and contains the final results of the audit or investigation. These are internal audits outside the annual audit conducted for the entire LFUCG.
	Access Restrictions	
	Contents	This record series may contain the scope of work, findings, recommendations and action plans.
	Retention and Disposition	Retain permanently.
L6615	Complaint Case File	This record series documents the receipt of complaints from LFUCG employees identifying potential fraud, abuse, violations of laws, ordinances, and/or regulations, inefficiency or misuse of public funds within the Urban County Government, conflicts of interest, harassment, etc. Upon receipt, an investigation is initiated to determine the merits of the complaint.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain original complaint, correspondence with complainant, and workpapers documenting inquiries, observations, and detail testing as necessary. In many ways, these workpapers may be the same or similar to standard audit workpapers. The difference in retention is due to the nature of the allegations they examine.
	Retention and Disposition	Retain for three (3) years in Office of Internal Audit, transfer to the Record Center and Archives for (5) years, then destroy. Total retention is eight (8) years.
L6616	Audit Work Papers (V)	This record series is maintained by the Office of Internal Audit and documents the procedures followed, tests performed, information obtained, and conclusions reached during an examination of a department or division of the Urban County Government. It provides the supporting documentation for the issuance of a final audit report.
	Access Restrictions	KRS 61.878 (1) (i) (j)
	Contents	This record series may contain workpapers documenting inquiries, observations, detail testing, and copies of pertinent documents as necessary to support audit conclusions.
	Retention and Disposition	Retain six (6) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Law

Record Group
Number

Series	Records Title and Description	Function and Use
L5568	General Subject Files (V) Access Restrictions Contents Retention and Disposition	This record series is used to document certain litigations that are performed by the Department. This is not the actual litigation file but is all the research information gathered on a particular subject. This file is used extensively by staff to do research. It basically is a memory of case litigation. SCR 3.130(1.6), KRE 503 This record series may contain a research narrative, timeline, correspondence, memos, copies of litigation files, persons who worked on the research, and conclusions. Retain permanently.
L5569	General Subject Files Index (V) Access Restrictions Contents Retention and Disposition	This record series is used as a finding aid for the General Subject File. It is both electronic and paper and is arranged by subject and number. None This record series may contain the subject file name, number of file, brief content. Retain permanently.
L5570	Reading File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document all business that is sent from the office. This includes all court matters and correspondence. These are all copies. None This record series may contain memos, letters, published informational material and reference materials, pleadings, deeds, mortgages, and supporting documentation. Retain for three (3) years, then destroy.
L5571	Litigation Files (V) Access Restrictions Contents Retention and Disposition	This record series is used to document all litigation involving the Urban County Government. This record is created as a result of citizens bringing suit against the government or as a result of suits brought by the government to collect taxes, revenue, eminent domain and others. Much of the information in this file is not in the official court case file. This record is used as a reference and as a guide when new litigation is brought. This gives a legal history of the government. SCR 3.130(1.6), KRE 503 This record series may contain the legal pleadings, correspondence, depositions, court process, discovery information, internal research documents, copies of checks, and video tapes. Retain permanently.
L5573	Litigation Files Index (V) Access Restrictions Contents Retention and Disposition	This record series is used as a finding aid for all litigation files. This is both in paper form and electronic form. It can be accessed by name of case and by its number. None This record series contains the name of case by plaintiff/defendant, number of case and location. Retain permanently.
L5574	Law Department Opinions (V) Access Restrictions Contents Retention and Disposition	This record series is used to document opinions that are given by the Department of Law when requests come from Urban County Government agencies. When issues need clarification within the government an opinion is written and issued to the requesting agency. This carries weight only within the Urban County Government. Much research goes into this. None This record series may contain research data, formal opinion in memo form, date issued, requesting party, and subject. Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Law

Record Group
Number

Series	Records Title and Description	Function and Use
L5575	Law Department Opinions Index (V)	This record series is used as a finding aid for the opinions and is maintained as a paper card catalog.
	Access Restrictions	None
	Contents	This record series may contain the subject and location.
	Retention and Disposition	Retain permanently.
L6650	Bankruptcy Records	This record series is used to document claims in bankruptcy cases where money is owed to the Urban County Government. Individuals, corporations, or private companies file for bankruptcy. A notice is sent to Urban County Government that they are listed as part of the debtor's liabilities. This record file is used to document the responding process.
	Access Restrictions	None
	Contents	This record series may contain the notice from the court, copies of liens and mortgages, payoff, invoices, proof of claim and supporting documentation.
	Retention and Disposition	Retain until two (2) years after settlement, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Lexington-Fayette Urban County Housing Authority
Financial

Record Group
Number

Series	Records Title and Description	Function and Use
L2483	Administrative Contracts (V)	Administrative contracts are contracts that the Public Housing Authority enters into with an outside agency for services or goods. An example would be a contract with a construction company to build new housing units or a contract with a computer company for the purchase and service of a new computer system.
	Access Restrictions	None
	Contents	The names of the company, institution or persons entering into the contractual agreement. The responsibilities of each party involved. The procedure for amending or waiving parts of the contract agreement.
	Retention and Disposition	Retain until five (5) years after expiration then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Mayor

Record Group
Number

Series	Records Title and Description	Function and Use
L5418	Executive Orders (V) Access Restrictions Contents Retention and Disposition	This series documents orders issued by the mayor but not requiring board or commission action and/or approval. It may also document appointments not required by statute. This authority is given to the mayor by the merged government Charter. None Title, narrative, date, signatures, recommendations Retain permanently.
L5643	Industrial Revenue Bond Committee File Access Restrictions Contents Retention and Disposition	This record series is used to document applications for industrial revenue bonds for new and expanding manufacturing projects. Urban County Government applies to the KY. Economic Development Finance Authority for approval of these bonds. These may be used to finance manufacturing projects and their warehousing areas, major transportation and communication facilities, most health care facilities, and mineral extraction and processing projects. Bond funds may be used to finance the total project costs including engineering, site prep, land, buildings, machinery and equipment, and bond issuance costs. The Kentucky Private Activity Bond Allocation Committee administers bonds regulated by the Internal Revenue Code. This committee approves issuance with tax free interest earnings, for qualifying projects. KRS 61.878 (1) c 1.2. This record series may contain correspondence, application, bank information, qualifications, transcripts provided by the dept. of law, memorandum of agreement, loan agreement, transaction statement, regulatory agreement and request for council action. Retain for five (5) years, then destroy.
L5644	Urban Renewal Committee Project Files Access Restrictions Contents Retention and Disposition	This record series is used to document urban renewal projects considered by the urban renewal committee. This is a committee formed according to KRS Chapter 99. It is made up of five members appointed by the mayor to consider areas that are slums or blighted and are in need of improvement. This committee must work within the framework of an existing urban renewal plan and has the power to acquire and dispose of property, to issue bonds and other obligations, to borrow and accept grants from the federal government and to exercise the other powers provided in KRS 99.330 to 99.510. Most of these projects are financed by grants issued under the Federal Urban Renewal Act. None This record series may contain agendas, banking records, applications, reports, construction information and correspondence. Retain until three (3) years after the completion of the project, then destroy.
L5645	Enterprise Zone Program File Access Restrictions Contents Retention and Disposition	This record series is used to document the approval and participation of businesses in the Enterprise Zone program. The program was established to revitalize economically depressed areas of the state with some areas being inner-city, some being rural. Goals and intentions of the program include improving the quality of life for individuals residing within the program by providing job training, employment opportunities, and neighborhood improvement programs; encouraging economic activity by assisting and maintaining existing business; stimulating the influx of new business; and, eliminating blighted and deteriorated areas that feature chronic abandonment or demolition of residential or commercial structures or property. The program provides for tax exemptions for certified businesses approved by the Enterprise Zone Authority pursuant to KRS 154.45-001 to 154.45-090. The exemptions are only for those businesses within the set enterprise zone or zone boundary. Lexington/Fayette Urban County Government Enterprise Zone of 7,000 acres was approved in 1985 and runs for a twenty-year period. It expires in 2005. If a business moves from the zone, goes out of business, is acquired by another that doesn't participate in the program, or is out of compliance for one reason or another, it is de-certified, at least until the appropriate steps are taken in order to continue in the program. KRS 61.878 (1) c 1.2. This record series may contain the application, employee info (with SS#, names, addresses, unemployment dates--90 days prior to hire, part/full time employee, if he/she is a resident of the Enterprise Zone), certification, correspondence and monitoring of contract. Retain until two (2) years after de-certification, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Mayor

Record Group
Number

Series	Records Title and Description	Function and Use
L5646	<p>Kentucky Economic Development Finance Authority (KEDFA) File</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document the application for approval for participation in the loan and tax incentive programs. KEDFA was established to encourage economic development, business expansion, and job creation by providing financial support through financial assistance and tax credit programs. This assistance is given through the Kentucky Jobs Development Act (KJDA) and the Kentucky Industrial Development Act (KIDA). Companies must apply through Urban County Government for this assistance. In turn the Urban County Government applies to this program for approval.</p> <p>KRS 61.878 (1) c 1.2.</p> <p>This record series may contain copies of the application, correspondence, and company information.</p> <p>Retain until two (2) years after business becomes inactive, then destroy. If business is active, retain for ten (10) years, then destroy.</p>
L5871	<p>Legislation Preparation Work Papers</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document correspondence with council and others for the purpose of asking for changes in legislation or proposing new legislation. This is done by staff in preparation of presenting a proposal to council. Much of the information goes into producing the changes to legislation or into new legislation.</p> <p>None</p> <p>Correspondence, supporting documentation</p> <p>Retain until no longer useful, then destroy.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Building Inspection

Record Group
Number

Series	Records Title and Description	Function and Use
L5508	Inspection Reports	This record series is used to document the inspection of structures that are newly built or altered . These include building, electrical, plumbing, plans and specifications and housing inspections. These are done in accordance with building code mandates. A certificate of occupancy can only be issued after successful inspections of all aspects of the structure.
	Access Restrictions	None
	Contents	This record series may contain the address of structure, type of construction, type of inspection, date of inspection, narrative of inspection, list of violations, results of inspection, name of inspector, signature of inspector and if there are inadequacies what needs to be done to correct it.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5509	Building Permits Issued	This record series documents application by a property owner to build and/or alter a building on property. Included in this records series are permits for commercial, new residential, residential remodeling, additions, and accessory structures, demolition/wrecking, signs, swimming pools, fences, grading and others. It is used to insure compliance with established requirements of the set forth in the building code. This information is also shared with the local property valuation office so that, if necessary, property taxes may be adjusted for the affected property.
	Access Restrictions	None
	Contents	Date, permit number, property owner name, description of building to be constructed or changes made to existing building, electrical demolition, zoning requirements, site plans, housing plans, property information and correspondence.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5510	Building Permit Monthly Report	This record series is used to document the total number of building permits issued and the fees associated with them on a monthly basis.
	Access Restrictions	None
	Contents	Date, name of person requesting permit, the amount charged.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5511	Certificate of Occupancy	This record series is used to document that an inspection of a building has been done and that the inspection indicated that the building was constructed in compliance with requirements of the Uniform State Building Code. The inspection shall be comprehensive and include provisions of general construction; structural quality; mechanical systems; electrical systems; and life safety from hazards of fire, explosion, and other disasters. A copy of the certificate is sent to the Commissioner of Housing, Buildings and Construction.
	Access Restrictions	None
	Contents	This record series may contain the building permit number; address of the structure; name and address of the owner; a description of that portion of the structure for which the certificate is issued; inspection statement; name of the building official; edition of the code under which the permit was issued; If an automatic sprinkler system is provided and whether it is required; any special stipulations and conditions of the building permit; date of inspection, description of property; name of contractor.
	Retention and Disposition	Retain until structure is destroyed, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Building Inspection

Record Group
Number

Series	Records Title and Description	Function and Use
L5512	Residential Building Plans File (House Plans)	This record series is submitted when applying for a building permit. These plans are voluminous and are not used after the certificate of occupancy has been issued. The builder also has a set of these plans. This may be used for enforcement of building codes and reference for later modifications. The homeowner's warranty is in effect for one year, during which time the builder must address any issues the resident raises. The agency will keep the plans to allow the resident easy access to them. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the residence.
	Access Restrictions	None
	Contents	All files will contain: Building plans; Plat plan; Zoning approval; Worker's Comp coverage agreement. Files may contain a checklist of plan review; sewage permits; deck specification sheets, blueprints, drawings.
	Retention and Disposition	Retain until one (1) year after certificate of occupancy issued, then destroy. If no building permit is issued, retain for 180 days, then destroy.
L5513	Building Permit Application File - Not Issued	This record series is used to document those who submit an application for a building permit. These were not issued because the applicant did not meet certain criteria. An application for a permit for any proposed work shall be deemed to have been abandoned 180 days after the date of filing, unless such application has been pursued in good faith or a permit has been issued; except that the building official is authorized to grant one or more extensions of time for additional periods not exceeding 90 days each. The extension has to be requested in writing and justifiable cause demonstrated. These may be applications for commercial, new residential, remodeling, additions, demolition, signs, swimming pools, fences, grading and any other.
	Access Restrictions	None
	Contents	This record series may contain the application, site plan, any written approvals, design requirements, plant requirements, full set of plans, name of construction location, owner, address, contractor, signature of applicant.
	Retention and Disposition	If permit is not issued, retain for 180 days, then destroy when all appeals and extensions end.
L5514	Commercial Building Plans File (Nonresidential)	This record series is submitted by persons applying for a building permit for all new commercial buildings, additions and/or improvements. This record helps document the planning and construction of a commercial facility. They are maintained to allow the owner easy access to them in the event that problems arise involving the facility and for code enforcement. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the project.
	Access Restrictions	None
	Contents	This record series may contain site plans, blueprints, drawings, foundation plans, floor plan, stair details, all means of egress, mechanical and electrical plans. May also include change orders or plan modifications.
	Retention and Disposition	Retain until two (2) years after certificate of occupancy issued, then destroy. If no building permit is issued, retain for 180 days, then destroy.
L5873	Encroachment Permit File (V)	This file is started to obtain permission to work on the highway right-of-way or close at least one lane of a state highway. The permit is completed and sent to the Kentucky Transportation Cabinet, Department of Highways Permit Branch, for approval. The type of encroachment is listed and the dates of the encroachment if known. Information is retained in the local office, Dept. of Highways Permit Branch, and District Office. Once the permit has been approved, there are agreements that are signed by the parties that dictate when, how long, and how the project is to be completed. When work has been completed, the applicants forward notice of completion of Encroachment to their district office. The District Office sends an inspector to inspect the worksite for proper completion. If approved, District Office will send a release.
	Access Restrictions	None
	Contents	Encroachment permit application, Encroachment work release, notice of completion, Encroachment permit general notes and specifications, maps and information about the projects.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Building Inspection

Record Group
Number

Series	Records Title and Description	Function and Use
L6296	Contractor Registration Files	This record series is used to document that commercial, residential and specialty contractors are properly licensed to provide services in the Urban County Government area. This file verifies that contractors have a business license, worker's compensation insurance and liability insurance.
	Access Restrictions	None
	Contents	This record series contains the application for and renewals of contractor licenses, certificates of insurance, worker's comp insurance exemption and state licenses for specialty contractors. The application would contain the name, name of company, directory information and type of contractor.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Code Enforcement

Record Group
Number

Series	Records Title and Description	Function and Use
L5505	Condemnation File (V)	This record series documents the record of proceedings, events, and conditions of a property slated for condemnation for reasons such as collapse of property, unsanitary conditions, health of public in jeopardy, or a lack of public utilities. The process is begun through violation of the Property Maintenance Code and appeals can only be taken to the Codes Appeals Board and then to Circuit Court.
	Access Restrictions	None
	Contents	May contain photographic evidence, documentation of notices and orders, court order
	Retention and Disposition	Retain permanently.
L5506	Violation File - Zoning, Building & Housing Change Date: 6/21/2007	This record series is used to document that notice has been given that there is a violation of building codes, housing codes or zoning regulations. This is used until the violation is remedied. The violation may result in litigation and if so the documentation may be entered as part of the litigation file.
	Access Restrictions	None
	Contents	This record series may contain the address of violator, name of owner, date of violation, explanation of violation, the amount of time to remedy the violation, and instructions for verification that the violation has been fixed.
	Retention and Disposition	Retain until five (5) years after last complaint, then destroy.
L5507	Violation File - Weed, Rubbish, Junk Car & Sidewalk	This record series is used to document violations of laws(state or local)) concerning weeds, rubbish, junk cars and sidewalks. This notice is given to the owner of the property and they are given a certain time to correct the violation. These records are kept as a reference in case of future violations by the same persons.
	Access Restrictions	None
	Contents	This record series may contain the name of violator, address of violator, explanation of violation, the law that was violated, amount of time to correct violation, date of violation and name of person giving the notice of violation.
	Retention and Disposition	Retain until five (5) years after last complaint, then destroy.
L5874	Home Inspector Files	This record series is used to document the activities of home inspectors. These are prepared by a licensed home inspector for the purpose of giving findings made prior to the purchase of a residential dwelling. The inspector surveys the structure and certifies that the dwelling meets all state and local requirements.
	Access Restrictions	None
	Contents	This record series may contain license applications, continuing education certificates, examination results, receipts for payment of fees, insurance documents, lists of inspections and correspondence.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L6393	Inspection Instrument for Jails (V)	The report is required by KRS 441.064. This instrument is used by the Corrections Cabinet to report on the condition of the jail facility as well as the administration of the jail. The inspections are biannually and this report is produced from those inspections. The report is to sent to the County Judge/Executive with recommendations for the corrections of problem areas. If the Corrections Cabinet hands down an order for compliance, a deadline will stated. After compliance with the report, the Jailer will detail the steps to correct the problem.
	Access Restrictions	None
	Contents	The 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 which details compliance with 186 items relating to administration, booking, information systems, training, etc. The instrument is a 37 page document.
	Retention and Disposition	Retain for fifteen (15) years, then destroy.
L6394	Periodic (Monthly/Weekly) Report to Corrections Cabinet (V)	This record series is used to inform the Kentucky Corrections Cabinet of inmates being cared for by county correctional facility and to comply with the requirements of KRS 441.105(2).
	Access Restrictions	None
	Contents	Name of inmate, charge, date of birth, sex, county, time and date of entry, time and date of release.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6395	Visitor's Log	This series is used to document time, date, name of visitors for inmates or jail facilities. This series includes Daily visitation, weekend visitations and visits by clergy, attorneys, family members and etc.
	Access Restrictions	None
	Contents	Date, badge number, visitor's name/address, purpose, time in, time out.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6396	Work Release Money Log	This record series is used to account for work release money received by the jail facility. An inmate may be employed in community service work outside the facility for which payment may be received.
	Access Restrictions	None
	Contents	Date, person paying and receipt number, correctional officer receiving money, supervisor received, office received.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L6397	Lunch Count Sheet	This record series is used to record the number of correctional officers eating lunch for purposes of food preparation and to comply with 501 KAR 3:100 relating to food services.
	Access Restrictions	None
	Contents	Denotes shift, officers on duty, officers eating salad, officers eating lunch, inmate count scheduled, inmate documentation scheduled, name of officer, check off for lunch or salad.
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L6398	Jail Register (a.k.a. Inmate Register) (V)	KAR, Title 501, Chapter 3:020, Section 4, requires that jail information and inmate records shall be retained in written form or within computer records. The register will list what federal, state and local prisoners may be residing in a local jail facility for purposes of social control and monetary reimbursement. Depending on the size of the county and past records-keeping practice seperate registers may be found federal, state and local prisoners.
	Access Restrictions	None
	Contents	Name of prisoner, when committed, term of sentence, by whom committed, offense, color and sex, officer committing, age, nativity, when discharged, by whose order discharged, number of days in jail, jailer's fees, total, remarks.
	Retention and Disposition	Retgain until five (5) years after release of inmate, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Adult Probation

Record Group
Number

Series	Records Title and Description	Function and Use
L6298	<p>Adult Probation Case File (V)</p> <p>Access Restrictions KRS439.510</p> <p>Contents This record series may contain probation terms, counseling reports, restitution receipts, criminal history, police reports, documentation of educational and community service hours.</p> <p>Retention and Disposition Retain for five (5) years, then destroy after closure of case.</p>	<p>This record series is used to document those adult prisoners that have been placed on probation by the District Court. The person is placed on probation and is under the supervision of Community Corrections. This probation may be work release, community service or other types of probation.</p>
L6299	<p>Adult Probation Receipt Book</p> <p>Access Restrictions None</p> <p>Contents This record may contain receipts that payments have been made. The name of the payer and payee and other pertinent information.</p> <p>Retention and Disposition Retain until closure of case then destroy after audit.</p>	<p>This record series is used to document payments made by probationers for restitution, probation fee, work release, drug tests or electronic monitoring.</p>
L6300	<p>Adult Probation Deposit Slips</p> <p>Access Restrictions None</p> <p>Contents This record may contain the deposit slip and list of payments received from persons which make up the deposit.</p> <p>Retention and Disposition Retain until closure of case then destroy after audit.</p>	<p>This record series is used to document bank deposits made by Adult Probation. These consist of payments made by the probationers for restitution, probation fee, work release, drug tests or electronic monitoring.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Booking

Record Group
Number

Series	Records Title and Description	Function and Use
L6424	Daily Inspection Sheet	KAR 501, Chapter 3:060 Section 3 requires that each jailer establish a procedure for inspecting all areas of the facility for physical security and contraband. The sheet is used to record a daily inspection and rating of all jail areas for cleanliness and security to conform with that requirement.
	Access Restrictions	None
	Contents	Officer undertaking inspection, date, area, listing of 26 items for rating, areas to be rated, total points and comments section.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6425	Shift Report (Daily) -- (Daily)	KAR 501, Chapter 3:060 relating to security and control requires that jail personnel document surveillance of each inmate. Chapter 3:020 Section 4 also requires that jail and inmate records shall be maintained. The report is used to record officers on duty on a particular shift and to inform incoming shifts of situations requiring their attention.
	Access Restrictions	None
	Contents	Shift, guards, dates, on duty, off duty, time, and remarks.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6426	Daily Activity Report -- (Daily)	KAR 501, Chapter 3:060 requires that jail personnel shall document surveillance of inmates which includes at least one headcount per shift. The report is used to document the daily work activities and incidents reported by each deputy jailer for reasons of accountability and to assist succeeding shifts.
	Access Restrictions	None
	Contents	Name of deputy jailer, shift, location, date, on duty, off duty, head count males/females in cells, work release, detox, juvenile, administrative holding, community placement and remarks plus narrative columns for time and description.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6427	Telephone Log (Individual Inmate) -- (Individual Inmate)	KAR 501, Chapter 3:060 Section 4 relating to jail security requires that documentation be maintained on telephone usage by inmates of the facility. Inmates are permitted at least one call of five minutes length weekly and the jailer under Chapter 3:140 Section 3(2) calls for maintenance of a log for all phone calls. The log documents phone calls made by individual inmates and is useful for classification, security and treatment reasons.
	Access Restrictions	None
	Contents	Inmate name, cell number, date, time, number called, person called, officer's initials or number.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6428	Fire Evacuation Procedure List	KAR 501, Chapter 3:070 relating to safety and emergency procedures for the jail requires written documentation on fire planning sessions and the quarterly provision for fire planning sessions for staff. The list is used to document the fact that jail employees have participated in fire evacuation procedures.
	Access Restrictions	None
	Contents	Signature of employee, date participated, and signature of supervisor
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Booking

Record Group
Number

Series	Records Title and Description	Function and Use
L6429	Community Service Center Work Schedule	KAR 501, Chapter 3:060 establishes special control procedures for jails with community service or work release programs. The schedule is used as a control mechanism and provides information on work location, times in and out, and the names of those on community service duty.
	Access Restrictions	None
	Contents	Name of inmate, work location, time in and time out
	Retention and Disposition	Retain for two (2) years, then destroy.
L6430	Headcount Report	KAR 501, Chapter 3:060 relating to security and control in the jail requires that documented headcounts be maintained for inmates in the facility. The record documents on a cell by cell basis inmates residing in the jail on a given day.
	Access Restrictions	None
	Contents	Date of headcount, cell number, inmate or inmates in cell, male or female, type of cell, actual count and number of inmates.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6431	Transportation Log -- (Vehicle Log)	KAR 501, Chapter 3:030 relating to fiscal management provides for the maintenance of records relating to the cost for operating the jail. Chapter 3:120 requires a written record when an inmate is removed from custody. The log is used to record the destination and time of transportation of inmates to a work site, medical care or court.
	Access Restrictions	None
	Contents	Date, officer, vehicle, destination, time out, arrival time, time in, initials.
	Retention and Disposition	Retain until five (5) years after final entry, then destroy.
L6432	Inmate Medical Folder (V)	KAR 501, Chapter 3:020 Section 5(2) requires that inmate medical records shall be maintained. The records can follow the prisoner if he/she are transferred to another facility. The folder is used to record the medical history and medical treatment of jail inmates as required by KAR 501 3:090.
	Access Restrictions	KRS 196.280, 197.025, 610.320, 610.340
	Contents	Contents: Medical request form, health history, medical information release, medication log sheet, medical test results, correspondence, memorandum of treating physician or hospital, prescription information, medical evaluations.
	Retention and Disposition	Retain until five (5) years after release of inmate, then destroy.
L6433	Inmate Record/Folder (V)	KAR 501 Chapter 3:020 Section 4 and 5 relate to information systems and inmate records and require that certain information be retained in inmate records and allow that they can be retained in written or within computer records. Records on juveniles are to be kept separate from adult jail records and jail records for mental inquest detainees shall also be kept separate. Release of information is only possible by inmates signing a release of information consent form. The documents record in one place biographical, medical, arrest, property, inmate account, visitor and classification data on an individual inmate to assist in determining a proper rehabilitation program. If additional time in a state or federal facility is ordered by the court, a copy of the inmate's file is sent to the facility from the jail and becomes part of the inmate's folder at that facility. In most cases, if information is requested once this file has been archived, the court record is used to answer most questions. Unless the inmate is convicted of a felony offense, the court record is eligible for destruction in five years.
	Access Restrictions	KRS 196.280, 197.025, 610.320, 610.340
	Contents	Contents: Photographs, incident reports, court proceedings, body receipt, property slip, leave slips, observations, letters to staff, inmate hearings, telephone calls, mental petitions.
	Retention and Disposition	Retain until five (5) years after release of inmate, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Booking

Record Group
Number

Series	Records Title and Description	Function and Use
L6434	Video/Audio Recordings	This record series documents any incident that may cause conflict between an inmate and an employee of the Fayette County Detention Center (FCDC). FCDC records the booking of all inmates. Also recorded are disciplinary hearings, incident reports, cell removals and the time an inmate is in the restraint chair. This recording may be used as evidence in hearings in which an inmate has filed a complaint alleging abuse, unfair treatment, etc., by jail staff.
	Access Restrictions	None
	Contents	This record series may contain: Date, time, location of recordings, related information and video index/log sheet.
	Retention and Disposition	Retain non-evidentiary recordings for thirty (30) days, then destroy. Evidentiary recordings used in any investigation, pending investigation, litigation or open records requests must be kept until all investigative or legal activity is completed. Then destroy the original and all copies of the recording.
L6435	Video Log	Each video is numbered and the number is identified in this log. The log also documents the date recordings begin and end. By checking the inmate folder and obtaining the date an incident happened, the log can be consulted to find exactly which tape is needed to locate specific entries.
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain until video/audio recordings are destroyed, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Canteen

Record Group
Number

Series	Records Title and Description	Function and Use
L6401	Inmate Account Deposit Receipt (V)	KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and canteen and requires that fiscal records be maintained relation to the operation of the jail and the canteen. The receipt is used to record the deposit of money to an inmates account(often by a family member) and to issue a receipt as an acknowledgement of that deposit and credit to the account.
	Access Restrictions	None
	Contents	Amount, deposit to account with inmate name, property number, cell number, by whom deposited, date, authorizing officer.
	Retention and Disposition	Retain until two (2) years after release of inmate, then destroy after audit
L6402	Inmate Account (V)	KAR 501, Chapter 3:030, Sections 2, 3 and 4 relate to the fiscal management of the jail and the canteen and require that fiscal records be maintained relating to the management of the jail and the canteen. This record covers debits and credits to an inmates account as the result of prison wages earned, deposits by family or others and commissary purchases. At the time of release any remaining balance is returned to the inmate.
	Access Restrictions	None
	Contents	Name of inmate, date, account balance, debit, or credit, initials of inmate for debit. May include deposit or receipt forms.
	Retention and Disposition	Retain until two (2) years after release of inmate, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Classification and Treatment

Record Group
Number

Series	Records Title and Description	Function and Use
L6399	Inmate Classification Sheet (V)	KAR Title 501, Chapter 3:110 sets forth procedures for the classification of inmates and the record is created in response to that procedure. Upon admittance to the jail facility, the inmate is interviewed, and as a result of the information received, the inmate is placed in a cell location appropriate to the offense and other factors (male, female, adult, juvenile, mental ill or mentally retarded, mental inquest detainees). In most recent cases (from approximately 1998), juvenile and mental detainees are housed in other-than- adult jail facilities.
	Access Restrictions	None
	Contents	Date, booking date, arrest date, arrest time, SSN, name, aliases, sex, age, race, d.o.b., place of birth, height, weight, address, phone number, marital status, spouse's name, length of marriage, number of dependents, military service, discharge date, employer, medical problems, medication, drug use, alcohol use, physician's name, felony arrests, escape attempts, current charges, court date, bond, disposition, cell location.
	Retention and Disposition	Retain until five (5) years after release of inmate, then destroy.
L6400	Inmate Phone Calls	KAR Title 501, Chapter 3:140, Section 3, requires that a record of all telephone calls by an inmate shall be maintained by the jail. The record is used to document the date, time and party contacted by the inmate. This series is used seldomly if at all. The main use is to check if an individual complains an inmate is bothering them by calling from the jail. In some cases the inmate has an EPO filed against them and this document can prove they were trying to contact the protected individual.
	Access Restrictions	None
	Contents	Name of inmate, cell location, approved by, date, number called, person called, time, date, signature of inmate, recorded conversation.
	Retention and Disposition	Retain for six (6) months, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Food Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6403	Food Service Operation Inspection Record	KAR 501, Chapter 3:100, Section 1 requires that Jail Food Services comply with the Kentucky Food Service Establishment Act and the State Food Service Code (KRS 219.011 to 219.081) and the Kentucky Occupational Safety and Health Standards for General Industry. The record is the inspection by the local health department of the jail food service operation for compliance with the health codes and regulations and makes recommendations where appropriate for improvement.
	Access Restrictions	None
	Contents	Food service operation name, date inspected, violations found in structural cleanliness, ventilation, lighting, toilet facilities, water supply, waste disposal, serving and display, and cleanliness of staff with inspector's specific recommendations for correction or improvement in any of these areas.
	Retention and Disposition	Retain until superseded, then destroy.
L6404	Menu	KAR 501, Chapter 3:100, sets forth procedures for proper food services in local jails and includes certain records keeping requirements among which is maintenance of accurate records of all meals served. The menu serves to document the foods served at each meal to inmates of the jail facility.
	Access Restrictions	None
	Contents	By week and then by day lists foods served at breakfast, lunch and dinner. Includes a comment space.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6405	Refrigerator and Freezer Temperature Control Record	KAR 501, Chapter 3:100, Section 1(11) requires that jail food services have sufficient cold storage facilities for food. The record services to document temperatures within the refrigerator and freezer for purposes of monitoring for health purposes the safe storage of perishables.
	Access Restrictions	None
	Contents	Records date of temperature checked, individual checking temperature, and temperature of refrigerator and freezer
	Retention and Disposition	Retain for one (1) year, then destroy.
L6406	Perpetual Inventory	KAR 501, Chapter 3:030 relating to fiscal management of the jail facility requires that an inventory procedure shall be implemented and established. This record documents the amount of foodstuffs on hand in food services of meal planning, ordering and use of food products.
	Access Restrictions	None
	Contents	Lists name of food item, unit size, date, record of action, with quantity of food received, withdrawn and remaining on balance.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6407	Special Diet Order	KAR 501, Chapter 3:100 relating to food services in the jail requires that the jailer provide for medical and religious diets. The record documents the type of special diet (medical or religious) served to the inmate and the purpose for serving.
	Access Restrictions	None
	Contents	Name of inmate, date of birth, issue date, module, booking number, expiration date, type of diet, initials of approving physician or chaplain
	Retention and Disposition	Retain until obsolete, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Food Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6408	Standard Kentucky Rebate Application-Food Processing Program	KAR 501, Chapter 3:100 relating to food services in jails requires tthat adequate records be maintained relating to meals. The Jail as government entity is eligible to receive government donated foods from the Federal Government. The Kentucky Dept. of Agriculture is the state agency responsible for the administration of the donated foods program in the Commonwealth. The application is a request for a rebate/refund from the Kentucky Dept. of Agriculture for use of government donated foods. Refunds received from that agency must be placed back into the Food Service program at the jail facility.
	Access Restrictions	None
	Contents	Name of participant, identification code, address, city and state, zip code, purchased from, address, zip code, months when products purchased plus year, product code number, type of product, case size, number of cases purchased, donated food rebate value per case, net price per case after rebate, total rebate per line item, grand total, applicant signature, title and date.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L6409	U.S.D.A. Quarterly Food Inventory	KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be maintained relating to meals. As a government entity, the Jail is eligible to receive federal surplus foods to provide an a nutritionally adequate diet for inmates. The record is used to document the quantity of federal surplus food on hand by the agency on a quarterly basis.
	Access Restrictions	None
	Contents	Name of agency, county, county code, address, date of inventory, by commodity lists cases, bales or bags on hand in previous quarter, received this quarter, used this quarter, transferred out this quarterand damaged or destroyed this quarter, totals, and in inventory with overages and shortages this quarter, signature line and date.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L6410	Utensil Count Sheet (Daily) -- (Daily)	KAR 501, Chapter 3:030, Section 6 requires the Jailer to utilize andimplement an inventory procedure for property under his control. The record is used to document utensils on hand on a daily basis to protect against theft and to alert staff of the type of utensils taken.Not only is this critical for property administration but also for safety as some of these utensils may be fashioned into weapons for use against staff or other inmates.
	Access Restrictions	None
	Contents	Lists type of utensil and number on hand with signature line and date.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6411	Institution Requisition for USDA Foods Entitlement Purchases	KAR 501, Chapter 3:100 relating to food services in jails requires that accurate records be retained relating to meals. Since the Jail is a government entity it is eligible to receive surplus foods from the United States Dept. of Agriculture. The Kentucky Dept. of Agriculture is the state agency responsible for administration of that program in the Commonwealth. The record documents an annual request by the jail for USDA foods.
	Access Restrictions	None
	Contents	Signature of authorized representative, county, phone number, average daily caseload, needy persons served everyday, lists USDA Foods, their sizes and price per case, case/bags requested with total dollar value.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Food Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6412	<p>Cleaning Supplies Inventory</p> <p>Access Restrictions None</p> <p>Contents Notes POD location and numbers of push brooms, sweep brooms, dust pans, mops, mop buckets and wringers, window cleaner, shower/toilet cleaner, scrub brushe and floor cleaner on hand at each location with officer's initials and date.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	<p>KAR 501, Chapter 3:030 relating to fiscal management requires that ajailer implement and utilize an inventory purchase to keep track of property in the custody of that office. The record accounts for cleaning supplies on hand and their specific location in the jail facility.</p>
L6413	<p>Delivery Notice for Donated Foods</p> <p>Access Restrictions None</p> <p>Contents Name of institution, account number, arrival date, expiration date, deliver, year, pack size and price per case, route number, order number, total cases, signature line and date.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	<p>KAR 501, Chapter 3:100 relating to food services in jail facilities requires that accurate records be maintained relating to meals. As the Jail is an government entity it is eligible to receive government donated foods to provide a nutritionally adequate diet for the inmates in its custody. The record is a notice to the distributor for the delivery of donated foods to the jail facility.</p>
L6414	<p>Count Sheet of Meals Served</p> <p>Access Restrictions None</p> <p>Contents Date, meal, numbers of officers, court employees, doctors, new inmates, released inmates and those served at any other place.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	<p>KAR 501, Chapter 3:100 relating to food services in jail facilities requires that the jailer shall maintain accurate records of all meals served. This record is used to determine the number meals serving on a daily basis for purposes of planning food preparation and food purchases.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Training

Record Group
Number

Series	Records Title and Description	Function and Use
L6415	<p>Application for Training</p> <p>Access Restrictions None</p> <p>Contents Name, SSN, job title, employing agency, employment date, date of birth, sex, course title, training site, total hours, beginning date, ending date, training supervisor, employing agency address, trainees signature, lists of courses, hours completed, not completed, training supervisors signature and date.</p> <p>Retention and Disposition Retain for fifty (50) years, then destroy.</p>	KAR 501, Chapter 3:040 relating to jail personnel sets minimum training standards certified by the Corrections Cabinet and provides for local and regional in-service training. Jailers receive a minimum of 40 hours annually of certified in-service training while deputy jailers and other correctional officers receive a minimum of 16 hours annually. The application records an individual employees request for training and compiles a list of courses completed or not completed Chapter 3:020 Section 4(5) requires each jail to maintain records on the types and hours of training completed by each employee.
L6416	<p>Training Checklist for Fire Emergency</p> <p>Access Restrictions None</p> <p>Contents Date, employee name, SSN, checklist of six areas of responsibility, signature of instructor and trainee, date.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	KAR 501, Chapter 3:070 sets forth safety and emergency procedures to be followed in local jails and relate to the provision of fire emergency planning and the creation of a fire emergency plan. The checklist is meant to acquaint the staff member with those procedures as part of their in-service training and is used to document the fact that the employee has received training in the handling of a fire emergency. Chapter 3:020 Section 4(5) requires each jail shall maintain records on the types and hours of training completed by each employee.
L6417	<p>Training Checklist for Booking</p> <p>Access Restrictions None</p> <p>Contents Date, employee name, SSN, checklist of twenty-eight areas of responsibility, signature of instructor and trainee upon completion and date.</p> <p>Retention and Disposition Retain for fifty (50) years, then destroy.</p>	KAR 501, Chapter 3:040 relating to personnel in jail facilities shall receive 16 hours annually of in-service training. One of the most critical is the booking(admission) area. The checklist is used document the fact that the jail employee has received training in the facets of the booking area. Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee.
L6418	<p>Training Checklist for Juvenile Area</p> <p>Access Restrictions None</p> <p>Contents Date, employee name, SSN, checklist of eight areas of responsibility, signature of instructor and trainee upon completion and date.</p> <p>Retention and Disposition Retain for fifty (50) years, then destroy.</p>	KAR 501, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. Chapter 3:020, Section 4(5) requires each jail maintain records on the types and hours of training completed by each employee. The Juvenile Area requires a different approach from that for the adult population. The checklist is to document that the jail employee has received training in the Juvenile Area.
L6419	<p>Training Checklist for Roving Officer</p> <p>Access Restrictions None</p> <p>Contents Date, employee name, SSN, checklist of twenty-six areas of responsibility, signature of instructor and trainee upon completion and date.</p> <p>Retention and Disposition Retain for fifty (50) years, then destroy.</p>	KAR 501, Chapter 3:040 Section 4(5) requires that each jail maintain records on the types and hours of training completed by each employee. Furthermore, Chapter 3:040 requires a minimum of sixteen hours annual in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee has received training in the requirements of being a roving officer.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Community Corrections
Training

Record Group
Number

Series	Records Title and Description	Function and Use
L6420	Training Checklist for Administration Area	KAR 501, Chapter 3:040 Section 4(5) requires that each jail shall maintain records on the hours and types of training completed by each employee. Chapter 3:040 Section 4(2) also requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record documents that the jail employee received training in the operations of the administrative area.
	Access Restrictions	None
	Contents	Date, employee name, SSN, checklist for code of ethics, use of force, policy and procedures, timesheets, instructor and trainee signature of completion and date.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L6421	Training Checklist for Main Control and Control Tower	KAR 501, Chapter 3:040 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The record is used to document the fact that the jail employee has received training in the operation of the main control area and the control tower.
	Access Restrictions	None
	Contents	Date, employee name, SSN, checklist of twenty-four areas to be knowledgeable about, instructor and trainee signature and date.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L6422	Training Checklist for Reports	KAR 501, Chapter 3:040 Section 4(5) requires each jail to maintain records on the types and hours completed by each employee. Chapter 3:040 Section 4(2) requires sixteen hours annually of in-service training for deputy jailers and correctional officers. The checklist is used to document the fact that the jail employee received training in the proper completion of incident reports, daily activity log, work orders, etc.
	Access Restrictions	None
	Contents	Date, employee name, SSN, checklist for reports, signature of instructor and trainee on completion of training along with the date.
	Retention and Disposition	Retain until reports are superseded, then destroy.
L6423	Jail Employee Training Form	KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee and that a current and accurate record shall be maintained on each employee. Chapter 3:040 Section 4(2) requires that sixteen hours annually of in-service training be provided to deputy jailers and correctional officers. The form is used to record training received by a jail employee. This training is done to acquaint employee with the facility and prepare them to handle a variety of situations.
	Access Restrictions	None
	Contents	Name of employee, SSN, training course, date, number of hours trained, number of hours to complete course, course completion, instructor signature, trainee signature.
	Retention and Disposition	Retain for fifty (50) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Enhanced 911

Record Group
Number

Series	Records Title and Description	Function and Use
L5637	Change of Address File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the changes of address. The changes must be approved by the Council through a resolution. The resolution is maintained permanently in the Council Clerk's office. These changes are entered into a database (GIS). The address and phone number are linked when a 911 call is received. KRS 65.752(3)(4) This record series may contain correspondence, field notes, copies of area maps, change of address and a reference to the old address. Retain for two (2) years, then destroy.
L6438	Master Address File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the all addresses in the urban county government area. This is maintained in the police department and is automatically changed by the phone company when people move with the old numbers and addresses backed up. This is in paper form and in a stand alone database. KRS 65.752(3)(4) This record series may contain the name, address and phone number. Retain until occupants change and address is updated, then destroy.
L6436	Dispatch Recordings Access Restrictions Contents Retention and Disposition	This series is used to document and record all Enhanced 911 related calls whether made by phone, radio, text and/or video. These may include calls from individuals, police officers, EMS, or firemen. These are recorded automatically as the call comes in to the agency. The system will write over tape or CD at the appropriate time - 60 days. Most of this information will be recorded on an additional system. The information will be recorded on the system used by the contact agency, such as the Police, EMS, or Fire Department. KRS 61.878 (1)(a) The information may vary but usually will have the time, date, name of person calling and subjects covered Retain for sixty (60) days, then destroy or re-use. If there is litigation, an open records request or investigation involving these records all destruction ceases.
L6437	Surveillance Video/Audio Recordings Access Restrictions Contents Retention and Disposition	This record series is used to document the activities in public areas of local government facilities. The cameras usually run 24 hours a day and record all activities in specific areas. Used in case there is destruction of property, breaking and entering, or other unlawful acts. This includes the general inmate population areas of detention facilities except for booking/interrogation. These cameras may be located in areas such as lobbies, kitchens, control rooms, libraries, hallways, entrances to government buildings, local government offices and any where the public has access. These tapes are used as a security measure in the identification of persons who cause disturbances or violate laws. None Video of a certain area of the facility or the outside of the facility. Retain for sixty (60) days, then destroy or re-use. If there is litigation, an open records request or investigation involving these records all destruction ceases.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Environmental and Emergency Management (DEEM)

Record Group
Number

Series	Records Title and Description	Function and Use
L5515	Inventory for Facility File (V) Access Restrictions Contents Retention and Disposition	This record series is used as a finding aid for the facility files. Used to locate certain documents. This record series is updated regularly to reflect the changes made in the facility files. Maintained as an electronic record but may be printed out as well. None This records series may contain the name of facility, document name, summary information along with dates and other information. Retain permanently.
L5516	Facility Files - Non Residential (V) Access Restrictions Contents Retention and Disposition	This record series is used to document non residential facilities that may be a source of environmental concern. The facility may be keeping hazardous materials either as an inventory or that may be used in their daily business. It may be underground storage, storage above ground, kept in a building or kept in an open lot. These files may be representative of complaints received or may be maintained because a facility is in the business of using, storing or selling hazardous materials or they are underground storage facilities. This file is used to assess the situation and to provide information if there is an emergency. Some of these files may be confidential because of trade secrets or as part of the super fund cleanup. None This record series may contain the name, address, hazardous material, amounts, inspection reports, complaints, correspondence and other reference materials. Retain permanently.
L5517	Facility File - Residential (V) Access Restrictions Contents Retention and Disposition	This record series is used to document reports of hazardous materials being stored in a residence. This record may reflect what was found at the residence and what was done to remedy the situation. None This record series may contain the name, address, materials, summary of action, date and time. Retain until three (3) years after last activity, then destroy.
L5518	Emergency Response Plan (V) Access Restrictions Contents Retention and Disposition	This record series is used to document how the community responds to chemical accidents. The plan must identify facilities/transportation routes, describe emergency response procedures, designate a community coordinator and facility coordinator, outline emergency notification procedures, determine the affected area and populations, describe local emergency equipment and facilities and the persons responsible, outline evacuation plans, provide training program for responders, provide methods and schedules for exercising emergency response plans. The Local Emergency Planning Committee develops this plan. This committee is made up of representatives from police, fire, ems, public health, transportation, and environmental specialist. None This record series contains the guidelines for dealing with a chemical spill. Includes names of responders, phone numbers, notification procedures, evacuation plans, training component, list of potential problems. Retain one (1) copy permanently.
L5519	Tier II Emergency and Hazardous Chemical Inventory File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals. None This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments. Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Environmental and Emergency Management (DEEM)

Record Group
Number

Series	Records Title and Description	Function and Use
L5520	Transformer Incident File	This record series is used to document when electricity transformers explode and emit certain hazardous chemicals. The incident is reported by the electric company (KU) for the purpose of informing those in the vicinity that there may be a hazard. PCBs are the most prominent of the hazardous materials. This incident report is followed up by what action KU has taken to clean up and make the area safe.
	Access Restrictions	None
	Contents	This record series may contain the location, address, how the situation was handled and if there was any damage to surrounding area.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5521	Hazardous Waste Incident File (V)	This record series is used to document one time spills of emissions of hazardous chemicals or materials. This may be a tanker spill or an emission from a facility. This initiates a response which includes the fire department.
	Access Restrictions	None
	Contents	This record series may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5522	Training and Exercise File	This record series is used to document training and exercises that are given which requires implementation of the major provisions of the emergency plan. Items considered are threat, training programs completed by response personnel, assignment of personnel, equipment available to responders, funding, exercise frequency, and experience commensurate with the type and stress of the exercise. Must be conducted on a four year cycle.
	Access Restrictions	None
	Contents	This record series may contain, exercise/training materials, guidelines, scenarios, time, date and list of responders.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5523	Natural Disaster File	This record series is used to document natural disasters such as tornado, ice storms, floods and others. These are maintained to document the procedures followed, the consequences, the details of the disaster. This is used for future reference.
	Access Restrictions	None
	Contents	This record series may contain the time, date, photos, summary of the disaster, response and damage done.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5524	Administrative Orders (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the policies and procedures of the fire department. It is an internal document used in the administration and operation of the agency and includes all areas. The chief issues these as needed. The orders may be general, special or training and they apply to everyone in the agency. None This record series contains the date of issue, page #, order #, subject, order numbers rescinded, signature of authority, purpose, and policy and procedure. Retain one (1) copy permanently in the Chief's office.
L5525	Annual Report to the Secretary of State Access Restrictions Contents Retention and Disposition	This record series is used to report activities of the fire department that has been created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations). This report is required by this KRS Chapter. None This record series contains the name of the department, address, name of trustees, current information for the year, and signature of person presenting report. Retain permanently.
L5526	Financial Statement to the State Fire Commission Access Restrictions Contents Retention and Disposition	This record series is used to document the financial condition of a local fire department. The governing body of each recognized and certified volunteer fire department created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations) must submit a financial statement to the State Fire Commission of all funds received from all sources and expenditures of those funds for all purposes. This becomes a part of the official audit. For a fire department that is designated a special district this financial report is also submitted to the fiscal court of the county or counties where the special district is located. None This record series contains the name of the fire dept., address, receipts and expenditures, date submitted, person submitting the statement and report. Retain permanently.
L5527	Annual Fire Summary Report Access Restrictions Contents Retention and Disposition	This record series is used to document the fire runs made during the year and the type of fire. This is a reporting tool for the governing body and becomes a part of the Annual Report to the Governing Body. None This record series contains the breakdown of false alarms, number of fires, number of civilian casualties, estimated property damage from fire, incendiary and suspicious fires, structure fires, vehicle fires and total for all incidents. Retain permanently.
L5528	Summary Financial Statement Access Restrictions Contents Retention and Disposition	This record series is used to document the receipts and expenditures of the fire department (special district) on an annual basis for publication in the local newspaper. This is a form provided by the Department for Local Government is for publication and informational purposes only. It is not designed to satisfy, nor does it fulfill the requirements of a comprehensive annual financial statement prepared pursuant to generally accepted accounting principals. None This record series contains the period covered, revenues, receipts and cash, expenditures and address where records are available for inspection. Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5529	<p>Monthly Fire Summary Report</p> <p>Access Restrictions None</p> <p>Contents This series contains the dates, false alarms, number of fires, number of civilian fire casualties, estimated property damage from fires, incendiary and suspicious fires, structure fires, vehicle fires and total of all incidents. Also included is number of fires in private dwellings, apartments, hotels, residential, public assembly, schools, stores, health care, industry, utilities, fire in highway vehicles, fire outside structures, fire in brush, fire in rubbish, hazard material emergencies.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	
L5530	<p>Uniform Financial Information Report (V)</p> <p>Access Restrictions None</p> <p>Contents Name and address of the special district followed by a multi-part form covering such categories as: (1) Tax Rates; (2) City Revenue; (3) City Transfers and Proceeds from Long Term Debt; (4) Contact information; (5) General Fund Expenditures; (6) Personnel Expenditure; (7) Cash and Investments at the End of the Fiscal Year; (8) New Indebtedness and (9) New Capital Lease Agreements over \$50,000. The instrument is an 11-page document with 1,085 data elements to be completed by the reporting agency.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>	
L5531	<p>Insurance Rating Organization File (Insurance Services Office, Inc. {ISO})</p> <p>Access Restrictions None</p> <p>Contents This record series contains correspondence (letters and memos) and the surveys and reports. The surveys and reports may include requests for items needed in doing a survey and a contact sheet containing the names of local government employees or officers. Copy of policy for responding to fire alarms outside city/town/district limits, apparatus and equipment checklist may also be in this file. Information collected includes population from the last two census, area size, total number of alarms called for structural fires, number of non-structural fires and training programs.</p> <p>Retention and Disposition Retain until superseded or obsolete, then destroy.</p>	

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5532	Basic Fire Incident Report	This records series is used to document what happens when a fire alarm is issued and a run is made. The information is entered after each run per KRS 304.13-380. These reports are used by the insurance companies for rating purposes and by the local fire department as a reference to their activities and to document all aspects of a particular fire. This report also be used when there is a suspicious fire and to determine whether the state fire marshall should be called. These basic reports shall be compiled into a monthly statistical report for the state fire marshall. These are sent electronically to that office every 3 months.
	Access Restrictions	None
	Contents	This record series contains the name of the fire department, fire district #, date of fire run, day of the week, alarm time, arrival time, in service time, type of situation found, type of action taken, fixed property use, address of fire, occupant name, telephone and address, owner name, method of alarm from public, inspection district shift, no. of alarms, number of fire personnel, number of engines responding, aerials responded, other vehicles, number of injuries, number of fatalities, complex, no complex, mobile property type, mobile property-not applicable, area of fire origin, equipment involved in ignition, form of heat of ignition, type of material ignited, form of material, method of extinguishment, level of fire origin, number of stories, construction type, extent of flame damage, extent of smoke damage, detector performance, sprinkler performance, type of material generating smoke, mobile property description, equipment involved in ignition, officer in charge, member making report and date of report.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5533	Dispatch Cards	This record series is used to document calls received from citizens reporting a fire. This documents the time of the call and other pertinent information. In some instances the fire and emergency medical service are on the same system. This dispatch may also on tape.
	Access Restrictions	None
	Contents	This record series contains the name of the fire department, the engine responding, time recorded, time arrived, time cleared, type of incident, the address of the run, name and location of caller.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5534	Station Log Book	This record series is used to document all daily activities in the fire station. This may include fire runs, duty assignments, duties completed, committee meetings and any personnel actions. Used to document the whereabouts of staff and verify results.
	Access Restrictions	None
	Contents	This record series contains the date, time, account of activity, weather information. This may be broken down into platoon.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5535	Training Records File Change Date: 6/21/2007 (V)	This record series is used to document the on going training necessary for certification as a firefighter. Training and education standards is the responsibility of the State Fire Commission. There are minimum requirements for the certification of fire fighters and for participation in the Professional Fire Fighters Foundation Program Fund. Incentive pay comes from this fund and is contingent upon completion of additional training each year. Part of the requirements is 400 hours of basic training during the first year and an additional 100 hours of certified training every year of employment. The Fire Commission distributes the training material which is taught by a Level II certified instructor. A copy is sent to the Fire Commission every 3 months where it is maintained. Under 815 KAR 45:035 the local fire department or district shall maintain records to document that each participant devotes sufficient hours performing fire service training to qualify for incentive pay. These records may be audited by the Fire Commission for compliance purposes.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series may contain the name of person receiving training, social security number, date of training, kinds of training, training roster, a copy of high school diploma, certificate from fire schools, fire training tests, emergency medical testing, standardized tests, test scores, score sheets, street and hydrant test, list of training completed (individual training list).
	Retention and Disposition	Retain until five (5) years after termination, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5536	Daily Morning Report Access Restrictions Contents Retention and Disposition	This record series is used to document those employees who are to be working on a particular shift. This is done at each shift to make sure that all positions are filled. This report shows absences, replacements and assignments of personnel. None This record series contains the platoon #, shift commander name, officers names, date, weather information, apparatus assignments, housekeeping assignments, absences and names of replacements. Retain for one (1) year, then destroy.
L5537	Personnel File - Duplicate (Official copy is maintained in the government's personnel office). Access Restrictions Contents Retention and Disposition	This record series is a duplicate of the official copy maintained in the governments personnel office. It is used mainly as a quick reference to inquire about such things as habitual tardiness or other day to day personnel activities of individuals stationed at the fire department. This file may contain unofficial notes and references relating to individual employees that are not considered worthy of being placed in the official personnel file. KRS 61.878 (1)(a) Contains copies of the daily attendance, time sheets, certifications, change of status, evaluations, medical records, reprimands, recommendations, education material, workers compensation claims, absence reports and other personnel reference material. Retain until termination of employment and review by personnel office, then destroy.
L5538	Inspections of Property File Access Restrictions Contents Retention and Disposition	This record series is used to document inspections made by the fire department of all property for the purpose of ascertaining and making sure that corrections are made of any conditions likely to cause fire loss, or discovering any violation of a law or ordinance relating to fire prevention and protection. There are certain facilities that must be inspected yearly and they include day care centers and schools. New businesses and businesses that change hands are also inspected. If there is a violation the facility has 10 days to appeal. None This series contains a basic inspection form which has the date inspected, case no., county, status, priority, facility name, building name, complex code, phone, address, alarm systems, sprinkler systems, occupancy load, size of facility, type of construction, violations, and name of inspector. Retain for five (5) years, then destroy.
L5539	Notification of Violation (V) Access Restrictions Contents Retention and Disposition	This record is used to document those facilities that are in violation of a law or ordinance relating to fire prevention and protection and any fire code issued. This notification is sent to the facility that has been inspected and found to have a fire hazard or is not in compliance with the building code sections that relate to fire prevention. The amount of time to come into compliance is listed on this notification. This violation notice may trigger an appeal or the fixing of the problem by the owner of the facility. None This record series contains the name of the violator, address, party notified, title of party, date, list of violations, time period in which the violation is to be corrected and the name of the inspector. Retain for seven (7) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5540	Daily Apparatus Checklist	This record series is used to document all vehicles, generators, breathing apparatus, chain saws and any other items used in the day to day work of the fire department have been checked for performance capabilities. This is done daily to ensure that the vehicles and other apparatus are in good condition and are being maintained to the highest level of readiness.
	Access Restrictions	None
	Contents	This record series contains the date, shift, operator's name, items checked before apparatus is started, with apparatus running outside, generator checks, and breathing apparatus checks. Each one of these has a list of items to be checked.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5541	Hose Test Report	This record series is used to document that the hoses have been tested according the National Fire Assoc. guidelines and that there are no problems. Tested for pressure adherence and fitting durability. The insurance rating companies use this grading fire districts when issuing insurance rates.
	Access Restrictions	None
	Contents	This record series contains the date of testing, unit# or engine #, officer in charge, description of item tested, hose size, test psi, # of feet tested, # of feet passed, # of feet failed and comments.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5542	Ground Ladder Test Report	This record series is used to document that the ground ladders are tested and inspected, usually on an annual basis and that they are in good repair. The testing is completed according to the National Fire Protection Standards and the results are used not only for repair purposes but are used by the insurance rating company in grading the fire district for setting insurance rates.
	Access Restrictions	None
	Contents	This record series contains test date, inventory #, location, manufacturer name, length, number of sections in ladder, testing of the rails/rungs, hooks, halyards, strength test measurements and person doing the testing.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5543	Aerial Ladder Test Report	This record series is used to document the testing of the aerial ladders which are attached to the fire trucks. This is done for UL certification purposes and a certificate of aerial device inspection and test by the American Test Center. Tested to ensure that it is in good working condition. This test may be run more than once a year but usually completed once a year.
	Access Restrictions	None
	Contents	This record series may contain the Certificate of Inspection and Test and the test itself which includes the name of the fire dept. ladder model, test #, horizontal load test, maximum elevation load test, rotation bearing clearance, elevation cylinder drift, throttle control, relief valve psi, trigger cylinder drift test, extension cylinder drift test, operating test, water system test, date of test and tester.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5544	Pumper Test Report	This record series is used to document that the pumper on the truck is in good working condition and is used in the certification process by the National Fire Protection Association. Also used by the insurance grading companies for insurance rates for the district.
	Access Restrictions	None
	Contents	This record series contains date of test, apparatus tested, temperature, time, manufacture date, manufacturer, mileage, fuel used, test site, make, model, serial number, acceleration, vacuum test, pumping data, capacity, and tester.
	Retention and Disposition	Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5545	State EMS Run Report (V)	This record gives documentation of aid rendered, is a medical assessment, and serves as the primary billing record. A copy of this record is also frequently provided, at patient's written request or upon court order, for legal and insurance purposes. Cabinet for Human Resources Administration Regulation (902 KAR 20:155) requires that this record be forwarded to the Cabinet in accordance with submission dates established by the Cabinet. A new CHR regulation (902 KAR 20:117) requires that the EMS Run Report be kept confidentially and for a minimum period of five (5) years from the last date of service, or in the case of minors, until five (5) years beyond the age of majority, which is 18 years.
	Access Restrictions	None
	Contents	Month, day, year, pick-up location, county code, ambulance service license, time calls come in and time transferred, mileage record, nature of run, patient name and address, driver/attendant, vital signs, chief complaint, case narrative, destination, doctors, patient assessment and aid administered.
	Retention and Disposition	Retain for five (5) years, the destroy after audit. In the case of a minor, retain until five (5) years after age eighteen, then destroy after audit.
L5546	Routine Investigation Files (V)	This record series is used to document follow up investigations by the fire department personnel of fires that are determined not to be of a suspicious nature and does not result in felonious criminal action. These investigations may produce findings that the fire was caused by accidental or careless acts. They may result in misdemeanor charges for some violation. These may be sent to the state Fire Marshall.
	Access Restrictions	None
	Contents	This record series may contain the location, time, equipment used, hydrant used damage done, firemen involved, summary report, photos and results.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5547	Felony Investigation Files (V)	This record series is used to document those investigations of fires that are determined to be arson or where there is a fatality. These may be resolved or they may be open and never resolved. These investigations may result in felony charges being brought.
	Access Restrictions	None
	Contents	This record series may contain the location, time, equipment used, hydrant used, damage done, firemen involved, summary report, photos and results.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L5548	Hazardous Material Report (V)	This record series is used to document those facilities that have an inventory of hazardous materials as determined by EPA. These reports also may be of one time spills or release of these hazardous materials and the response of the fire department. This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	Access Restrictions	None
	Contents	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments. This record series also may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	Retention and Disposition	Retain for three (3) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5549	Knox Box Application File	This record series is used to document those facilities that have applied for a Knox Box (miniature safe) to be installed outside the building. This is placed on the building and a key to the premises is placed in the safe. If there is fire or the alarm is sounded and the fire department responds they can get a key from this box. The owner of the facility buys the box. The fire department has the only key to the box. Usually used when an alarm is sounded at the facility. This gives the fire department access to see if there really is a fire.
	Access Restrictions	None
	Contents	This records series may contain the name of owner, address of facility, amount paid, type of alarm system, where the box is located. Layout of facility.
	Retention and Disposition	Retain until no longer active, then destroy.
L5550	Garage Maintenance Monthly Report	This record is used to document the work completed on the vehicles and other equipment during a given month. This may be used as a reference of in case there is some question about the operating efficiency of the equipment.
	Access Restrictions	None
	Contents	This record series may include date, time, equipment/vehicle serviced, and what was done.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5551	Street Closure/Alarm Systems Out of Service File	This record series is used to document street closings and alarm systems that are out of order. This file is used as a reference when routing to a possible fire or emergency. Notification of out of order alarms alerts the Department that the alarm must be repaired.
	Access Restrictions	None
	Contents	This record series may contain the name of street, duration of closing, address of facility, name of alarm service.
	Retention and Disposition	Retain until no longer useful, then destroy.
L5552	Schedule II Drug Inventory List	This record series is used to document those drugs which have a high potential for abuse. These are used in emergency services.
	Access Restrictions	None
	Contents	This record series may contain the name of drug, date of receipt, and amount.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5747	Patient Statement -- (This is the bill for services rendered) (V)	The function of the patient statement is to obtain payment from the patient for services rendered. This is the collection record - the bill for services which the EMS Unit mails to the individual who received ambulance service.
	Access Restrictions	None
	Contents	Date, Patient Name and Address, Description of services rendered, Charges, Payments and Credits, Previous balance, Total payments and credits, Current charges, Total, Provider name and address. Date of run and from-to locations.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5748	Patient Health Insurance Claim Forms (V)	This record functions to bill the Health Insurance Provider for services rendered to the patient. Health Insurance Providers include: private insurance companies, Medicare, Medicaid, Workman's Compensation, military, etc. This is a duplicate of the health insurance claim form filed by the EMS Unit on behalf of the patient.
	Access Restrictions	KRS 61.878:1a - Diagnosis and Personal I.D. Info.
	Contents	Patient and insured (subscriber) information: name, address, codes, etc; Physician or supplier information: diagnosis, itemized amounts charged for services, dates provided, physician identification, etc.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5749	Monthly Payments Audit Sheet -- (This is a record of all payments received for services rendered)	This is a record of all payments received for the month. It serves as a monthly payments audit. It is prepared in order to balance with deposits that have been made and to report to the City Commissioners, Fiscal Court, or other reporting body.
	Access Restrictions	None
	Contents	Paatient name, run number, payer, transaction date, amounts disallowed, paid, adjusted.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5750	Daily Payments Audit Report -- (This is a record of all payments received for services rendered)	This is a daily record of receipts for services rendered. It is used to balance with the daily deposit. A cumulative monthly report is also generated.
	Access Restrictions	None
	Contents	Patient name, run number, payer, transaction date, amounts disallowed, paid, or adjusted.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Fire and Emergency Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6354	<p>Medical Surveillance File (Hazardous Materials Exposure)</p> <p>Access Restrictions None</p> <p>Contents This record series contains date of exposure, amount, time, type of exposure, incident report, physical exam, and actions taken.</p> <p>Retention and Disposition Retain for thirty (30) years, then destroy.</p>	<p>This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.</p>
L6464	<p>Child Safety Seat Inspection Records</p> <p>Access Restrictions</p> <p>Contents This record series may contain the inspection checklist, parent/guardian name, date recommendations, comments and inspector name.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This record series is used to document inspections of child safety seats by the Fire Department staff. This is a voluntary program. The public may bring in a child safety seat and have it properly installed and to make sure they have the proper seat for the child.</p>
L6642	<p>Liability Waiver Records</p> <p>Access Restrictions KRS 61.878 (1)(a)</p> <p>Contents This record series may contain the name, address, phone number, date, signature of the applicant, parent or guardian signature and other related information.</p> <p>Retention and Disposition Retain five (5) years, then destroy.</p>	<p>This record series is used to document the release of the Urban County Government from liability related to various government sponsored activities that include citizen involvement. This includes riding along in a vehicle or apparatus belonging to the Division of Fire and Emergency Services. This includes releases for installation of smoke alarms.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Administration and Services

Record Group
Number

Series	Records Title and Description	Function and Use
L4848	Radio Run Tapes	This record series is used to document incidents reported to the police department. Whenever an incident is being investigated, standard operating procedure is to copy the particular incident onto a cassette tape for the investigator.
	Access Restrictions	KRS 61.878 (1a)
	Contents	The information may vary but usually will have the time, date, name of person calling and subjects covered.
	Retention and Disposition	Retain for sixty (60) days, then erase or re-use..
L4849	Radio Run Cards	This record series is used to document dispatches that come into the agency. These cards will only be used when the computer aided dispatch system (CADS) is not operational. When the system is operational, all data recorded on the cards is entered into CADS. This is done within the next shift. There may be cards to differentiate emergencies from non-emergencies.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series may contain the unit assigned, backup, location, incident, other, complainant, address, phone, disposition, beat, incident code, census tract, received by, dispatcher, received, dispatched, arrived, cleared, out booking, cleared booking, whether a wrecker is needed.
	Retention and Disposition	Retain until entered into CADS, then destroy.
L4850	NCIC/LINK Teletype Message File	This record series is used to document the information received daily through the National Crime Information Center (FBI). This is in the form of messages received by teletype about the criminal behavior of persons. This also involves any information about stolen vehicles. This information is used in the day to day business of the agency and as an investigative tool. Once the information is updated or becomes obsolete it is considered inactive. Messages are stored on a server and backed up daily/monthly. Backup tapes are maintained 2 months.
	Access Restrictions	None
	Contents	This record series may contain, directory information about persons, crimes committed, offenses committed and any messages.
	Retention and Disposition	Retain for two (2) months, then destroy.
L4851	Emergency Business Locator Card	This record series is used to document those persons who are to be contacted after hours in case of a break-in of a business. These are updated regularly.
	Access Restrictions	None
	Contents	This record series may contain the name of business, address, date filed, phone, name of person to notify(at least 2), and remarks.
	Retention and Disposition	Retain until obsolete, then destroy.
L4852	Soliciting List	This record series is used to document those persons that have applied to solicit door to door. This is maintained in the Chief's office and is updated periodically. Used as an investigative tool if there crimes or violations committed by those people.
	Access Restrictions	None
	Contents	This record series may contain the name of solicitor, address, phone, company represented, time and date of solicitation.
	Retention and Disposition	Retain until obsolete, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Administration and Services

Record Group
Number

Series	Records Title and Description	Function and Use
L4853	Record of Arrests (Cards, Book or File) (V)	This record series is used to document the arrest process. These are generated at the Detention Center upon booking and entered into a database. The records are maintained by the date and time of arrest. There is no separation of felony and misdemeanor arrests. The information concerning the felony arrests is subsequently put with the Criminal History Jacket.
	Access Restrictions	None
	Contents	This record series contains the name of the subject, address, ss#, height, weight, race, gender, booking information, charge, offense, date of arrest, arresting officer, place where arrested, time, marital status, mug photo and other information.
	Retention and Disposition	Retain felony file until fifty (50) years after arrest, then destroy.
L4854	Uniform Crime Monthly Report	This record series documents the felony crimes which have occurred in a law enforcement agency's jurisdiction within a month. The data may be submitted to a state Uniform Crime Reporting Program or directly to the National Uniform Crime Reporting Program (F.B.I.). Most of the local law enforcement agencies submit this report to the Kentucky State Police which in turn submits it to the F.B.I.. This data is used to show nationwide trends and statistics for the purpose of comparison and to learn from other agencies. The crimes documented are Part I and include rape, murder, homicide, manslaughter, assault, burglary, auto theft, arson, robbery, larceny and theft. This report is not mandated but each agency is strongly urged to participate. This report is a must if grant funds are to be received by the local agency. This report deals with the nature of crime and the monetary value of property stolen and recovered as well as those officers injured or killed in the line of duty.
	Access Restrictions	None
	Contents	This record series may include the classification of offenses and whether they were unfounded, just attempts, false, baseless, actual offenses, total offenses cleared by arrest or exceptional means, number of clearances involving only persons under 18 years of age. Also included is a report for crimes committed and the monetary value of property stolen and recovered, a report of law enforcement officers killed or assaulted.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4855	Uniform Police Traffic Accident Report (V)	This record series is used to document and report accidents whether one or multi-vehicle. This is a two part form which is uniform throughout the state and is used by all law enforcement agencies. The original is sent to the Kentucky State Police where the data from the form is input into a database. The hard copy is sent on the Department of Transportation(Traffic Section). This form is in the process of being updated to a 1 page form that will be scanned and sent electronically to the KSP. The information will be the same. This is used as a reference and is used in producing accident reports.
	Access Restrictions	None
	Contents	This record series contains the local code, agency id, master file no. investigating agency, killed, injured, state of investigation, date/day/time of accident, trafficway no. or name, town, county, intersection, between street, ram, mile post, speed limit, a section for unit 1 and unit 2 and includes the same information which is: operators lic. No. state, restriction, code, compliance, name of operator, address, owner name and address, motor carrier name and address, vehicle make/year/model, state of registration, insurance co., what happened, diagram of vehicle and the damage inflicted, property damage, owner/address, tests for alcohol and drugs(whether taken), witness information, enforcement action, citation or case #, KRS number, offense, photos taken(yes/no), investigator, I.D. #, beat or post no., time notified, time arrived, scene cleared, reviewed by.
	Retention and Disposition	Retain for three (3) years, then destroy.

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L4856	Uniform Citation File (V)	This record series is used by all peace officers in the commonwealth for all violations of the traffic laws and for all felonies, misdemeanors and violations(KRS 431.450). This form consists of an original document and five copies which are serially numbered in such a manner that the year of issue and the individual citation number may be readily ascertained and is approved by the State Supreme Court. One copy goes to the customer, one to Drivers Licensing, one to Detention, one remains in the law enforcement agency and the original to District Court. It is issued by law enforcement officers and is used as the basis for establishing court appearance dates and to begin the judicial process. The information is used by law enforcement officers when testimony concerning the incident is required. It is also used as one input document for the Criminal History Information System.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series contains the offender/violator section(name of agency, name of subject, alias, address, I.d. number, ss#, date of birth, sex, race, home phone, emergency phone, resident status, marital status, victim's relationship to offender, ethnic origin, height, weight, hair color, eye color, alcohol/drug involvement), vehicle section(make, type, year, color, state registered, year registered, registration no. identifiers, mph, in mph zone), date/time section(violation date, time, exact location of violation/arrest, bo. results, date of arrest, time, miles, direction, city, county of violation), charges section(violation code, statute/ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison, probation time), court section(court date, court time, court location, court case no. disposition date, trial, clerk's initial), post-arrest section(post-arrest complaint) and case section(name of witness, address, case no., carried by contributor, fingerprints taken, photos taken, evidence held, officer's signature, badge/I.d. number, assignment).
	Retention and Disposition	Maintain the current year and previous year and destroy all others.
L4857	Complaint and Offense Report (V)	This record series is used to document the events surrounding the filing of a complaint, where a crime has been committed and to describe the start of an investigation. This actually begins the investigation process and is used extensively while the investigation is in progress.
	Access Restrictions	61.878
	Contents	This record series may contain the complainant name, address, file no. crime report no., a victim section(directory information), an incident section(the type of offense, location of occurrence, week/date/time of occurrence, weather at time of offense, date /time of report), injury section(type of injury whether accidental, assaulted, found dead, self inflicted, removed from, removed by, nature of injuries, status of injured party, if rape, was examination performed), narrative section, whether or not to prosecute, whether a warrant is to be issued, case status, solvability factors, reporting officer, employee no./badge no., approving supervisor, is follow-up needed, a vehicle section, property section, suspects section, uniform crime report section and a supplementary report page if more space is needed.
	Retention and Disposition	Retain for three (3) years, then destroy.
L4858	DUI Case File (V)	This record series is used to document the arrest of persons for D.U.I. and may include the intoxilyzer test results. This report is used as a reference when doing background checks and to verify any D.U.I convictions that may result from this report.
	Access Restrictions	17.150 (2)
	Contents	This record series includes a D.U.I. field report(name of subject, address, sex, race, date of birth, age, day/date/time arrested, arrest location, vehicle year, make, model, color, license, state, expired date, impounded, where left, weather, accident, injuries, description of driving characteristics that caused the officer to suspect a D.U.I violation, distance observed before stop was attempted, road/traffic conditions, field sobriety test given, field test surface, suspect physical description, odor of alcoholic beverages noted, physical appearance, photos taken, rights advised, time, questioning of suspect, witness information, arresting officer, employee #/badge #, date/time report completed and additional narrative information). Also there may be intoxilyzer test results which is usually taken at time of booking.
	Retention and Disposition	Retain for five (5) years, then destroy.

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L4859	Criminal History Jackets(I.D. Jackets) (V) Access Restrictions Contents	This record series is used to document an individuals felony criminal record. At the time of booking a person all directory information is attained and is kept with this jacket. This history gives each crime committed and subsequent actions taken including any corrections activity. This file is very important in the investigation process and is maintained up to date through the cooperation with the F.B.I. And the Kentucky State Police. KRS 17.150 (4) This record series may contain the offender index, adult case summary(history of arrests), fingerprints, photos(mug shots), F.B.I. Information(rap sheet), final disposition sheet, other agency abstracts, correction's information, notice of transfer or parole and alias file.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4860	Criminal History Index File (V) Access Restrictions Contents	This record series is used as a finding aid for the Criminal History Jacket. These records are used extensively for investigations. This may be a card file or an alphabetical listing. KRS 17.150 (4) This record series may contain the name, mug shot, age sex race, date of birth, last known address, arrests, date of arrests, offense, disposition of case, and social security #.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4861	Report of Payroll Hours (V) Access Restrictions Contents	This record series is used to document the hours worked by the employees and is sent to the Dept for Human Resources where the payroll check is issued. This report is of all employees. None This record series contains, the date, payroll period, name, straight hours, ot hrs, vacation balance, sick hrs, holiday balance, holiday hrs., awl hrs, pay adjustments, comp time, and explanations.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4862	Daily Attendance Report (V) Access Restrictions Contents	This record series is used to document the daily attendance of each employee and is used as an input document and has basically the same information as the time card. None This record series contains the daily attendance by name, employ #, the duty, type of absence and notes.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4863	Time Recording Book Access Restrictions Contents	This record series is used to document the time worked for each person by bureau or section. Used as a reference by each unit to fill requests by employees or to double check the time card. Completed monthly. None This record series contains the month ending, year, bureau/section, name of employee, rank, days worked, hours and absences.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

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L4864	Time Cards (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the time worked by employees worked during the pay period and to start the payroll process. These are sent in by each unit and bureau to the payroll office. The time is kept in each bureau. The information is entered into the database and sent to the Dept. of Human Resources. None This record series contains the employee #, phone, name, address, pay period, hours for each day worked, biweekly pay period summary, signature of employee, miles driven, standard time, overtime and comp time. Retain for two (2) years, then destroy after audit.
L4865	Master Time Record Book Closed Date: 12/1/1991 Access Restrictions Contents Retention and Disposition	This record was used to document the pay periods of each employee. This record is no longer being created and was last created in 1991. The information may be found in the Master Earning Record in the Department for Human Resources. None This record contains the name, employee #, directory information, hours worked, type of pay, and pay period. Destroy
L4866	Personnel File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document an individual's employment with the law enforcement agency. It is the master file and the source of their employment history with the city. This file should document all the employment history which is deemed significant in determining job performance. KRS 61.878 (1)(a) This record series may contain the application, date of employment, resignation, exit interview, evaluations, attendance records, resume, disciplinary actions, worker's comp. information, pension reports, copies of social security card, badge number, education information, commendations, copies of immigration forms, education verification, training records, promotions, classification, correspondence and vacation and sick leave reports. Retain until seventy (70) years from date first employed, then destroy.
L4869	Grant Files - Federal and State (V) Access Restrictions Contents Retention and Disposition	This record series is used to document all grants received, applied for, and to collect data for future applications. The information is used to make application for federal and state funds. Also it is used to make requests for reimbursement for overtime pay for extra enforcement. These grants may be through the Justice Department (Federal) and other agencies. This file documents the application process and any reporting that has taken place during the grant period. Also supporting financial documentation is included. None This record series may contain the application, supporting documents, grant contract, program monthly activity reports, program monthly financial reports, program year-end summary report. Retain until five (5) years after submission of final report, then destroy.

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L4870	Motor Vehicle Impoundment Record	This record series is used to document any towing of a vehicle done at the request of a law enforcement officer. Usually after a period of time (30-60 days) notice will be sent to the owner and if not picked-up it will be salvaged. These autos may be impounded because they have been involved in an accident, been stolen, burned, result of a traffic/parking violation or stolen.
	Access Restrictions	None
	Contents	This record series contains a vehicle inventory, description, condition, officer impounding vehicle, badge #, wrecker driver, date/time impounded, a release(includes name address, released by, date/time, report no., received by, date/time, vehicle description, license #, make model, color, vin., towed from, towed to, vehicle owner, address, driver or person last in possession, address, phone, condition(running, wrecked, burned, stripped, not running), if stolen, reason for impounding, reasons for holding, reasons for releasing.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4871	Vehicle Maintenance File	This record has primarily administrative and legal value. In agencies where they buy the vehicles, this record is kept to document the expenses of purchasing, servicing, and maintaining its vehicles. This information is logged monthly from information kept by the officer. This record is used in planning his budget. This record series may be kept for the life of the vehicle and is also used to verify the condition of the vehicle in case of claims brought against the agency or employee. This file establishes the history of the vehicle and includes any accidents causing damage and the repair costs for those.
	Access Restrictions	None
	Contents	Information in this file includes: unit number and/or vehicle identification number, month and year reported, miles driven that month, gas cost for the month, number of gallons of gas purchased that month, miles per gallon, parts and repairs for the month and totals of these months for the year. The payment of any bills will be maintained in the Accounts Payable file.
	Retention and Disposition	Retain until five (5) years after the vehicle is no longer in service, then destroy..
L5753	Video/Audio Recordings (Patrol Cars) Change Date: 9/12/2002	CLOSED SERIES. No longer created.
	Access Restrictions	These records are used to document the pursuit, the traffic stop, field sobriety tests administered at the scene or such tests at a police station, jail, or suitable facility. The recordings are done for all traffic stops. The traffic stops and pursuits may be for criminal activity, traffic violations, DUI violations and any other reasons for the stopping of a vehicle. A tape may last a week or more for each officer.
	Access Restrictions	KRS 189A.100(2)(e) Confidential information. Agency should consult legal counsel regarding open records matters.
	Contents	These records contain the name of the officer, date, time and the action taken at the scene.
	Retention and Disposition	Retain all recorded DUI related incidents 14 months if there is no appeal or if it does not document the actual happening of an accident involving a motor vehicle or after a decision has been made not to prosecute. Destroy upon order from District Court. If the actual happening of an accident is recorded, retain 26 months if there is no appeal. Destroy upon order from District Court. Retain all other recordings for 30 days, then destroy or reuse.
L5754	Video/Audio Recording Log Change Date: 9/12/2002	CLOSED SERIES. Form no longer created.
	Access Restrictions	This log is used to document the video/audio recordings of every traffic stop that is completed by patrol officers. It is used to track the video and as a quick reference. Also used in the disposal of the tapes when the retention period has been completed.
	Access Restrictions	Agency should consult legal counsel regarding open records matters.
	Contents	This record series contains the tape number, date from, date to, actual date, time, incident number, violator's name, citation number, charges.
	Retention and Disposition	Retain until recordings are destroyed, then destroy.

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L6295	<p>Peace Officers Professional Standards (POPS) Background Check Change Date: 12/10/2009</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to documents and verifies that a person applying for employment by the police department has gone through a series of background checks. The Peace Officer Professional Standards (POPS) dictate what the minimum standard is for becoming a peace officer in Kentucky. Those applying must meet 16 pre-employment requirements before they can be considered for employment. These standards are issued the Kentucky Department of Criminal Justice Training, Kentucky Law Enforcement Council.</p> <p>KRS 15.400 (3) KRS 61.878 (1) a</p> <p>This record series contains drivers license check, criminal record check, polygraph results, references, applications, transcripts, military history, credit reports, birth certificates and neighborhood checks.</p> <p>If hired, retain until sixty (60) years from first date of hire. If not hired, for those who have taken a polygraph, retain until twenty (20) years after denial and close of any litigation, then destroy. If not hired, for those who have not taken a polygraph, retain until five (5) years after denial and close of any litigation, then destroy.</p>
L6391	<p>NCIC Criminal History Requests</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document requests received for criminal histories that are a part of the NCIC information network. This information is used to match the information from the NCIC with the corresponding investigative history case file.</p> <p>KRS 61.878 (1)(a)</p> <p>This record series may contain the name, date of birth, sex, race, ss#, purpose of inquiry, requesting officer, employee #, clerk receiving request and date submitted.</p> <p>Retain for three (3) years, then destroy.</p>
L6392	<p>NCIC Entry/Cancelled Packet</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document entries into and subsequent removal or cancellation of the entry from the NCIC information network.</p> <p>KRS 61.878 (1)(a)</p> <p>This record series may contain the investigating officer's complaint and offense report, initial entry message and cancellation message.</p> <p>Retain for one (1) year, then destroy.</p>
L6912	<p>Body-Worn Camera Recordings (Audio/Video)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series documents by body-worn audio/video, incidents and happenings that occur while a person is acting in his/her capacity as a law enforcement officer. Footage produced by body-worn cameras may be used as evidence in civil or criminal investigations, reviewed administratively for officer compliance with department policies, used as a tool in law enforcement training, or utilized as a reference in incident documentation, to improve evidence collection, to strengthen officer performance and accountability, to enhance agency transparency, to document encounters between police and the public, and to investigate and resolve complaints and officer involved.</p> <p>This record series may contain: Time, date, statement by officer and others (witness etc.), video of scene, audio of involved persons, and other incidental recordings.</p> <p>Retain all recordings of DUI-related incidents for fourteen (14) months if there is no appeal or if they do not document the actual happening of an accident involving a motor vehicle or after a decision has been made not to prosecute. Destroy upon order from District Court. If the actual happening of an accident is recorded, retain twenty-six (26) months if there is no appeal. Destroy upon order from District Court. Retain non-evidentiary recordings for thirty (30) days, then destroy. Evidentiary recordings used in any investigation, pending investigation, litigation or open records requests must be kept until all investigative or legal activity is completed. Then destroy the original and all copies of the recording.</p>

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L4872	Drug and Alcohol Related Education (D.A.R.E.) Program Participation Files	This record series is used to document participation in the DARE program by the law enforcement agency and students/schools. This is implemented in the schools by the local law enforcement agency throughout the state. This is conducted for the purpose of making young people aware of the dangers of drugs(tobacco, alcohol, marijuana, inhalants and all others). This program is voluntary and each student must sign up for this. The programs are presented by local law enforcement agency personnel at different times during the school year. A census form must be completed by the DARE officer and sent the Kentucky State Police DARE Unit. This is statistical information with no student I.D. information although there is a listing of the principal and classroom teachers. Each local law enforcement DARE officer must fill one of these out after each session.
	Access Restrictions	None
	Contents	This record series may contain the parent letter(to be signed by the parent/guardian giving permission to participate in the program, census form)detailed each DARE session, including the names of principals and classroom teachers, when and where the session took place, directory information and the signatures of the school principal and D.A.R.E. officer) and participants evaluations of the session. This file may also include a yearly report of all sessions held.
	Retention and Disposition	Retain the parent permission letter until student (class) graduates, then destroy. Retain all other documents for two (2) years, then destroy.
L4873	Crime Prevention Program File	This record series is used to document programs conducted by law enforcement agencies for the purpose of making the public aware of the agency's role in the community and to bring about better cooperation and communication. These are programs are designed and conducted by the local law enforcement agency. All of them are geared toward more public involvement in crime prevention and a better understanding of the role of law enforcement agencies in the community. These may be programs focused on neighborhoods, special groups or the whole community. There may be a program where the public sector is invited to participate in the actual law enforcement process and trained to conduct, along with law enforcement personnel, workshops, seminars and meetings for the purpose of crime prevention.
	Access Restrictions	None
	Contents	This record series may contain the program and meeting report, quarterly report of neighborhood meetings or safety watch meetings, citizen surveys, business security surveys, and Cetch program files, program guidelines, goals, participation information, dates and time of presentations, listing of those in attendance, where the program was held, program personnel and evaluations. A yearly statistical report of results may also be maintained.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4874	Citizen Police Academy Program File	This record series is used to document this education program whereby citizens are allowed to have hands on experience in the workings of the police department. This is an eight week course whereby the citizen is able to go on patrol and make calls. Training is also provided and a certificate is given at the end of the 8 weeks.
	Access Restrictions	None
	Contents	This record series contains the application by citizens, waiver to ride with officer on patrol, criminal history check authorization and related information about the program.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4875	Police Activities League (PAL) Monthly Report Summary	This record series documents the activities of the PAL program for the month. The program provides activities for economically deprived youth and includes athletics, tutoring and other activities. There are three locations in the housing projects. This report summarizes the activities at each location.
	Access Restrictions	None
	Contents	This record series contains the monthly summary, officer name, day of month, programs and participants.
	Retention and Disposition	Retain for five (5) years, then destroy.

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L4876	Crime Free Multi - Housing Program File	This record series is used to document the education program for crime free multi-housing. This is a program whereby police officers present seminars at locations throughout the city for the purpose of informing the public on crime prevention and is designed to help residents, owners and the managers of rental property keep drugs and other illegal activity off their property. The program consists of prevention and applicant screening, drug nuisance abatement, and provides resource material.
	Access Restrictions	None
	Contents	This record series contains the application for volunteer participation, release form, waiver of right to carry firearm, authority to release information form and informational material.
	Retention and Disposition	Retain until two (2) years after program's termination, then destroy.
L4877	Security Surveys (Business & Home)	This record series is used to document inspections of homes/businesses and consultations with homeowners and business owners concerning the security of those facilities. These are conducted usually by request of the owners and may result in better security. The law enforcement agency may give recommendations which the owners may act on.
	Access Restrictions	None
	Contents	This record series may contain the name of the homeowner/business owner, address, time/date of survey, inspection documentation and recommendations.
	Retention and Disposition	Retain until obsolete or superseded, then destroy.
L4878	Deposit of Funds Collected	This record series is used to document the deposit of Cetch funds with the Division of Revenue. This is in memo form.
	Access Restrictions	None
	Contents	This record contains the name of person sending, name of person receiving, date, amount of each check and cash and the total deposit.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4879	Extra Patrol Request	This record is used to document citizens complaints for more patrols in an area for one reason or another. These are forwarded to the Bureau of Patrol.
	Access Restrictions	None
	Contents	This record series contains the date, complainant, address, phone, person completing the form, comments, location, complaint, times, suspects, assignment, follow-up contact, date officer assigned, times checked, comments and observations.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4880	Trigger Lock Program File	This record series is used to document those persons participating in the Trigger Lock Program. A citizen may fill out a form to receive a free trigger lock. A release must be signed by the recipient saying that he/she alone is responsible for the firearm and the locking of it.
	Access Restrictions	None
	Contents	This record series contains the general release and firearms safety guidelines.
	Retention and Disposition	Retain permanently.

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L4885	Felony Investigation Case File (Non-Homicide) (V)	This record series is used to document all investigative procedures followed when a felony has been committed. These include robbery, rape, assaults, wanton endangerment, burglary, larceny, arson, auto theft, and all other felonies. This is a compilation of all material gathered in a felony investigation. All cases are considered open while actively being investigated. At some point in time they will become suspended which are those cases which have been cleared by arrest or the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court (found guilty or dismissed) or the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by Communications Assistance for Law Enforcement Act (CALEA), these files must be transferred to the Records Division/Records Center.
	Access Restrictions	KRS 17.150 (2) Confidential information. Agency should consult legal counsel regarding open records matters.
	Contents	This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroner's report, autopsy report, cassette tape log and recording transcripts, victim information, victim statement and transcript, witness list/information/statements, suspect information, suspect statement and transcript, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighborhood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas, and citations.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4886	Investigations other than Felonies File	This record series is used to document all information collected and procedures followed after an incident/offense report has been filed relating to a case other than a felony. These may be misdemeanors, citations given or violations. An arrest is not always made when a violation has occurred. This file is used in the resolution of the case. These are active, inactive, closed, open and suspended investigative files.
	Access Restrictions	KRS 17.150 (2) Confidential information. Agency should consult legal counsel regarding open records matters.
	Contents	This record series may contain a copy of the uniform offense report, uniform citation report, the investigative report, evidence, photos of crime scenes, photos of suspects, interview transcripts, transcripts of statements from victims/witnesses/suspects, transcripts of audio and video tapes, arrest warrants, fingerprints, lab information, criminal history information, correspondence, subpoenas, citations, pleas, sentences, and prosecution data.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4887	Fingerprint File	This record series is used to document the fingerprints of those persons arrested. These fingerprints have been taken by the law enforcement agency in the past but now are included with all other data by the jail at the time of booking. These are used to identify suspects, missing persons and other persons who need this type of identification for their job or security clearance. These files are also in the custody of the F.B.I and the Ky. State Police although there may be discrepancies. These are used extensively in the investigative process and for identification.
	Access Restrictions	17.150 (2)(4)
	Contents	This record series may contain the name, social security #, age, date of birth, sex, race, height, weight, eyes, hair, alias, marital status, employer, occupation, booking officer, arresting officer, transporting officer, agency, authority for arrest, arrest time, booking date, booking time, location of arrest, cell location, property #, security classification, I.d. number, complaining witness, fingerprints(all fingers), date of arrest, copies sent, date of offense, place of birth, scars, marks, tattoos, country of citizenship, residence, charge/citation, disposition, additional information and mug shot.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4888	Fingerprint Card File	This record series documents the fingerprints of persons arrested and is compiled by the arresting officer. Copies are sent to the F.B.I. and the K.S.P. for classification and assignment of criminal history numbers. This file has been maintained for cases that were either dismissed or taken over by another law enforcement agency.
	Access Restrictions	KRS 17.150 (2)(4)
	Contents	This record series may contain the name of subject, address, booking information, arrest information, SS#, all fingerprints and mug shot. This file will also have all the information included on the Fingerprint File.
	Retention and Disposition	Retain until five (5) years after last entry, then destroy.

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L4889	Crime Scene Photograph File	This record series is used to document the crime scene through the use of photographs. These are taken at the sight where a felony or misdemeanor has been committed. This is usually done at the very beginning of the investigation. These photos may be included in the investigation file as well.
	Access Restrictions	KRS 17.150 (2) and KRS 61.878 (h)
	Contents	This file includes the negative, photo investigation #, number of the negative, case #, date, name of photographer.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L4890	Latent Prints File (V)	This record series is used to document the fingerprints found at a crime scene, the fingerprints in missing person's cases and is also used to identify persons(living or dead). Latent prints in a criminal investigation may be placed in the investigation file or maintained separately.
	Access Restrictions	KRS 17.150 (2)
	Contents	This record series contains the fingerprint investigation #, photo investigation #, date, collection person, locations/date/time and the prints.
	Retention and Disposition	Retain until five (5) years after close of case, then destroy.
L4891	Identification Card File	This record series is used to document fingerprinting data and to find criminal histories. This is a finding aid and is used as a quick reference. The information for this record is taken from the arrest record.
	Access Restrictions	KRS 17.150 (2) and KRS 61.878 (h)
	Contents	This record series may contain the name of suspect, current age, date of birth, department #, alias, fingerprint documentation, classification.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4892	Property/Evidence Record File (V)	This record series is a complete inventory of property and evidence seized during the investigation of case, whether a misdemeanor or felony. This is a system of keeping track of the property and evidence and the disposition of that property and evidence. The disposition of the property and evidence may be by destruction, auction, forfeiture or returned to the owner. Also it may become an exhibit in a court case where upon it will remain with the case file. The manual keeping of this record series is being done less and less by law enforcement agencies and is being replaced by electronic record keeping. Matter of fact bar coding is being used in the larger agencies to keep track of the property.
	Access Restrictions	None
	Contents	This record series may contain the property record #, suspect name, address, source of property, date of entry, date of release, released by, property description and arresting officer. Also it may contain the case #, offense, case officer, badge #, booking officer, badge #, owner/victim name and address, location found, found by, and bar coding for each item.
	Retention and Disposition	Retain until three (3) years after final disposition of the property/evidence, then destroy.
L4893	Mug Photographs(Shots) File	This record series is used to document the image of those persons arrested for offenses. This is now done at the time of booking at the jail. This is done digitally and stored on electronic media. This information is maintained by the Division of Detention. This record series is maintained with the criminal history jacket in the police department. The older files may be maintained differently and may stand alone without all the fingerprint information.
	Access Restrictions	KRS 17.150 (2)(4)
	Contents	This record series may contain the name, address, alias, social security #, age, date of birth, sex, race, height, weight, gender, hair, eyes, marital status, employer, place of birth, booking information, arrest date, arrest time, location of arrest, offenses, case numbers, disposition and other information.
	Retention and Disposition	Retain for fifty (50) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Investigation

Record Group
Number

Series	Records Title and Description	Function and Use
L4894	Alcoholic Beverage Control (ABC) Investigation File Access Restrictions Contents	This record series is used to document investigations of businesses which sell alcoholic beverages. These investigations are usually started as a result of information received from outside sources. Also there are spot checks of businesses to make sure there is compliance. None This record series may contain the date, time, location of premises, owner/manager, type of offense, dispatched or routine check, disposition of investigation(arrest, citation, warning, or other), persons arrested(name, age, sex, address), witnesses(name address, phone no.), number of any complaint filed in reference to this case, condition of premises and remarks, officer's signature and badge #.
	Retention and Disposition	Retain until five (5) years after going out of business, then destroy.
L4895	Juvenile Investigation Case Files (V) Access Restrictions Contents	This record series is used to document all the information collected during an investigation of a juvenile arrest. These investigations may either be for felony or misdemeanor violations. The information collected in a juvenile case is basically the same as any other investigative file and like other files may be used in court cases. KRS 610.320 (3) This record series may contain the case number, victim name and address, location of offense, assigned investigators, date occurred, assignment log, complaint report, arrest report/citation/violation, witness information, suspect information, suspect statements, investigative notes, officer's field notes, evidence reports, lab results, photos, diagrams, search warrants, vehicle information, correspondence, fingerprints, booking information and other related documents.
	Retention and Disposition	Retain until subject becomes twenty-three years of age, then destroy.
L4896	Juvenile Arrest File/Juvenile Arrest Form (V) Access Restrictions Contents	This record series is used to initiate an investigation of a juvenile. It documents the juvenile involved and information concerning the crime. This is a summary of the initial investigation and is put into the case file. This information may be compiled as a paper document only but the information contained in the paper document may be input electronically and maintained in that medium. KRS 610.320 This record series contains the juvenile's name, alias, place of birth, sex, national origin, social security #, date of birth, residence address, father's name, father's address, father's phone, mother's name, mother's address, mother's phone, school and/or occupation, school grade, employer, address, date of custody, time of custody, location of custody, beat, KRS, is it a misdemeanor or felony, specific charges, drugs involved, type of drugs, weight/dose units of drugs, came of complainant, address, time of offense, investigating officer, employee/badge #, assignment, assisting officer, employee/badge #, assignment, a narrative section, officer making report, parents notification, time.
	Retention and Disposition	Retain until subject becomes twenty-three years of age, then destroy.
L4897	Juvenile Order to take into Custody File Access Restrictions Contents	Since January 1, 1988, the deputy sheriff receives these records from the court designated worker for juvenile cases. They are sent here to have the order served on the juvenile defendant. The deputy calls the court designated worker for juvenile cases only and returns the served order to her. Many of these defendants are habitual run-always. After one year any of these records which have not been served will be returned to the court designated worker. KRS 610.320 (3) Juvenile Emergency Custody Order (AOC-JV-22). Order to take a juvenile into Custody (AOC-JV-32). Juvenile Complaint or Petition (AOC-JV-1).
	Retention and Disposition	Retain for one (1) year, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Investigation

Record Group
Number

Series	Records Title and Description	Function and Use
L4898	Child Abuse, Adult Abuse and Domestic Abuse Case File (V)	This record series is used to document all domestic violence/abuse and cases of adult/child abuse, neglect, or exploitation. These include physical abuse and neglect, sexual abuse/exploitation (child), self neglect, neglect by caretaker, exploitation (adult) and sexual offenses (spouse). This investigation is initiated by completing a standard report form which is issued by the Department for Social Services. This form is to be completed in all cases of known or suspected domestic violence and abuse, adult/child abuse, neglect, or exploitation. The law enforcement agency shall immediately forward (within 48 hours) a copy of this report to the local office of the Department for Social Services. Other documentation may be in this file for the purposes of identification and investigation.
	Access Restrictions	Agency should consult legal counsel regarding open records matters.
	Contents	This record series contains the Child Abuse, Adult Abuse, and Domestic Abuse Standard Report (Department for Social Services); form DSS-115 (Confidential Suspected Abuse/Neglect, Dependency or Exploitation Reporting Form completed for Department for Social Services), Crimes Against Children Risk Report (in-house investigative tool), National Incident Based Reporting System (NIBRS) Report, fingerprints, photos, witness information, lab information, evidence information; and officer's notes and field reports.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L4899	Domestic Violence Log (V)	To summarize the service (delivery) of a domestic violence summons, domestic violence order or a domestic violence emergency protective order by the law enforcement agency with jurisdiction in the locale of the petitioner. Provides reference at a glance to police department that the above named documents have been delivered, when they are effective and when they expire. Basically an administrative control document for the law enforcement agency and its communication center. Used in carrying out the requirements of KRS Chapter 403 relating to domestic violence.
	Access Restrictions	None
	Contents	Name of respondent, type of document serviced (summons or order), when order issued, effective date, expiration date.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4900	Domestic Violence Protective Orders File (V)	To document the service (delivery) of a domestic violence protective order, domestic violence emergency protective order or domestic violence summons by the law enforcement agency with jurisdiction in the locale of the residence of the petitioner. KRS Chapter 403 provides the mode of relief in the cases of domestic violence. A domestic violence petition is filed with the court, a summons is then issued for appearance in court, the court makes a determination on the petition either for or against the respondent. If against the respondent a domestic violence order is issued outlining the mode of relief or in the case of an immediate or present danger an emergency protective order is issued.
	Access Restrictions	None
	Contents	May include Domestic Violence Petition (AOC 275.1); Domestic Violence Summons (AOC 275); Domestic Violence Emergency Protective Order (AOC 275.2) and a Domestic Violence Order (AOC 275.3) all of which contain a case number, court, county, names and addresses of petitioners and respondents, description of the domestic violence, date and location of court appearance, proof service, signature line, content of order, judge's signature, date.
	Retention and Disposition	Retain until thirty (30) days after expiration of order, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Investigation

Record Group
Number

Series	Records Title and Description	Function and Use
L4901	Missing Person Report (V)	This record series is used to document those persons believed to be missing. These persons are both juvenile and adult. The juvenile information is transmitted to the Kentucky Missing Child Information Center when it has been determined the juvenile is actually missing. This Center was set up by KRS 17.450 to serve as a clearinghouse for information about Kentucky children believed to be missing and children from the states believed to be missing in Kentucky. The information concerning and adult who is missing is collected through the same process and on the same report. This record series is a collection and reporting document. This report form is used mostly to identify juveniles who have either runaway from home.
	Access Restrictions	KRS 610.320 (3)/KRS 61.878 (1)(h)
	Contents	This record series contains whether the report is for a missing adult or a missing juvenile. Also included on the report are the following: name of agency, case #, date missing(or body found)(month, day, and year), time missing, date reported, name of missing person, alias, photo attached, address(or location body found), race, sex, hair color, hair length, facial hair, build, eye color, height, weight, date of birth, age, complexion, teeth, scars or birthmarks, tattoos or deformities, artificial parts(eyeglasses, dentures, prosthesis etc.), clothing last seen wearing, additional, jewelry, social security no., operators license no., fingerprint classification, date and time last seen, location last seen, probable destination, in company with, present mental state, dental records available, doctor/hospital records available, medication required, blood type, military service, vehicle involved, vehicle registration plate, next of kin, hobbies, type places/hangouts, other comments. There is a juvenile only section with Authorization for Release of Information by parent/legal guardian signed by the parent/legal guardian.
	Retention and Disposition	Retain until close of case, then destroy, or transfer to felony investigation file.
L4902	Taxi License Application File	This record series is used to document the application for a permit to drive a taxi. This is used for a background check and must be done for all applicants. Obviously, some law enforcement agencies may not maintain this.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series may contain the application, photos of the subject, copy of the permit, criminal history, driving record, authority to release information, receipt of permit, occupational license receipt, medical examination certificate, and copy of operators license.
	Retention and Disposition	Retain until three (3) years after termination of employment, then destroy.
L4903	Pawn Shop Ticket(Slip) File	This record series is used to document those items that have been pawned at a licensed dealer. It is used as an investigative tool to track stolen property and to do investigative work concerning those persons pawning possible stolen property.
	Access Restrictions	None
	Contents	This record series may contain the name of the business, name of person pawning the item, address, article pawned and amount of money involved along with the date and time.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4904	Report of Information (Narcotics/Vice) (V)	This record series is used to start an investigation into possible narcotic or vice violations. The information received may be from informants, tips and other citizens reporting incidents of narcotic traffic or use and vice operations. This form is completed and the information is input into a database.
	Access Restrictions	KRS 17.150 (2)
	Contents	This record series may contain the name of the officer, date , type, source, method received, information use, type of drug, vice type, drug specialty, location, vehicle used, associate type, name, address, sex , race, age, dob, ssn, phone/beeper and details.
	Retention and Disposition	Retain until investigation is stopped, then destroy, or place with appropriate case file if further investigation is warranted.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Investigation

Record Group
Number

Series	Records Title and Description	Function and Use
L5832	Crime Stoppers Informant File Change Date: 3/9/2006	This record is used to document that an informant has given information concerning a possible crime being committed. This is done through the Crime Stoppers organization and the person is compensated if an arrest is made. This tool is used by the police to investigate crime.
	Access Restrictions	KRS 17.150 (2)
	Contents	This record series may contain code no., offense, location of offense, suspect, address, ht/wt, sex/race, date, time, date occurred, vehicle, informant information and is the person willing to talk directly to police, property/narcotics recovered, officer assigned, result of investigations.
	Retention and Disposition	Retain for four (4) years, then destroy.
L5845	Felony Investigation Case File (Homicide) (V)	This record series is used to document all investigative procedures followed when a homicide is involved. This is a compilation of all material gathered in a homicide investigation. All cases are considered open while actively being investigated. Under some circumstances these may remain open forever while others may not be actively pursued. At some point in time they will become suspended which are those cases which have been cleared by arrest; the suspect is known but for some reason prosecution is denied or case is unfounded. They become a closed file when there has been resolution by the court(found guilty, dismissed) ; the suspect is known but for some reason prosecution is denied or the case is unfounded. Where law enforcement agencies are accredited by Commission on Accreditation for Law Enforcement Agencies (CALEA) these files must be transferred to the Records Division/Records Center.
	Access Restrictions	KRS 17.150 (2) & KRS 61.878 (h)
	Contents	This record series may contain the assignment log, complaint report, arrest report/citation, case synopsis report, coroner's report, autopsy report, cassette tape log, victim information, victim statement, witness list/information/statements, suspect information, suspect statements, investigative notes, field notes, evidence log/reports, lab requests/results, photos, diagrams, search warrants, vehicle information, photo line-ups, neighbor hood investigation, correspondence, police bulletins, news releases, lead sheet reports, criminal history data, subpoenas and citations.
	Retention and Disposition	Retain permanently.
L6259	Polygraph Examination File (Pre-Employment)	This record series is used to document the administration of a polygraph test to applicants for positions in the Lexington/Fayette Urban County Police Department, both officers and civilians. In addition, tests are administered to individuals seeking employment with the Fire Department and Family Services.
	Access Restrictions	KRS 15.400(3) Confidentiality applies only to peace officers.
	Contents	This record series may contain the application, personal directory information, evaluation questions, medical statements, consents, polygraph questions and screening report.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6260	Polygraph Criminal Examination File	This record series is used to document the procedures used in conducting a polygraph test of a person during a criminal investigation. This file is used to document information concerning the subject of the examination and reasons for the test. The information gathered and documented in this file is used to assist the Polygraph Examiner understand the case and formulate questions for the subject. This file may be used in the future for repeat offenders or in cold case investigations.
	Access Restrictions	None
	Contents	This record series may contain personal directory information about the testee, the criminal/miranda consent form, medical assessment information, police reports, interviews, narratives and notes. A completed polygraph test report will be in this file as well.
	Retention and Disposition	Retain murder investigations permanently. Retain other felony investigations for fifty (50) years, then destroy. Retain misdemeanor investigations for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Investigation

Record Group
Number

Series	Records Title and Description	Function and Use
L6654	Undercover Expense Record File	This record series is used to document and monitor the use of Division of Police funds expended during undercover criminal investigations that may include purchase of evidence, purchase of information and purchase of services. This record series is a report form used to document information gathered, concerning narcotics or vice violations and is used to start an investigation if warranted. The information is collected through tips, informants, citizens and law enforcement officers.
	Access Restrictions	KRS 17.150 (2) and 61.878 1 (h)
	Contents	This record series may contain the Undercover Expense and Account Form which includes, but not limited to the date, amount requested, purpose of expenditure, requesting officer signature, issuing supervisor signature, case number, itemized expenditures, receipts, amount returned and other related information.
	Retention and Disposition	Retain until five (5) years after closure of account, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Bureau of Traffic

Record Group
Number

Series	Records Title and Description	Function and Use
L4881	Traffic Serious Injury Case(Collision) File (V)	This record series is used to document those accidents involving autos where there is serious injury. Usually this becomes a criminal investigation. The result of these collisions may be criminal charges or may result in a civil case being pursued by one of the parties. This file is used in conducting traffic safety surveys also.
	Access Restrictions	None
	Contents	This record series may contain a copy of the accident report/collision report, witness statements, field investigative notes, audio/video material, photos and drawings.
	Retention and Disposition	Retain until five (5) years after close of the case file, then destroy.
L4882	Traffic Fatality Case File (V)	This record series is used to document those traffic accidents resulting in a death. This file is maintained because of possible criminal charges being brought against those involved and also the possibility of a civil law suit. This file in particular is used in traffic research and resulting trends.
	Access Restrictions	None
	Contents	This record may contain the Uniform Police Accident Report, witness statements, field investigative notes, audio/video material, photographs and drawings.
	Retention and Disposition	Retain until ten (10) years after close of case file, then destroy.
L4883	Traffic Property Damage Hit and Run File (V)	This record series is used to document those traffic accidents that are hit and run where there is property damage. This is used for criminal investigation and provides support for legal proceedings(civil and criminal). It is also used in the year end statistics which in turn justifies activities.
	Access Restrictions	None
	Contents	This record series may contain the Uniform Police Accident Report, witness information, copy of citation, photos, supplement to accident report and resolution of the case.
	Retention and Disposition	Retain for three (3) years, then destroy.
L4884	Citizen Complaint File - Traffic	This record series is used to document complaints to police by citizens to request action be taken about a traffic hazard. Essentially this is a request for extra assistance and may result in extra patrols.
	Access Restrictions	None
	Contents	This record series may contain a copy of the complaint, response to citizens , officers activity relating to it, citizen comments, and extra patrol form. Pertinent information concerning the location, reason/problem, complainant name, formal, informal, officer assigned, due date, enforcement results, date/time and officer's comments.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Chief of Police

Record Group
Number

Series	Records Title and Description	Function and Use
L4831	Department Policies and Procedures (V)	This record series is used to document the structure of the department and how all units within the department are to carry out their responsibilities. This includes the personnel and what each unit is responsible for and how the process is to be completed. These policies and procedures may change due to state and federal guidelines, regulations or law and because of local regulations or laws.
	Access Restrictions	None
	Contents	This record series contains the administrative layout of the department, what each unit is responsible for and the steps to be taken to carry out their responsibilities. Personnel guidelines are included.
	Retention and Disposition	Retain one (1) copy permanently.
L4832	Annual Report	This record series is used to document what the law enforcement agency accomplished in the past year. This is basically a statistical report of what each bureau/unit/section of the agency did in that year. Usually there is an organizational chart, listing of staff, narrative & statistical information for each bureau/unit/section and personnel changes. The statistical information is taken from the monthly activity reports of the following areas: agency head(chief usually), administration and services, patrol, community services, traffic, investigations, traffic and personnel. This series is used by the governing body in appraising the efforts of the agency and as a comparison from year to year. Also this report is used as a public relations instrument to communicate the yearly accomplishments of the agency; what areas are of concern to the agency and what the agency is prepared to do to improve on those areas.
	Access Restrictions	None
	Contents	This record series may contain a message from the agency head(chief), organizational chart, staff listing, a section for each bureau/unit/section containing statistical information and narrative about each. Also there may be comparison charts and graphs for crime and traffic. There may be section for personnel changes and promotions.
	Retention and Disposition	Retain one (1) copy permanently.
L4833	Orders (General, Special and Training Bulletin) (V)	This record series documents the policies and procedures of the law enforcement agency. It is an internal document used in the administration and operation of the agency and includes all areas. These come from the head (chief) of the agency as needed. They are issued by the chief after consultation with the staff. The orders may be general, special or training bulletins. A general order applies to everyone in the agency. A special order applies to a specific area or subject. A training bulletin is issued for any changes in the training procedures. Orders are issued to comply with the Commission on Accreditation for Law Enforcement Agencies (CALEA) and the Kentucky Association of Chiefs of Police (KACP). There are only 5 law enforcement agencies in the state accredited by CALEA.
	Access Restrictions	None
	Contents	This record series may contain: Date of issue, page # and number of pages, order #, subject, order numbers rescinded, CALEA standards, KACP standards, signature of authority (chief usually), purpose, policy and procedures.
	Retention and Disposition	Retain one (1) copy permanently.
L4834	Official Correspondence	This record series documents the policy, historical and legal functions, activities, events and programs of the local agency. Primarily this correspondence may explain or define the operations or policy of the agency and may take the form of letters, memos, surveys and other communication between the head of the agency and others. This record series may form the basis for policy formulation, the decisions made and the effect on the public.
	Access Restrictions	None
	Contents	This record series may contain letters, memos, note, electronic mail and other forms of communication.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Common Records

Record Group
Number

Series	Records Title and Description	Function and Use
L4910	Officer's Daily Activity Report	This record series is used to document the activities of an individual officer and is reported to that officer's supervisor. This information is collected and some of it becomes a part of the monthly and annual reports. Used as a reference when trying to determine what exactly happened on a certain date by an officer. This could be for internal affairs, liability issues or personnel/payroll purposes.
	Access Restrictions	None
	Contents	This record series contains the date, day, officer, shift, weather, hrs worked, to hours, vacation hrs, other, car #, mileage, time, location, activity, deposition, citation #, case #, offense.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4911	Monthly Activity Reports	This record series is used to document activity within each bureau, unit or section of the law enforcement agency. This is compiled from the daily activity reports and is a statistical report and is subsequently used in the preparation of the annual report. The information is used to formulate new strategies for the agency such as how to use their personnel in a more efficient way. The reports are also used to monitor progress toward goals and objectives and to monitor and instruct individual officer's activities.
	Access Restrictions	None
	Contents	This series contains the number of felony and misdemeanor arrests, active investigations, traffic citations issued, standing violations issued, warrants served, juvenile arrests, drug arrests, dui arrests, arrests where firearm encountered, firearms booked as evidence, total dispatches, 911 calls, off-duty responses, part I crimes assigned, part I crimes cleared, overall clearance rate, assets awarded by court, use of force reports, formal and informal complaints, community service programs, number of employees(by classification) by month, actual part I crimes, total fatalities, total of all citations issued.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4912	Fiscal Request	This record series is used by all Bureaus to request a purchase order, price contract voucher, budget amendment, overtime reimbursement, overtime adjustment, travel advance, deposit, petty cash or other reimbursement and physical exam reimbursement. Sent to the fiscal office.
	Access Restrictions	None
	Contents	This record series contains the date of issue, effective date, number, to, from, subject, division #, sub-account #, unit #, amount, type of fiscal request, vendor and address, item description, quantity, unit price, total and approved by.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4913	Orders	These are the duplicates of the orders issued by the Chief. These are found throughout the department and are no longer needed when superseded.
	Access Restrictions	None
	Contents	This record series contains the same as the orders in the Chief's office.
	Retention and Disposition	Retain until superseded or rescinded, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Fiscal Office

Record Group
Number

Series	Records Title and Description	Function and Use
L4844	Overtime Reports	This record series is used to document the amount of money each unit paid in overtime for each pay period. This is a reference tool for the Chief to track the amount spent on overtime and make sure the amount used is not excessive.
	Access Restrictions	None
	Contents	This record series contains fiscal year, pay period, date, account#, vendor, description, amount, current balance.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4845	Purchase Order (duplicate)	This record series is used to document purchases requested by the police department. This goes through the Division of Accounting where the original is part of the accounts payable file. This copy is used as a reference and to make sure the purchase is received.
	Access Restrictions	None
	Contents	This record series contains the copies of the purchase order, invoices and receiving information.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L4846	Asset Forfeitures Monthly Report File	This record series is used to document cash which has been confiscated by the law enforcement agency as a result of arrest process. This is usually as a result of arrests that have been made for violations of the drug laws. In some instances the federal authorities are involved. The local agency will get half of the cash from federal cases and all from local agency arrests. This information is shared with the Kentucky Crime Commission. The Commonwealth Attorney's office shares in the cash if it is a state arrest. Most of the time this is cash but there are auctions of property seized and this money is handled in the same way.
	Access Restrictions	None
	Contents	This record series may contain the order of forfeiture, court order record, order of confiscation, cover letter to Kentucky Crime Commission, federal equitable share, receipt for case, and copies of checks.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L4847	Travel Requests	This record series is use to request travel for professional purposes which may include professional training, work related travel or attend professional meetings. This record series is in the form of a request/voucher and is used not only to give permission but is used as a voucher to pay for the travel.
	Access Restrictions	None
	Contents	This record series may contain the name of person requesting travel, destination, purpose, leave date/time, return date/time, and cost.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Internal Affairs

Record Group
Number

Series	Records Title and Description	Function and Use
L4905	<p>Formal Complaints/Internal Investigation (IA) File Change Date: 12/13/2001 (V)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series documents all Internal Affairs (professional standards) investigations where a formal complaint has been sworn, signed and issued. This series includes both substantiated and unsubstantiated findings. Pursuant to KRS 95.450, No member of a police department shall be removed or reduced in grade for any reason except for inefficiency, misconduct, insubordination or violation of the law, or violation of the rules adopted for the law enforcement agency. All charges must be in writing and must clearly set out the charges made and shall be confined to the matters related to the issue.</p> <p>17.150 (2)</p> <p>This record series may contain: Chief's Initiation Letter/Complaint Affidavit; Complaint Inquiry Form; Formal Complaint Entry/Case Number; Case Summary Letter; Case Findings/Conclusion Letter; Complaint/Disciplinary History Form; Complainant's Identification Copy; Complainant's Interview; Complainant's Witnesses' Identification Copy; Complainant's Witnesses' Interviews; Accused Officer(s) 48-hour Notice Form; Accused Officer(s) PSU Warning, interviews; Witness Officer(s) Interviews; Investigative Record; Copies of arrest forms, dispatch records, officer letters or other documents; photographs; photo pack; Medical release/records; Any reviews by additional investigator(s).</p>
	Retention and Disposition	Retain until five (5) years after termination of employment, then destroy.
L4906	<p>Informal Complaints Investigation File (V)</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series documents substantiated and unsubstantiated informal complaints and subsequent administrative actions. Informal complaints allege misconduct by an officer and do not require a signed affidavit. Informal complaints are handled at the bureau level and these investigations may result in administrative action. Corrective actions for substantiated/sustained informal complaints range from officer counseling and/or officer remedial training. Internal Affairs maintains the completed investigation files.</p> <p>KRS 17.150 (2)</p> <p>This record series may contain: Correspondence dealing with the complaint, the informal complaint which contains the name of the complainant, accused officer(s), allegation, alleged circumstances, divisional facts, action requested and completed investigation form.</p>
	Retention and Disposition	Retain until two (2) years after close of investigation, then destroy.
L4907	<p>Use of Force Form/File</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to document those incidents where use of force by an officer has occurred. This is completed by the officer and signed by the supervisor and sent to the chief and to the training section. This file is maintained for the purpose of documenting those incidents in case there are complaints filed by the persons involved.</p> <p>KRS 61.878 (h) Confidential information. Agency should consult legal counsel regarding open records matters.</p> <p>This record series may contain the name of the officer, day/date/time force used, assignment/beat, location of incident, case number, type of incident, assisting/witness officer, suspect information - name, address, date of birth, social security number, sex, race, charges placed against suspect, suspect's condition when first observed, whether treatment was necessary, hospital/physician, nature of injuries; an officer's transcript of the type of resistance, control techniques and description of events; a supervisor's transcript indicating investigative steps, possible evidence collected, and recommendations; any photos/videos, as well as any transcripts of statements by the suspect, witnesses and supervisor.</p>
	Retention and Disposition	Retain for five (5) years, then destroy.
L4908	<p>Vehicle Pursuit Form/File</p> <p>Access Restrictions</p> <p>Contents</p>	<p>This record series is used to document incidents where there has been pursuit of another vehicle by a law enforcement officer. This is required in case there is personal injury or property damage done as a result of this pursuit. This is completed by the pursuit officer and reviewed by their supervisor.</p> <p>KRS 61.878 (h) Confidential information. Agency should consult legal counsel regarding open records matters.</p> <p>This record series may contain the name of the officer, assignment/beat, day/date, start/end times, location of incident/pursuit, case number, reason for pursuit, assisting/witness officer, employee number, statements from involved officers, descriptions and information on any collisions, any injuries or damage to any property, description of involved vehicles, suspect name and information, charges, arrest time, suspect's impairment level or emotional state, description of any evidence collected, any photos taken, any videos taken, witness information, and transcripts of statements, supervisor comments, and recommendations.</p>
	Retention and Disposition	Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Planning and Analysis

Record Group
Number

Series	Records Title and Description	Function and Use
L4835	Officer's Field Interview Notes	These record series is used to document the contact an officer has with a suspect on the streets. This contact is initiated by the officer either through observance or phone call. These notes may not be mandatory to keep but may be useful for the completion of the officer's daily activity report. Also this record series is used by the officer as a protection against untrue allegations issued by the suspect.
	Access Restrictions	KRS 61.878 (a)(k), KRS 610.320, KRS 610.340
	Contents	This record series may contain the name of suspect, alias, address, race, sex, DOB, ssn, height, weight, hair, eyes, operator's license #, state, location of encounter, date, time, clothing description, vehicle, year, make, mode., color, license no., state, whether the driver, passenger or a pedestrian, reason for encounter, remarks, any associates, name of officer, employee no./badge no., assignment, platoon, list of suspects features.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4836	Juvenile Curfew Report	This record series is used to document curfew violations by juveniles. All local agencies do not have a curfew ordinance and for those which have them they may vary. Usually there is a first warning for the juvenile. He/she are written up and their parents/guardians are notified. If there is a second occurrence there is a possibility of a fine. This document is used to track those violations and to respond to subsequent violations. In some instances this may be placed in an investigative file if the subject is under investigation for other violations.
	Access Restrictions	KRS 610.320 (3)
	Contents	This record series may contain how the contact is initiated, prior violations, beat where contact made, case #, date and time of contact, name of juvenile, address, phone, alias, social security #, race, sex age, date of birth, vehicle description, license #, state, exact location(street address of contact), other charges placed, drugs/alcohol detected, weapon involved, school attending-grade, gang affiliation, parent cited, parent name, address, phone, juvenile taken to., was the juvenile directed to return home by officer and if so at what time and whether he was in company of others, adult taking custody, address, relationship to juvenile, social security #, date of birth of custodian, list of names and ages of any person with the juvenile at time of contact, were any associates arrested, additional narrative, officer making report, employee/badge #, assignment, date and time of report, supervisor approving and reviewing report and if a letter was sent to the parents.
	Retention and Disposition	Retain until subject becomes eighteen (18) years of age, then destroy.
L4837	Weekly Juvenile Curfew Record	This record is used to document and compile curfew violations submitted by officers. The parents are sent a letter informing them of the first violation. This is done weekly.
	Access Restrictions	KRS 610.320 (3)
	Contents	This record series contains the date, time, beat, case #, location of offense, Address, name of violator, address, sex, race, date of birth, age, officer, checklist whether parent cited, drugs involved, other charges, prior violations and associates. Also it contains whether a vehicle was involved, circumstances, wk#, month and year.
	Retention and Disposition	Retain for two (2) weeks, then destroy.
L4838	Monthly Traffic Analysis Report	This record series is compiled from collision reports, complaint and offense reports and other records for each month. This series is used as an information tool for the agency to track all accident reports(when, where, and how) and helps to reduce accidents through the use of extra patrols and surveillance in problem areas. In some instances annual report is done and the information contained in the monthly report is used. This data can be electronic or paper.
	Access Restrictions	None
	Contents	This record series may contain graphs, charts, and drawings along with statistics concerning number of traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, TOP COPS, selective enforcement unit target locations, traffic activity and roadway/vehicle/pedestrian information.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Planning and Analysis

Record Group
Number

Series	Records Title and Description	Function and Use
L4839	Annual Traffic Analysis Report	This record series is used to compile statistical information concerning traffic violations cited, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrests, target locations, traffic activity and roadway/vehicle/pedestrians. This information is taken from the monthly reports and is usually electronically produced. All law enforcement agencies may not produce this but many do. The information and statistics that are contained in this report may also be found with KSP but not in this form. In some of these reports graphs, charts and drawings are used.
	Access Restrictions	None
	Contents	This record series may contain the yearly statistical compilation of traffic violations, collisions, fatalities, traffic related incidents, alcohol involved collisions, DUI arrest information, traffic activity, any target locations and roadway/vehicle/pedestrian information.
	Retention and Disposition	Retain one (1) copy permanently.
L4840	Daily Recap of Reported Crime	This record series is used to document what crimes have been committed in the last 24 hour period. It is used by the commanders to brief their personnel on a daily basis. This is not useful after 3 or 4 days.
	Access Restrictions	None
	Contents	This record series contains the date, day, beat, type of offence, location/victim, number, address, time, information about the crime, and if there are any suspects.
	Retention and Disposition	Retain for two (2) months, then destroy.
L4841	Reported Part I Crime Comparisons	This record series is used to compare Part I crimes with other like cities. The statistics from the FBI Uniform Crime Report are used in this report.
	Access Restrictions	None
	Contents	This record series contains the names of cities and Lexington, population of each, sworn officers, ratio of officers to pop., murder and non-neglect manslaughter, rape, robbery, agg. Assault, burglary, larceny, auto theft, arson, and totals.
	Retention and Disposition	Retain until no longer useful, then destroy.
L4842	Annual Report for Accreditation (This report is compiled from monthly activity reports and is used to satisfy requirements by CALEA).	This record series is used to report to the Commission of Accreditation for Law Enforcement (CALEA) and the Kentucky Association of Chiefs of Police (KACP) the information needed to comply with their standards. This is done annually and is compiled from the monthly activity reports which are provided by each Bureau.
	Access Restrictions	None
	Contents	This record series contains summary and overview sheet, year covered, activity category, % of increase or decrease over the previous year, totals for the year, totals of last year, personnel information, actual part 1 crimes, total fatalities, total citations issued.
	Retention and Disposition	Retain one (1) copy permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Planning and Analysis

Record Group
Number

Series	Records Title and Description	Function and Use
L4843	<p>Annual Summary of Arrest Activities</p> <p>Access Restrictions None</p> <p>Contents This record series contains the activity areas (total division arrests, dui arrests, drug arrests, juvenile arrests, MHVs issued) and a ten year period for these. Contains a distribution list.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	<p>This record series is used to compile statistics for comparison with the previous 10 years. It is used as a planning tool and delivered to the Chief once a year. This is a statistical record of all arrests made during the year.</p>
L5253	<p>Warning Notice</p> <p>Access Restrictions None</p> <p>Contents This record series contains the name of motorist, address, Idnumber, date of birth, sex, race, vehicle make, model, year, reg. state, color, registration no., date, time, sector/beat, exact location of stop, statute/ordinance, offense description, courtesy stop, vehicle investigation, details, case no. signature of officer, employee no..</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>	<p>This record series documents the actions of agency personnel during a motorist stop for any reason. It also provides information concerning the demographics of the population of "motorist stopped" to be collected. The data from this form is computerized and available to officers on patrol (computer access) so that prior warnings for same offense can be considered.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Safety
Police Department
Training Academy

Record Group
Number

Series	Records Title and Description	Function and Use
L4867	Training Record File Change Date: 3/15/2007	This record series is used to document the training received by law enforcement officers that is required by statute. There is a 32 week period of basic training followed by 12 weeks of field training. After that period the officer becomes a part of the patrol section and is assigned to a field position and is on probation for one year. After probation the officer is released by the training section and must follow up with 40 hours of in-service training and must accumulate 400 hours. A record of training is maintained by the Criminal Justice Training Center at Eastern Kentucky University. Also a record of completed training is maintained in the officer's personnel folder. This file is used to document the field training officers evaluations and will have any disciplinary actions taken along with all final grades.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the name of officer, date/time of training, type of training, hours completed, grade achieved, completion date, evaluations, disciplinary actions and correspondence.
	Retention and Disposition	Retain until five (5) years after termination of employment, then destroy.
L4868	Testing/Training (In-Service)	This record series is used to document the training process, the training needed, description of training along with where and when the training will take place. All persons completing the one year probation period and becoming a full time employee must complete 40 hours of inservice training. Testing is a part of that training. This file documents that training and has the tests and test results (which is sent to ECU Criminal Justice Training.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series may contain descriptions of training, place and time of training and requirements for training.
	Retention and Disposition	Retain until no longer needed, then destroy.
L5867	Training Records - Early Withdrawals	This record series is used to document training received by recruits who have been accepted by the Police Training Academy but do not complete the 32 week training program. By withdrawing they forfeit all training completed although it may be used by them if they enter another police training program. If they re-enter the Lexington/Fayette Police Training Academy they will have to start over from the beginning.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series may contain the name of the recruit, test scores, tests, disciplinary action, grades, field training officer evaluations, emergency information sheet and work completed.
	Retention and Disposition	Retain until five (5) years after leaving the Training Academy, then destroy.
L5868	Informational and Test Records File	This record series is used to maintain the tests given to the recruits during their basic academy training. The recruits also go through a review of each test and this is kept as well. All final grades at the end of their basic academy training are sent to the Department of Criminal Justice Training in Richmond, KY. to verify training. There is an 18 month probation from the start of their basic training academy. Once this is completed these tests are no longer used. A graduate certificate is kept in the official personnel file. The individual grade for each test is posted in the file.
		Upon graduation from the academy each officer is required to attend a 40 hour In-Service training which is required through the Kentucky Law Enforcement Council. Upon completion of the 40 hour course each officer is required to take a written examination. Each test is graded and reviewed during the class and the grades are submitted to the Department of Criminal Justice Training and also are kept in their personnel folder.
	Access Restrictions	None
	Contents	This file may contain the test scores of each recruit officer during their basic training academy. These tests are for spelling, code tests, weekly examinations, final examinations, memos, notes, remedial tests, and written request made by the recruit.
	Retention and Disposition	Record the grade for each test in the file. Retain individual tests until the grades are recorded, then destroy. Retain the remainder until completing probation or one (1) year after leaving the Academy (without graduating), then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works

Record Group
Number

Series	Records Title and Description	Function and Use
L5427	Geological Reports on Subsurface Ground Conditions	This record series is used to document information about the geological situation of a certain parcel of land. This is done upon request by the city to the Kentucky Geological Survey. This is done to report on how land drains and possibly if there are sinkholes or other features of the land that are extraordinary and will cause drainage problems or possible cave-ins.
	Access Restrictions	None
	Contents	This record contains soil test information, core sample information, topographical information, correspondence, the initial visit and the final report.
	Retention and Disposition	Retain one (1) copy permanently.
L5428	Index to Maps and Plats	The record series is created as a finding aid to reference engineering drawings including plats, maps, drawings and plans. These are used by the public works department staff, private surveyors and engineers, subdivision developers, and some historical researchers.
	Access Restrictions	None
	Contents	This record series contains the plat number, title of plat, and the location of each.
	Retention and Disposition	Retain permanently.
L5429	Engineering Maps, Plats, Plans and Drawings File (V)	These records have been created by the public works department and consulting engineers. They document the location and configuration of water and sewer lines, water plant, wastewater plant, and appurtenances. They also show pressure valves/relief valves, as-built plans, check valves, fire hydrant pump stations, manholes, water services, sewer wye connections etc. The city is divided into 19 water-sewer districts. These records are used by the public works to give directions to the operation and maintenance crews and for people involved in construction within the city.
	Access Restrictions	None
	Contents	This record series may include sewer line maps, water line maps, index to maps, plats, plans and drawings, record of mains, valves and hydrants and record of sewer wye connections.
	Retention and Disposition	Retain permanently.
L5430	Capital Construction Engineering Project File (V)	This series documents the project files of the public works department of the city. It shows the evolution and development of the water and sewage systems. These files document not only construction funded solely by the city but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The city engineer, the maintenance and operations departments of the agency and the local developers use these files.
	Access Restrictions	None
	Contents	Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.
	Retention and Disposition	Retain permanently.
L5431	Service Work Orders	This record series is used to document public works or utilities service that has been rendered. These are issued as a result of customer requests, construction needs or identification of problems. This order is issued and the repairs are made or consultations with customers completed. These are routine jobs such as the filling of street problems, tv cable outage, water problems, sewer problems, electricity problems etc.
	Access Restrictions	None
	Contents	This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works

Record Group
Number

Series	Records Title and Description	Function and Use
L6301	Urban Service Area Changes Change Date: 12/9/2010	This record series is used to documents that property owners have been notified of changes in the Urban Service Area. This is required by KRS 67A.860. This statute states that each property owner shall be notified by certified mail, of the urban-county government intention to extend urban services which may result in a tax increase to the property owner.
	Access Restrictions	None
	Contents	This record may contain mailing lists, certified mail receipts, unclaimed notices, petitions of service, voting cards, voting results and address lists for service changes.
	Retention and Disposition	Retain for seven (7) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Engineering

Record Group
Number

Series	Records Title and Description	Function and Use
L5393	Cooperative Floodproofing Program File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document the program to provide technical and financial assistance to homeowners who want to stop surface waters from entering their home. Over 340 homes have been improved through this program. The Division of Engineering will do a free inspection to see if there is a flooding problem and if the remedies qualify for assistance. None This record series may contain the property location, owner information, inspections, list of problems, final payment, agreement with landowner and correspondence. Retain for five (5) years, then destroy after audit.
L5394	Pavement Management Annual Report Access Restrictions Contents Retention and Disposition	This record series is used to document the condition of existing paved streets and roads. This is completed for all streets over a 3 year period(one third of the streets are surveyed each year) to assist Public Works in repairing streets. All the streets are surveyed in the 4th year. This is used as a priority list in addressing repavement problems. None This record series may contain survey, list of streets by year, and repairs needed. Retain for five (5) years, then destroy.
L5395	Street Cut Permits Access Restrictions Contents Retention and Disposition	This record series documents application and deposit by a plumber to cut the street to repair and/or tie on to city sewer and/or water. The plumber is required to repair the street where damaged. A public works employee is required to inspect the work prior to the deposit being returned. This permit is required for any work in the public rights of way. A plan or sketch must be submitted. None Date, plumber or company name, property owner name, location of property, explanation of project, deposit notation and sketch or drawing. Retain until no longer useful, then destroy.
L5396	Sump Pump Disconnection Permit File Access Restrictions Contents Retention and Disposition	This record series is used to document where storm water is placed into the sanitary sewer system by way of sump pumps and downspouts. The additional water overloads the sanitary sewer lines and causes overflows as well as backups into homes. This program is designed to locate and relocate these problem generators of inflow. The program is voluntary. If the relocation is authorized, they work with local plumbers to redirect the flow and inspect the work to assure proper construction. None This record series may contain the name, address, construction PO, completed inspection and correspondence. Retain permanently.
L5397	Sanitary Sewer Tap On Permit File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document that the initial connection to the sanitary sewer has been applied for and a permit given. The initial property owner pays this fee for the permit and the connection is inspected by the Division of Engineering. This file provides documentation that all rules were followed in the connection process. This stays with the property. None This record series may contain the application for permit, inspection, amount paid, name of property owner, address and correspondence. Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Engineering

Record Group
Number

Series	Records Title and Description	Function and Use
L5398	Construction Project Files (V)	This record series is used to document the evolution and development of new construction of roads, streets, parking garages and other government buildings and facilities except sanitary sewers. These files document not only construction funded solely by the merged government but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The engineering division, the maintenance and operations departments of the agency and the local developers use these files.
	Access Restrictions	None
	Contents	Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.
	Retention and Disposition	Retain permanently.
L5399	Improvement Construction Plans (V)	This record series is used to document roadway construction, community development, storm sewers, and other construction that is done to improve the function of certain facilities. These are the plans for the improvement.
	Access Restrictions	None
	Contents	This record series may contain the name of project, specifications, cost, time to completion and correspondence.
	Retention and Disposition	Retain permanently.
L5400	Flood Plain Permit File	This record series documents the requirements of KRS 151 which allow the Division of Water to approve any construction or other activity in or along a stream that could in any way obstruct flood flows. Conditions are checked and must be met before a Certificate of Elevation is issued ; then a building permit and later a Certificate of Occupancy are issued. FEMA audits every 2 years.
	Access Restrictions	None
	Contents	Owner name, address, telephone #, agent name, address, telephone #, engineer name, number, description of construction, location of construction, estimated begin construction date, estimated end construction date, public notice notations, city and/or county official contact names, list of attachments, certification, remarks, signature, date
	Retention and Disposition	Retain permanently.
L5401	Storm Water Permit File (V)	This record series documents the requirements of federal law 40 CFR Part 122 which prohibits point source discharges of stormwater associated with industrial activity to a water body(ies) of the Commonwealth of Kentucky without a permit. This program was established by the Environmental Protection Agency in 1992, to create less erosion and cleaner streams in Kentucky. An applicant that expects construction activity to remove 5 or more acres of ground cover is required to obtain a permit to do so. The applicant is required to submit the Notice of Intent form prior to construction, then prepare an Erosion Control Plan, and finally, when construction is complete and vegetative ground cover is established, a Notice of Termination. The situation is monitored throughout the construction process.
	Access Restrictions	None
	Contents	Notice of Intent, Erosion Control Plan, Notice of Termination, and supporting documents
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Sanitary Sewers

Record Group
Number

Series	Records Title and Description	Function and Use
L5402	Pretreatment Files	This record series is used to document provisions of the Clean Water Act which mandates pretreatment of certain discharges into a publicly owned treatment works. Certain pollutants must be pretreated before entering the system. Examples of this is mercury. The pretreatment is done to prevent these pollutants from passing through the system into the receiving waters.
	Access Restrictions	None
	Contents	This record series may contain the lab results, general correspondence, self monitoring results, permit applications, permits, notice of violations, compliance schedules, compliance schedule updates and other information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5403	Grease Trap Program File	This record series is used to document those facilities that qualify to have grease traps installed under the Grease and Oil Ordinance section 16-43, 16-44, 16-50. Sanitary Sewers Division maintains these records to ensure that there is compliance and no damage is done to the sewer system. The Division of Engineering has the responsibility of issuing a permit. This program has been in place since 2000. Grease traps have to be pumped out at least twice a year. Inspections are made periodically by the Division of Sanitary Sewers.
	Access Restrictions	None
	Contents	This record series may contain applications, permits, general correspondence, installation information, inspection information and maintenance information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5405	Sewer User Exemptions File	This record series is used to document requests for exemption from discharging procedures. This is usually requested by users who are going to discharge water from large cooling systems. This triggers a billing from the Division of Revenue.
	Access Restrictions	None
	Contents	This record may contain an application, name, address, description of building, exact info about the discharge, and discharge permit information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5406	Discharge Permit - Unusual Requests	This record series is used to document the application for special permit to discharge unusually large amounts into the sewer system. These are one time occurrences by users and this must be done in order to monitor the discharge. It is up to the user to apply for this permit when there is to be a discharge that is larger than normal. If the user does anything outside of permitted normal discharge this application must be submitted. It is sent to the Division of Revenue for the start of the billing process.
	Access Restrictions	None
	Contents	This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L5407	Construction Project Files - These are used as a working file.	This record series is used to document any construction or upgrades to facilities. These records are maintained for a period of time to make sure that all specifications are met and for use if there are problems during and after the construction is completed. All plans, specifications and documentation is maintained permanently in General Services and all the official bidding info is in the Division of Purchasing. These records are kept for reference only.
	Access Restrictions	None
	Contents	This record series may contain contract documents, bids, specifications, general correspondence, permits, testing, pay estimates, purchase orders, change orders, shop drawings, and close out documents.
	Retention and Disposition	Retain for seven (7) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Sanitary Sewers

Record Group
Number

Series	Records Title and Description	Function and Use
L5408	<p>Rain Gauge Data File</p> <p>Access Restrictions None</p> <p>Contents This record series may contain the date, time, area placed, and amount of rainfall.</p> <p>Retention and Disposition Retain for five (5) years, then destroy.</p>	<p>This record series is used to document the amount of rainfall as reported through the use of rain gauges that are placed in certain places in the government area. These gauges are placed upon request. This data is used in the prediction of overflows. This is collected daily</p>
L5409	<p>Daily Reports</p> <p>Change Date: 3/10/2005</p> <p>Access Restrictions None</p> <p>Contents This record series may contain start time and date, name of pump station, name of treatment station, name of person submitting the report, statistical information, and readings.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This record series is used to document the all daily reports issued by the treatment stations. These include operation of each pump station throughout the government area. By doing this daily report the pump stations are monitored to ensure they are operating normally without incident. This, in part is a preventive measure to make sure that overflows are avoided and that there are no unauthorized spills. These reports include operator's check out report, daily operational report for plants (pumps, gauges etc), daily maintenance reports, daily lab reports, daily flow readings, daily mechanical check out sheets for pump stations, pump station overflow/bypass reports which documents over flows at any of the pump stations(70 at the moment) throughout the government area. All the pump stations are automated in the pumping of sewage. A telemetry system is in place at all pump stations which sends flow/performance data and alarm situations to the central office. All major stations are checked and maintained on a daily or twice per day frequency. These reports are sent to the Division of Water and Division of Wildlife in case of overflows. Many of these reports are made a part of the Wastewater Treatment Plant Discharge Monitoring Report(DMR) that is sent to the Division of Water and the EPA.</p>
L5410	<p>Flow Charts - Pump Stations</p> <p>Access Restrictions None</p> <p>Contents This record may contain the date, time, flow information.</p> <p>Retention and Disposition Retain for five (5) years, then destroy.</p>	<p>This record series is used to document the amount of flow at each of the pump stations. This gives a picture over time about the amount of discharge and at what time. There is a chart recorder at each pump station. This shows if there is an overflow or by pass.</p>
L5412	<p>Tier II Hazardous Chemical Annual Report</p> <p>Access Restrictions None</p> <p>Contents This record series may contain the chemical name, location, amount present, waste treatment/disposal methods, and hazards.</p> <p>Retention and Disposition Retain for five (5) years, then destroy.</p>	<p>This record series is used to document chemicals used or stored during the previous year. The amounts that trigger Tier II reporting are based on the maximum amount of the substance present at the site at any time. This is a requirement by the Emergency Planning and Community Right to Know Act. These chemicals may have an immediate health hazard, delayed health hazard, fire hazard or reactive hazard. This report is sent to the Environmental Protection Agency, state authorities and the local fire department.</p>

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Sanitary Sewers

Record Group
Number

Series	Records Title and Description	Function and Use
L5413	<p>Monthly Reports Change Date: 3/10/2005</p> <p>Access Restrictions None</p> <p>Contents This record series may contain all monthly reports generated by the treatment plants. This would include statistical data, narrative, names of contractors, date of report, person submitting the report, analysis results, and other data.</p> <p>Retention and Disposition Retain for five (5) years, then destroy.</p>	<p>This record series is used to document each major monthly report submitted by the treatment plants including discharge monitoring report (DMR) which documents the quality of the discharge and flow, biochemical oxygen demand, suspended solids, ph, sludge production, bacteriological quality, expenses for treatment, loading rates, facility sizes, and per cent reduction of contaminant of wastewater. DMR's reports are sent to Division of Water in Frankfort, Ky.who inturn sends it to EPA. Others are lab reports, solids process monthly recap, solids balance report, sludge hauling report and sewer line maintenance overflow reports. These are used to monitor the treatment plants and to use for reporting purposes to the Kentucky Division of Water and the EPA.</p>
L5414	<p>Flow Reports of Incoming Sewage - Special Users</p> <p>Access Restrictions None</p> <p>Contents This record series may contain the name of the user, pump station, date, time and amounts.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This record series is used to document the flow for special users. This a report of the operations of five pump stations where information is sent to the Div. of Revenue so that private companies can be billed. This flow from these special users is more than normally released. The five private enterprises are: Blackburn Correctional, Keeneland, Horse Park, Spindletop and FMC.</p>
L5415	<p>Calibration/Inspection Report</p> <p>Access Restrictions None</p> <p>Contents This record series may contain the item# inspected or calibrated, date, time, certification by inspector and any adjustments made.</p> <p>Retention and Disposition Retain for three (3) years, then destroy.</p>	<p>This record series is used to document that periodic calibrations/inspections are completed for meters , fire extinguishers, leak detection equipment, and crane and hoist systems. This is done as part of the preventive maintenance program and to ensure the accuracy and safety of the equipment.</p>
L5434	<p>Operation and Maintenance Manuals for Wastewater Plant(s) (V)</p> <p>Access Restrictions None</p> <p>Contents Discharge Permits, plans/drawings showing the locations, configurations of the lines, fittings and processes; bench sheets, records of laboratory analysis; operators daily log, construction records, tables of operation, forms, purchase order forms and agency report forms.</p> <p>Retention and Disposition Retain permanently.</p>	<p>This record series is used by the operation and maintenance personnel for the wastewater treatment plants. It gives suggestions and recommendations for most efficient operation, management and maintenance of the facility. The appendix to this manual contains plans/drawings showing the location and configuration of lines, fittings and processes. Pages are added or deleted periodically to revise and update this manual.</p>

**LOCAL AGENCY RECORDS
RETENTION SCHEDULE**

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Sanitary Sewers

**Record Group
Number**

Series	Records Title and Description	Function and Use
L5810	Permit File (Kentucky Pollutant Discharge Elimination System (KPDES)(NPDES))	This record series is used to document the application for National Pollutant Discharge Elimination System permits to discharges into the sewer system. Under the Clean Water Act, the NPDES program regulates discharges to waters of the United States from point sources such as municipal sewage treatment plants and industrial facilities. States may seek authorization to operate the NPDES program, and, today, 45 states and the U.S. Virgin Islands have this authorization. EPA is the permitting authority in unauthorized states, territories and Indian country. This series sets discharge limits on pollutants discharged from wastewater treatments plants. The local agency's engineer or affiliated utilities company completes application for the permit, drawing on wastewater treatment plant discharge monitoring reports . The application is sent to Natural Resources who reviews the application and sets appropriate discharge limits for a given time period. The permit is issued for those limits and that time period. Permit cannot exceed five years.
	Access Restrictions	None
	Contents	This record series may contain the name of the user, address, application, discharge information, amounts of discharge, date and permit info. Permit itself contains: name and address of local agency; name and address of wastewater treatment facility; name of receiving waters; dates of validity of permit; date of permit; appropriate signatures. Permit file will also include supporting documentation noting discharge limitations, monitoring requirements, a schedule of compliance, and any special requirements.
	Retention and Disposition	Retain for five (5) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Public Works
Solid Waste

Record Group
Number

Series	Records Title and Description	Function and Use
L5416	Solid Waste Trip Summary	This record series is used to document the daily collections completed by a particular vehicle. Data is compiled in onboard computer for the purpose of verifying pickups and for managing the routes of the vehicle.
	Access Restrictions	None
	Contents	This record series may contain the name of driver, fleet address, driver ID, trip number, trip begin date, trip end date, time totals, trip statistics, events, engine on time, time in motion, container stats, stop stats, containers per hour, arrival, departure, weight, return time, any time the route is left, total amount collected, miles gone and other stats.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5417	Weight Sheets (Tonnage)	This record series is used to document the weight of the collection when taken to the landfill. This amount is recorded and used to know how much is collected. The collection is taken to a landfill that is operated by a private vendor. The weight is used in the billing process.
	Access Restrictions	None
	Contents	This record series may contain the truck #, date, time, driver, weight.
	Retention and Disposition	Retain for two (2) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Adult Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5375	Social Worker Client File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document those adults and their families who have the potential of becoming victims of abuse, neglect or exploitation. Services may include information and referral, home visits, transportation, advocacy, assistance in making application for a variety of social programs. KRS 61.878 (1)(a) This record series may contain, client's name, address, telephone, social security #, application, social worker's notes, visitation information, some medical information, social assessments/case plans, financial/legal section, income information and documentation of referrals. Retain for five (5) years, then destroy.
L5376	Emergency Financial Assistance File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document short term financial assistance for the payment of rent and/or utilities to prevent eviction or utility cut-off. The person may apply for an interest-free loan and must sign an agreement for repayment in small monthly payments. Other services provided are assessment of needs, short-term counseling and referrals to other agencies. The person applying must have lived in Fayette County 30 days, have a temporary complete disruption of income, have utilized all personal resources and there must be a verifiable pending income. Persons can apply every two years. KRS 61.878(1) (a) This record series may contain a contract, agreement, discharge summary, medical statement from doctor, employment statement, medical record, lease agreements, utility bill, directory information, case notes and demographic information. Retain for three (3) years, then destroy after audit.
L5377	Relocation Financial Assistance Grant File (V) Access Restrictions Contents Retention and Disposition	This record series is used to document persons or families who apply for financial assistance to relocate because of code enforcement has issued a condemnation order. This is a one time grant for those who are at or below 125% of the current poverty level. KRS 61.878 (1)(a) This record series may contain the pay check stub, field inspection form, certificate of service (notice that they must move), proof of income statement, financial statement and directory & demographic information. Retain for three (3) years, then destroy after audit.
L5378	Burial and Cremation Financial Assistance File Access Restrictions Contents Retention and Disposition	This record series is used to document those persons applying for financial assistance for burials or cremations whose family is unable to provide for the burial. A financial assessment is made to see if the persons can pay or not. This is a grant. None This record series may contain invoices, applications, directory information, income statements and Lexington cemetery information. Retain for three (3) years, then destroy after audit.
L5379	Sidewalk Replacement Financial Assistance Grant File Access Restrictions Contents Retention and Disposition	This record series is used to document payment for defective sidewalk panels identified by Lexington/Fayette County Government for qualified homeowners. To qualify for financial assistance persons or families must have incomes at or below 125% of the current poverty level. This is a one time grant. None This record series may contain the directory information on the individual/family, check stub, invoice, application, date, and notes. Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Adult Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5380	Sewer Assistance Program File (V)	this record series is used to document assistance given to homeowners to connect to the sewer. Revenue bonds are issued for this purpose of connection of the sewer. Also the homeowner may also receive a loan for the annual sewer assessment fee if they qualify. The bond is paid off when the residence is sold. This material is found no where else.
	Access Restrictions	None
	Contents	This record series may contain copies of the mortgage, loan agreement, financial assistance given, copies of tax returns, job verification, land contract and directory information on resident.
	Retention and Disposition	Retain permanently.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Family Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5381	Client Medical Files(Minors) (V)	This record series is used to document those under the age of eighteen who are applying for assistance through Medicaid and the Kentucky Children Health Insurance Program (KCHIP). This is driven by income of the families. This covers children in families whose incomes are above 150% Federal Poverty Level and up to and including 200%FPL.
	Access Restrictions	KRS 61.878(1)(a); 45 CFR Parts 160 & 164
	Contents	This record series may contain the name of client, directory information, application, health history, HIPAA instructions, authorization to release information, immunizations, encounter form, triage call record, medical information, date of HIPAA permission, x-rays, lab info and correspondence.
	Retention and Disposition	Retain until six (6) years after client reaches eighteen years of age.
L5382	Home Network File (HANDS Program)	This record series is used to document a voluntary intensive home visitation program designed to assist parents at critical development points during a child' s first years of life. A trained home visitor will introduce parenting skills that enhance parent/child relationships. This is the Health Access Nurturing Developing Services (HANDS) provided/licensed by the KY Department for Public Health. HANDS target first time parents, from the prenatal period to approximately three months after delivery. The family may be a part of the program untill the child reaches two years of age.
	Access Restrictions	KRS 61.878(1)(a); 45 CFR Parts 160 & 164
	Contents	This record series may contain photos, monthly service log, family goal sheets, well baby visit log, case narrative, home screening questionnaire, everyday stress index, child proofing checklist, ages & stages questionnaire(8 mons., 10 mons, 14 mons), CAP(Child Abuse Potential) assessment, release of claim and HANDS visit log.
	Retention and Disposition	Retain for twenty-four (24) years, then destroy.
L5383	Lunch Menu and Production Record(Sheet)	This record is used for planning meals each day and to document statistics on meals served, both for food groups and numbers served. This report is audited by the Department of Education's Division of School Food Service for compliance with regulations for school meals.
	Access Restrictions	None
	Contents	Date meal served, offer vs. serve (yes/no). For each menu components (milk, meat/meat alternate, vegetables/fruit, bread/bread alternate, other): foods used, USDA foods, planned 3 portions/size portions GR III and GR IV, amount prepared, extra sales, amount left over and comments. Reimbursable Meals Served: Non-reimbursable Meals served and extra sales: extra milk, extra sales menu items, extra sales non-menu items, adult/misc. meals, total ala carte.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L5384	Monthly Product Inventory	This record series is used to document the amount of food product on hand at the end of every month. The lunch program is funded by the School Lunch Program. This series is used in the ordering process and to compare with other months over time.
	Access Restrictions	None
	Contents	This record series may contain the dollar value of previous months ending inventory, name/authority or agency, storeroom location, item description, total units, cost per unit, total cost, beginning inventory, purchased food and milk received. Value of food available, ending inventory, adjustments to inventory, and dollar value of food used.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Family Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5385	Child Care Record File	This record series is used to document the attendance of infants up to 5 years of age in the child care program. Child care is provided to the children of mothers who are enrolled in the school program provided by Family Services. These mothers are attending classes to get their GED. This record series documents the those to contact in case of emergency and also provides assessments as to the development of the child. This may be merged with the parent's file (Case Management File) when the child has left the program.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name of the child, parent, emergency contact phone #, address, age, and other directory information. May contain assessments made by staff.
	Retention and Disposition	Merge with Parent's Case Management file when no longer a participant.
L5386	Case Management Client File (V)	This record series is used to document assistance given to families by utilizing all needed services on-site and off-site in order to successfully complete programs, do post secondary training, and to become self-sufficient. This is done through contracts with the Cabinet for Health and Families as part of the Welfare for Work Program which assists those persons in obtain a GED and to become employable. Teenage mothers are given assistance through the case management service where they may obtain a GED and possible study beyond the secondary level. Those who become a part of the education component are referred by Community Based Services of the Cabinet for Health and Families. The clients may be a part of the program up to age 22.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the new chance checklist, case mgt. notes, verification of transportation/Participation in education or training, list of school supplies, peer review checklist, authorization for supportive services, information card, assessments, school and work information, miscellaneous forms, payment vouchers, correspondence, sanction letter.
	Retention and Disposition	Retain for six (6) years, then destroy.
L6294	Patient Encounter Form	This record series is used to document and verify that that those using the medical and dental services provided by Family Services have been billed. This is a fiscal record and is an accounts payable.
	Access Restrictions	None
	Contents	This record series may contain patient name, address, age, diagnosis, doctors name, services provided, insurer and appointment time.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Mayor's Training Center

Record Group
Number

Series	Records Title and Description	Function and Use
L5634	Client Training/Assessment/Counseling File	This record series is used to document the recruitment, testing, screening and referral of prospective employees or trainees for businesses and industry. This includes on the job training, customized training and occupational skills assessment. Documents training for individuals including workshops given at the local community college or vocational schools and information and referral services for displaced workers. This training, assessment and counseling is provided through and made possible by grants through the Workforce Investment Act, including Welfare to Work and School to Work programs.
	Access Restrictions	61.878(1)(a)
	Contents	This file may contain the names of individuals and businesses that participate in programs. Includes addresses, social security number, type of service rendered, amount of grant, and description of training.
	Retention and Disposition	Retain for four (4) years, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Youth Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5387	Social Worker Client File (Minors) (V)	This record series is used to document services provided for children (under 18 years of age) by the CASA Project(Court Appointed Special Advocates). The advocates are volunteers appointed by the court to speak for children who through court action are deemed abused and/or neglected. These volunteers work in cooperation with other agencies and report to the court recommendations that are in the best interest of the child.
	Access Restrictions	KRS 61.878(a)(k), KRS 610.320(3)
	Contents	This record series may contain progress notes, monthly service plan review, six month justification statement, correspondence, court referral, demographic form, released information authorization, authorization for involvement in activities, orientation packet receipt, aftercare/termination report, service plan reviews, service plan, intake assessment, client contact form, psychological data, special education data, court reports, legal documents, medical records, school data grades, behavior information.
	Retention and Disposition	Retain until five (5) years after client reaches eighteen years of age, then destroy.
L5388	Juvenile Probation Client File (V)	This record series is used to document those youths who become a part of the Juvenile Probation and Court Serviced Program. This program conducts investigations and prepares pre-dispositional reports as ordered by the District Court. When the court places a youth on probation an order may be issued to place the person in the program where monitoring and supervision are provided. This includes development and implementation of an individualized treatment plan, drug screening, curfew monitoring, and referral to community resources. This program also provides a home detention program and develops other special programs. Only those under 18 years of age become a part of this program.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the imaging screen, probation fact sheet, reason for violation/contempt, drug testing tracking sheet, probation services program steps I thru III. Terms and conditions, quarterly supervision report, statement of grievance procedure, school attendance report, correspondence, teen primary outpatient program, discharge summary.
	Retention and Disposition	Retain until five (5) years after client reaches eighteen years of age, then destroy.
L5389	Juvenile Day Treatment Client File (V)	This record series is used to document those youths who participate in the Lexington Day Treatment Center. The Center is a specialized community based program for youth between the ages of 13-17. The program has three components - education, counseling and social work services. Referrals to the program may be made by the Division of Youth Services, Department of Juvenile Justice, Cabinet for Health and Families, Fayette Co. Public Schools and other local social service agencies. The families are to attend the initial interview, participate in a twenty one day comprehensive individual treatment plan, attend treatment team meetings and participate in the 60 day review. This program works closely with the Fayette Co. school system. Usually the youth has demonstrated discipline problems(which brings about action by judicial authorities) at school. These youths are put in this program and instruction provided. All academic grades and other information will be given to the school district to become part of the youth's student record.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the individual treatment plan(ITP), individual plan of instruction(IPI), initial intake info, court commitments, contract of agreement, consents to photo, video tape, etc., authorization for involvement in activities, bus/van agreement, birth report or verification and social security #, assessment data/social history, orientation treatment plan, incident reports, time out worksheets, immunization record, health clinic and screens, medication info., medication sheet, medical insurance card, weekly progress notes, 60 day review, monthly review sheets, psychological tests/evaluation, psychiatric data, release of information, correspondence, drug screens, policies/guidelines, orientation test, computer lab permission, handbook cover page, safety & emergency procedures, medical and health procedures, rules and guidelines, service complaints.
	Retention and Disposition	Retain until three (3) years after youth leaves the center, then destroy.

LOCAL AGENCY RECORDS RETENTION SCHEDULE

LEXINGTON/FAYETTE URBAN COUNTY GOVERNMENT
Social Services
Youth Services

Record Group
Number

Series	Records Title and Description	Function and Use
L5390	<p>Coleman House Juvenile Client Case File (V)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document those youths who are referred to the Coleman House by police, juvenile court or Social services. These youths are in need of shelter outside of their own homes due to endangering situations such as abandonment, neglect and abuse. They also may be status offenders (wayward, truant, or incorrigible). Youth who are adjudicated as delinquent or public offenders. The program provides crisis intervention, 24 hour supervision, meals and snacks, transportation, educational and recreations activities, tutoring and emergency clothing.</p> <p>KRS 61.878(1)(a)</p> <p>This record series may contain notification to parents, release procedure information, custody orders, consent/agreement of parent to temporary custody, client referral info sheet, court involvement info, approved visitors, termination of stay info, family background info, service and after care planning, case recording, personal property inventory, signing/sign out log, individual medication report form, medical consent and correspondence.</p> <p>Retain until five (5) years after client reaches eighteen years of age, then destroy.</p>
L5391	<p>Adoption Records Closed Date:</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document adoptions that came through a previous agency (Children's Services) within Fayette County. The Kentucky Department of Welfare was the state agency that was involved in adoptions at this time. These records were inherited by Youth Services. They may be found in other places like old Dept. of Welfare files or court records but because of the possibility that this is the only copy they must be maintained permanently. These files document the adoption procedure from beginning to end.</p> <p>KRS 199.570</p> <p>This record series may contain the name of adoptee, information about the adoptee family, facts about the adopting family, correspondence, court records, foster parent information, application for adoption, medical records.</p> <p>Retain permanently.</p>
L5392	<p>Client Medical Record File (V)</p> <p>Access Restrictions</p> <p>Contents</p> <p>Retention and Disposition</p>	<p>This record series is used to document the medical history of those youths taking part in the program. When youths become a part of the youth services program their medical history is taken and documented. Any chronic illness are noted and all prescriptions are logged. This is used to make sure that all appropriate medications are given and that illnesses are monitored.</p> <p>KRS 61.878(1)(a)</p> <p>This record series may contain the name of youth, age, address, telephone #, immunizations, prescriptions, medical history documentation, parents names.</p> <p>Retain until six (6) years after client reaches eighteen years of age, then destroy.</p>