



Local Governments

General Records Retention Schedule

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



Local Government General Records Retention Schedule

This retention schedule may be used by all local governments and their agencies and offices. It lists those records that any local agency may create or receive in the course of daily business. For a local agency to have an effective records management program this retention schedule should be used on regular basis, along with the agency specific schedule for that agency. *For example: If you are a sheriff or a city you would use the County Sheriff Records Retention Schedule or the Municipal Government Records Retention Schedule and the Local Government General Records Retention Schedule respectively.* This retention schedule has been approved by the State Archives and Records Commission in accordance with KRS 171.410 – 740. This approval provides the legal basis for local agencies to apply this schedule to their records management needs.

This retention schedule also includes record series listings for

- police departments
- fire departments
- emergency medical services
- 911

We have included these because they may be part of county governments, city governments or special districts.

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

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Local Government General Records Retention Schedule
Agency

June 12, 2014
Schedule Date

Unit

March 9, 2017
Change Date

March 9, 2017
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

Bettie Shux

3/11/17

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

Date of Approval

[Signature]

3/9/17

Chairman, State Archives and Records Commission

Date of Approval

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

[Signature]

03.07.17

Records Analyst/Regional Administrator

Date of Approval

[Signature]

3/7/17

Appraisal Archivist

Date of Approval

[Signature]

03.07.17

State/Local Records Branch Manager

Date of Approval

The determination as set forth meets with my approval.

Alice Wilson

3-9-17

Auditor of Public Accounts

Date of Approval

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Record Group
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Series	Records Title and Description	Function and Use
L4954	Official Correspondence	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. The series provides adequate and proper documentation of agency matters, as required in KRS 171.640. Official correspondence has traditionally been in paper format (handwritten or typed) but is increasingly found in electronic format such as email.
	Access Restrictions	None
	Contents	Official correspondence is incoming and outgoing correspondence that may consist of: letters, notes, memoranda, directives, policy statements, and other information commonly found in the body of the message and/or any attachments to the message. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file.
	Retention and Disposition	Retain permanently.
L4955	Routine Correspondence	This record series can be found at all levels of an organization and documents business related correspondence that is not crucial to the preservation of the administrative history of an agency. It consists of correspondence that is of a non-policy nature and deals only with the day-to-day, general operations of an agency. Routine correspondence has traditionally been in paper format (handwritten or typed) but is increasingly found in electronic format such as email.
	Access Restrictions	None
	Contents	Routine correspondence is incoming and outgoing correspondence that may consist of: letters, notes, postcards, memoranda, announcements, or other information commonly found in the body or the message and/or any attachments. Electronic mail messages also contain transactional information (sender, recipient, date, subject, etc.) in the header of the message and in the properties field of the electronic file. General correspondence does not include: non-business related messages, spam and junk mail, duplicate copies of general announcements. (See series L4956 Informational and Reference Material and L5866 Non-Business Related Correspondence)
	Retention and Disposition	Retain for two (2) years, then destroy.
L4956	Information and Reference Material	This record series documents materials of a non-technical or technical nature which may aid in or support the conduct of official agency business, but which are not critical to continued operations. This series may also include material used in the professional enhancement of agency employees or duplicate copies of material maintained for solely for reference purposes by the agency or individual employees. Informational and reference material may appear in paper or electronic format and may be as formal as a publication or brochure (usually external to the agency) or as informal as a news clippings or note. Records in this series may be destroyed when they become obsolete or no longer useful to the agency.
	Access Restrictions	None
	Contents	Information and reference material may include published and/or non-published material (usually external to the agency) such as: Periodicals; books; brochures; reports; some logs and other tracking tools; copies of memoranda and general announcements (that require no action on part of the recipient); professional literature not related to day-to-day activities (such as postings on a professional listserv); voice mail; casual email and other correspondence not related to official duties (see L4955-General Correspondence); and duplicate copies of records retained for reference purposes only.
	Retention and Disposition	Destroy when obsolete, or no longer needed.

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Series	Records Title and Description	Function and Use
L4957	Publications Created by Local Government	This record series documents publications created and published by local government. These may 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 and related material.
	Retention and Disposition	Retain one (1) copy permanently. Excess copies may be destroyed when no longer needed.
L4958	Official Minutes of Subsidiary Boards, Commissions and Authorities (V)	This record series documents official minutes of actions taken by any public agency as required by KRS 61.835, 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.
L4959	Policies and Procedures (Manuals or Memorandums) (V)	This record series documents all polices and procedures regulating the internal administrative functions of the local 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 the local government.
	Access Restrictions	None
	Contents	This record series may contain: Purchasing and procurement policies, internal policies, cost allocation policy, personnel policies and procedures, travel policy, meeting expense policies, investment policy, open records policy, retentions schedule, and federal and state mandates.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when no longer needed.
L4960	Real Estate File (V)	This record series documents 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	This record series may contain: Deeds, easements and right of ways along with any legal documentation.
	Retention and Disposition	Retain permanently.
L4961	Annual Policy Guidelines (V)	This record 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 nothing done.
	Access Restrictions	None
	Contents	This record series may contain: Date, policy statement narratives.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when no longer needed.

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Series	Records Title and Description	Function and Use
L4962	Open Records Register (V)	This record series documents requests for information desired by the public or press and available through the Open Records Law.
	Access Restrictions	None
	Contents	This record series may contain: Date of request, requesting party name, brief description of information wanted, disposition, disposition date.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4963	Open Records Request for Inspection/Disposition Record (V)	This record 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.
	Access Restrictions	None
	Contents	This record series may contain: Date of request, requesting party name, information requested, copies needed or only viewing, disposition, supporting documentation for decision.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4964	Insurance Policy File (V)	This record series documents a contract between a local government 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. This series may include all policies purchased by the local government.
	Access Restrictions	None
	Contents	This record series may contain: Policy, correspondence, supportive claim documents.
	Retention and Disposition	Retain for five (5) years after cancellation or expiration and audit, then destroy.
L4965	Citizen Complaints/Petitions	This record series documents 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.

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L4966	Itineraries/Schedules of Meetings	This record series documents the time and place of meetings and the agendas for those meetings.
	Access Restrictions	None
	Contents	This record series may contain: Time, date, place of meeting and the subjects to be covered.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4967	Department for Libraries and Archives Records File	This record series documents the official relationship with the Department for Libraries and Archives concerning records retention, records disposal, records transfers, records surveys and microfilm evaluation.
	Access Restrictions	None
	Contents	This record series may contain: Signed records destruction certificate, signed records transmittal form, completed records survey, microfilm quality evaluation and current approved schedules.
	Retention and Disposition	Retain permanently.
L4968	Press Releases	This record series documents press releases and 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.
	Access Restrictions	None
	Contents	This record series may contain: A narrative of time, place, event, activity, item being publicized, information sought, etc.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4969	Telephone Record/Log	This record series documents 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.
L4970	Maps and Plats (V)	This record series documents land surveys, zoning (residential and industrial), and other public works (streets, roads, rights of way and other local government activities). These are used in conducting the business of the local government and may be maintained in different offices.
	Access Restrictions	None
	Contents	This record series may contain: Surveys, plats, maps.
	Retention and Disposition	Retain permanently.

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L4971	Plans, Drawings and Blueprints (V)	This record series documents 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 series may contain: Drawings, name of architect, date of drawing, name of project or structure.
	Retention and Disposition	Retain permanently.
L4972	Maps, Plats, Plans, Drawings and Blueprints - Duplicates (V)	This record series documents 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 series may contain: Drawings, name of architect, date of drawing, name of project or structure.
	Retention and Disposition	Destroy when no longer needed.
L4973	Vehicle Maintenance Record File	This record series documents 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 series may contain: Vehicle ID, 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.
L5045	Duplicate "Copy of Record"	This record series documents the creation/reproduction/coping of a record for administrative convenience and may be found throughout the local government, department or agency. These are excess copies that are not recognized as the record copy.
	Access Restrictions	None
	Contents	This record series may contain: Duplicates of the record copy regardless of the format (paper, microfilm or electronic).
	Retention and Disposition	Destroy when no longer needed.

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Series	Records Title and Description	Function and Use
L5364	Surveillance Video/Audio Recordings	This record series documents 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	This record series may contain: 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.
L5373	Litigation File (V)	This record series documents the litigation process that may arise from local governments being sued or suits brought by the local government against others. This file is basically a working file of the local government's attorney. This may be in the County Attorney's office. These may be individuals, groups, or government agencies bringing suit for a number of reasons including discrimination, sexual harassment, program liability, personal injury, non-compliance with state and federal law, land condemnations, and others. These files also contain suits brought by the local government against individuals, government agencies and groups. The file of record is maintained in the court of jurisdiction.
	Access Restrictions	KRS 61.878 (1)(a)(h)
	Contents	This record series may contain: Names of plaintiff, defendant, date, case information, motions, judgment, affidavits, transcripts, appeals, and supporting documentation.
	Retention and Disposition	Retain for ten (10) years after all litigation has ceased.
L5821	Vehicle Information File (V)	This record series documents certain information about local agency owned vehicles. This includes the purchasing documentation and type of vehicle.
	Access Restrictions	None
	Contents	This record series may contain: Registration, purchase order, type of vehicle, specifications of vehicle and year put into service.
	Retention and Disposition	Destroy after vehicle is no longer owned by government.
L5847	Insurance Claims File (Liability General and Auto) (V)	This record series documents those claims by a third party against a Local Government or its employees because of some sort of injury. This includes all claims that involve government properties and automobiles.
	Access Restrictions	None
	Contents	This record series may contain: Accident reports, injury/complaint report, medical determinations, summary of claim, police report if necessary.
	Retention and Disposition	Retain for five (5) years after claim is settled. If a minor, destroy when he/she reaches twenty-three (23) years of age.

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Series	Records Title and Description	Function and Use
L5848	Insurance Claims File (Non-Liability General and Auto) (V)	This record series documents claims where a local government vehicle has been damaged or has damaged government property. 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.
L5866	Nonbusiness Related Correspondence	This record series documents 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 as soon as possible.

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Series	Records Title and Description	Function and Use
L6350	Maps (V)	<p>This record series documents maps, intended for public distribution, which consist of images and/or data plotted to show geographic points at which various objects, incidents or phenomena occur across the local coverage. Examples of these include roads; parcels; infrastructure; boundaries, zones and districts; topographical or geological features; recreational trails; or cemeteries in the coverage area (city, county, region). These maps may be maintained in paper or in electronic format. Electronic maps consist of static images or dynamic packages produced by a Geographic Information System (GIS). These GIS databases may be unique to one local agency or developed and maintained through a cooperative effort of several agencies (public and private) across a city, county, or region. In these cooperative systems various entities feed data into layers that are linked to detailed attribute information or descriptions stored in a database. The GIS software access this integrated graphic and attribute information to support all mapping, geographic query, and analysis applications. (For more detailed information about GIS databases, see attachment). Some of this data may be shared or made available through Internet mapping applications on the local level and the KYGEONET, the Commonwealth's enterprise geographic information system. (The KYGEONET is described in Series 05431, scheduled under the Division of Geographic Information.)</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Surveys, plats, maps, plans, drawings, and images. GIS databases contain: spatial coordinates; plotted images and/or other data. Large GIS databases may contain raster data (images) and vector data (plotted points) in various layers organized into categories such as: Parcel; Centerline; Aerial; Building; Critical Infrastructure (water/sewer); Topology/LiDAR; Drainage; Zoning; and Voting Precincts. GIS databases will also contain appropriate metadata.</p> <p>Retention and Disposition Agencies should capture one (1) copy (paper or digital) of static maps. Duplicate copies and copies made for internal reference may be destroyed when no longer needed. Agencies should take periodic snapshots of GIS data. To help determine rate and methods of capture, please contact KDLA Archives and Records Management Division staff.</p>
L6647	Special Permits (Fireworks, Parades, etc.)	<p>This record series documents the application for permits for events that will be taking place in the public arena. Examples are parades, festivals, temporary retail outlets and others.</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Name of applicant, description of activity, date and signature.</p> <p>Retention and Disposition Retain for two (2) years, then destroy after audit.</p>
L6648	Incident and Accident Reports (V)	<p>This record series documents incidents, accidents and/or complaints. The information is used to inform the administration of an incident/accident/complaint so management can take actions to prevent similar incidents in the future. It alerts administration and the agency's insurance provider to a potential claim and the need for investigation. Additionally, OSHA requires agencies with more than ten employees to maintain a record of occupational injuries and illnesses.</p> <p>Access Restrictions KRS 61.878 (1) (a) Personal Information</p> <p>Contents This record series may contain: Name, address, phone number, age, sex, and social security of person involved, Date, time and exact location of incident, type of accident, incident/accident specifics, if an employee was involved, the name and their employment history, a description of incident/complaint, action taken by staff members, witness name, phone number and address, medical follow-up, type medical treatment sought (if any), dates of treatment, treating physician, and address, dates off work and return to work and if duties restricted and related information.</p> <p>Retention and Disposition Retain for five (5) years after accident/incident occurred for adults. For children, retain until age eighteen (18) years plus five (5) years or until litigation is complete, whichever is longest.</p>

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Series	Records Title and Description	Function and Use
L6659	Open Records Appeals to the Office of the Attorney General	This record series documents 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 a public 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	None
	Contents	This record series may contain: 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 for five (5) years, then destroy.
L6660	Sign-In and Sign-out Log	This record series documents those visitors, employees, vendors and others who come into a local government agency, including law enforcement, at any given time. This is used to verify these people are on the premises at any given time and may be used to track their whereabouts. Any person entering this government building may be asked to wear a ID badge after signing in and return it when leaving. This is mainly for security.
	Access Restrictions	None
	Contents	This record series may contain: Name of the visitor, the time of arrival and departure, the purpose of the visit, the persons or places to be visited, and may include proof of identity and comments.
	Retention and Disposition	Retain for thirty (30) days, then destroy.
L6670	Fleet Tracking/Navigation Record (GPS)	This record series documents data from navigational and tracking devices, including GPS (global positioning system), automatic vehicle locators (AVL) uploaded to the data management information systems that local government agencies use to track and verify location of vehicles and delivery of services. These are used extensively by law enforcement, EMS, Public Protection and Public Works. The data is integrated with data storage information systems and maintained on a server which is typically backed up daily.
	Access Restrictions	None
	Contents	This record series may contain: Date, time, resource and service information, latitude and longitude coordinates, vehicle identification and other position information.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6671	Real Estate Appraisals (Not Acted Upon)	This record series documents the formal written estimates of value (appraisals) for real estate property where a local government agency has a possible interest in purchasing, but these appraisals are not acted upon for any number of reasons.
	Access Restrictions	None
	Contents	This record series may contain: Property address and legal description, description of improvements, photos of the property and improvements, 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 value of the buildings on the land, appraisers information (company name, contact information) and related information.
	Retention and Disposition	Retain for one (1) year, then destroy.

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Series	Records Title and Description	Function and Use
L6686	Material Safety Data Sheets (MSDS)	This record series documents and informs employees of hazardous chemicals that are used by the agency. The Occupational Safety and Health Administration sends the data sheets to each respective agency, which is then responsible for making them available to staff. Every employee has the right to know what chemicals he or she is being exposed to, and the possible side effects. In addition, personnel need to know what procedures to take if an accident occurs, to safely dispose of the chemicals or to transport them. It also provides other pertinent information about the chemicals, including flammability rating, boiling point, melting point, solubility in water, appearance and odor, and emergency telephone numbers.
	Access Restrictions	None
	Contents	This record series may contain: Chemical control program policies procedures; name of chemical; chemical properties; hazards; first aid; control methods; special precautions; supplier's name; issue date of sheet.
	Retention and Disposition	Retain for thirty (30) years after issuance of data sheet, then destroy.
L6687	Organizational Charts	This series documents the organizational structure of agencies at various stages of their evolution. Organizational charts generally reflect all administrative units within local 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	This 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 in the agency permanently. Excess copies may be destroyed when no longer needed.
L6688	OSHA Compliance Records	This record series is used to document underlying records and details concerning work-related injuries and illnesses, and all related regulatory reports such as the OSHA Forms 300 (Log of Work Related Injuries and Illnesses), 300A (Summary of Work Related Injuries and Illnesses), and Form 301 (Injury and Illness Incident Report), and the initiating Employee Accident Report. These reports and the entire reporting process, report formats, etc. is dictated by OSHA
	Access Restrictions	None
	Contents	This record series may contain: Standard OSHA Reports 300,300A and 301 and Employee Accident Report. They include case numbers, employee name, job titles, dates of injury, where injury occurred, injury description, injury classification, days away from work, physician or treatment information, and summarizations of this information (excluding person-identification information) for required annual reporting to employees.
	Retention and Disposition	Retain for five (5) years, destroy after audit.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Administrative

Record Group
Number

Series	Records Title and Description	Function and Use
L6709	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.
L6916	Monthly Alcohol Beverage Control (ABC) Regulatory Report	This record series documents and verifies the gross receipts from food sales and alcohol sales in restaurants holding a liquor license. It documents the percentage of alcohol sales in relation to food sales and the amount of taxes to be paid.
	Access Restrictions	None
	Contents	This record series may contain: periodic regulatory report and food and beverage sales reports from restaurants.
	Retention and Disposition	Retain for three (3) years. Destroy after audit.

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Cemetery Records

Record Group
Number

Series	Records Title and Description	Function and Use
L4989	Cemetery Plats, Maps and Register of Deeds	This record series documents the layout of the cemetery including the grave sites, roads, monuments and those plots that have been purchased and those that have not.
	Access Restrictions	None
	Contents	This record series may contain: Name of the purchaser, decedent, date of purchase, amount paid, the number of the lot, the location as to section and row within the cemetery. This also contains those lots that have not been sold.
	Retention and Disposition	Retain permanently.
L4990	Lot Ownership Record (V)	This record series documents the ownership of lots within a cemetery. This record may be in the form of a register or a file and denotes the purchase of certain lots.
	Access Restrictions	None
	Contents	This record series may contain: Copy of the deed, name of owner, lot #, date of purchase, and amount paid.
	Retention and Disposition	Retain permanently.
L4991	Burial Records	This record series documents those persons buried/interred. This record may be in a form of a register or a file.
	Access Restrictions	None
	Contents	This record series may contain: Name of deceased, name of ownership of lot, date buried, and action taken in the burial process.
	Retention and Disposition	Retain permanently.

STATE ARCHIVES AND RECORDS COMMISSION
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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Executive Authority

Record Group
Number

Series	Records Title and Description	Function and Use
L4936	Executive Orders (V)	This record series documents orders issued by executive authority, but not requiring board or commission action and/or approval. Orders are binding upon the officers, employees and any governmental agency over which the authority has jurisdiction. It may also document appointments such as Airport Board and Tourist Commission not required by statute.
	Access Restrictions	None
	Contents	This record series may contain: Title, narrative, date, signatures, recommendations.
	Retention and Disposition	Retain permanently.
L4937	Speeches by Executive Authority	This record series documents topic notes used to give speeches at community, county and/or civic events. Includes reference notes for speeches by the Executive Authority and/or full text of a speeches.
	Access Restrictions	None
	Contents	This record series may contain: Date, narrative and related information.
	Retention and Disposition	Destroy when no longer needed.
L5836	Open Records Act and Open Meetings Act Information File	This record series documents the terms of House Bill 77 which became law in July 2005. Under the bill, the Office of the Attorney General is directed to prepare and distribute to county judge/executives, mayors and school superintendents written information that explains the procedural and substantive provisions of the Open Meetings Act (KRS 61.805 - 850) and the Open Records Act (KRS 61.870 - 884), together with information prepared by the Kentucky Department for Libraries and Archives that explains the proper retention and management of public records. Those officials are required, according to their specific responsibilities, to further distribute this same information to each elected and appointed member of every county and city legislative body, local government board, commission, authority and committee, including boards of special districts located within their jurisdictions and to every school board member and each school council member. County judge executives, mayors and school superintendents are required to secure signatory proof from each of the officials to whom they have distributed the information cited above that those individuals have received this information, and to certify to the Office of the Attorney General that the information has been distributed as required.
	Access Restrictions	None
	Contents	This record series may contain: Certificate of receipt of written documentation signed by each person, a copy of the certificate of distribution of written documentation sent to the Office of the Attorney General, information concerning the Open Meetings Act and the Open Records Act provided for dissemination by the Office of the Attorney General, including the pamphlet Your Duty Under the Law and the information document Managing Government Records.
	Retention and Disposition	Destroy Certificate of Receipt when person leaves the agency. Destroy the Open Records Meeting/Act information material when superseded. Destroy the KDLA records management information material when superseded.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Executive Authority
 Ethics Code Enforcement

Record Group
Number

Records Title	Function and Use
Series and Description	Function and Use
L3139 Code of Ethics (V)	This record series documents compliance with the requirements of KRS 65.003(1)(a)(b) 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) states that the code of ethics ordinance may be amended, but may not be repealed. Additionally, KRS 65.003 (6) states that failure to comply may result in suspension of all services or funds to the governing body by state government.
Access Restrictions	None
Contents	This record series may contain: Standards of conduct, requirements for creation of financial disclosure statements, employment policies, designation of responsibility for ethics code enforcement and instructions for distribution.
Retention and Disposition	Retain permanently.
L3140 Ethics Commission Financial Disclosure Statement File (V)	This record series documents the financial disclosure statements filed annually by all candidates for city, county and/or consolidated local government elective offices per KRS 65.003. The financial disclosure provides information regarding sources of incomes 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 includes 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 (KRS 65.003).
Access Restrictions	None
Contents	This record series may contain: 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 business government creditors owed a predetermined amount.
Retention and Disposition	Retain for two (2) years after termination of office or employment.
L3142 Ethics Commission Advisory Opinions	This record series documents written advisory opinions under local ethics code enforcement jurisdiction pursuant to KRS 65.003 (3)(d). Opinions may be based upon real or hypothetical facts and circumstances, may be initiated by the local ethics code enforcement, or when requested by any officer or employee of the governing body who is covered by the ordinance.
Access Restrictions	None
Contents	This record series may contain: The narrative opinion providing a response to the requestor.
Retention and Disposition	Retain permanently.
L3144 Ethics Commission Orders	This record series documents a formal action (Order) 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 for person(s) to 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 witnesses, and to require a person to cease and desist (KRS 65.003 (3)(d)).
Access Restrictions	None
Contents	This record series may contain: A written narrative outlining a required action to be taken by the recipient.
Retention and Disposition	Retain permanently.

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Executive Authority
 Ethics Code Enforcement

Record Group
Number

Series	Records Title and Description	Function and Use
L3146	Ethics Commission Hearing File (V)	This record series documents the activities of the local ethics code enforcement authority in response to a formal complaint initiated 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, 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 of jurisdiction.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L3147	Ethics Commission Complaint/Investigative File	This record 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 violations, as well as imposing penalties for violations. Each complaint must be in writing and the local ethics 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 (until settled)
	Contents	This record series may contain: Complaint, summary of investigative finds, relative evidence, correspondence.
	Retention and Disposition	Retain for six (6) years, then destroy.
L3148	Ethics Commission Expense File	This record 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	This record series may contain: Travel vouchers, invoices, and receipts.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Accounting

Record Group
Number

Records Title	Function and Use
Series and Description	Function and Use
L4992 Journals (V)	<p>This record series documents daily transactions concerning receipts and disbursements of funds. It is maintained as a tracking instrument for the audit and to know exactly the status of funds involved. This daily activity is recorded and maintained according to account (fund) and with the result being a monthly reconciliation in the ledger of accounts and ultimately and annual compilation of all funds.</p> <p>Open Journal Entries: Includes Revenue, Expense, General, Special Fund, Cash Receipt, Cash Disbursements, Purchase, Payroll, Expenditure Subsidiary Ledger, Revenue Subsidiary Ledger, other subsidiary ledgers, special journals, fee books, day books, cash books and treasurers cash Book .</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Revenue journals, expense journals, general journals, special fund journals, cash receipt journals, cash disbursement journals and payroll journals, Within these they may contain the entry #, date, description, batch #, account, amount, activity, message, invoice #, transaction description, project, debit and credit.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>
L4993 Audit Trail Lists	<p>This record series documents the expenses, receipts, revenue received, vendors, debits and credits on a daily and monthly bases. These reports are used not only as an audit trail, but as a reference while active. These lists may be issued by reference number, batched by transaction, by daily transactions, vendor transactions and debits and credits by transaction. The transactions in these lists will be entered into the appropriate journal and eventually into the ledger.</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Document reference #, journal #, starting date, ending date, posting date, vendor description, debit amount, credit amount and totals.</p> <p>Retention and Disposition Retain for three (3) years, then destroy after audit.</p>
L4994 Funds Ledger (V)	<p>This record series documents fund activity for the year. Usually this record is part of the year to date compilation of monthly reconciliation so the June portion is considered the annual ledger. This documents the annual receipts and disbursements history for the city. This is the final financial statement to the governing body.</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Bank report, detail of fund cash, account balance, statement of cash position, trial balance, detailed trial balance, balance sheet report, revenue report, expense report, financial statement, vendor check register, purchase order by vendor, check report by number, open journal entries by batch and posting activity.</p> <p>Retention and Disposition Retain permanently.</p>
L4995 Trial Balance	<p>This record series documents a listing of debits and credits in each of the open accounts. This is made prior to balancing the accounts at the end of the month.</p> <p>Access Restrictions None</p> <p>Contents This record series may contain: Debits and credits of each account and reconciled amounts, date and time.</p> <p>Retention and Disposition Retain for one (1) year, then destroy.</p>

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Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Accounting

Record Group
Number

Series	Records Title and Description	Function and Use
L4996	Periodic Financial Statements	This record series documents the financial status of the local government for the governing body. These statements are prepared and submitted to the legislative body by the executive authority after the adoption of the budget ordinance. They shall include budgetary comparisons of each governmental fund for which an annual budget has been adopted. Such reports may be submitted monthly or quarterly.
	Access Restrictions	None
	Contents	This record series may contain: Financial balance for each account and the entries that go into calculating those amounts. All transactions are posted.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4997	Asset/Equipment Inventory File	This record series documents assets (equipment, office furniture, autos and other items owned by the local government). It is updated when new items are purchased and when old items are sold or given away. Used to track each item and know its whereabouts and for the annual audit.
	Access Restrictions	None
	Contents	This record series may contain: Name of the asset, a #, description of asset, equipment #, location of asset, purchase date, serial number, purchase order #, acquisition cost, current value and totals.
	Retention and Disposition	Retain for three (3) years after update is completed, then destroy after audit.
L4998	Annual Audit	This record series documents the receipts and expenditures of each fund of the local government and gives its financial condition. A summary of the annual audit is published in the local newspaper. A completed audit and all work papers are presented to the local legislative body for approval. Two copies of the annual audit is sent to the Department for Local Government for information purposes. Usually a copy of an annual audit report which meets statutory requirements shall be considered satisfactory and final in meeting any official request to a local government for financial data. This audit may be conducted by the Auditor of Public Accounts or a certified public accountant.
	Access Restrictions	None
	Contents	This record series may contain: Receipts and expenditures of each fund, whether local, state or federally funded, the date of the audit, the name of the auditor, year of the audit and an opinions to whether the statement of receipts and expenditures presents fairly the financial condition of the city.
	Retention and Disposition	Retain permanently.
L4999	Periodic Audits (Daily, Monthly or Quarterly)	This record series documents daily collection of fees, fines, and taxes collected for issuance of licenses, payroll tax receipts, insurance premiums received, property tax collections, parking ticket fines, etc. Monthly totals are then tallied. The information is then used to reconcile accounts and to verify postings. It basically serves as a daily check-out sheet for the financial section.
	Access Restrictions	None
	Contents	This record series may contain: Date, license #, account #, total amounts paid, name, amount of payroll tax, penalty and interest, date paid, tax bill #, ticket #, license # of vehicle, copies of receipts.
	Retention and Disposition	Retain for one (1) month, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Accounting

Record Group
Number

Series	Records Title and Description	Function and Use
L5000	Accounts Receivable File (V)	This record series documents fee receipts, tax receipts, receipts from parking, park and recreation receipts and any other monies received through daily transactions. These are filed according to fund/account and are maintained to document all income from all sources.
	Access Restrictions	None
	Contents	This record series may contain: Receipts, billing data and supporting documentation.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5001	Banking Records File	This record series documents all banking transactions, including payroll and is maintained to verify the checks written and reconciliation of accounts. It is also used as an audit trail and a reference.
	Access Restrictions	None
	Contents	This record series may contain: Cancelled check and warrants, 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.
L5002	Uniform Financial Information Report (V)	The record series documents the financial status of a county, city, special district or special district from a revenue and expenditure perspective as well as indebtedness. Beginning in the 1990-1991 Fiscal Year, KRS 65.905 required the filing of uniform financial information reports with the Department of Local Government. The Department of Local Government in cooperation with the United States Bureau of the Census developed the report so that a single report would meet the needs of both agencies. In addition, the Department of Local Government is to consult with the Legislative Research Commission and determine an electronic format for providing all reliable data from the report to the Legislative Service Commission. Failure to submit the report shall make the local government ineligible to receive county or municipal road aid money. KRS 65.925 provides that the Department of Local Government file a copy of the report with the County Clerk.
	Access Restrictions	None
	Contents	This record series may contain: Name and address of the city 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.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5003	Charitable Gaming Organization Activity Registration Form	This record series documents the registration of an organization conducting charitable gaming. The organization conducting the gaming activity and receiving the proceeds from the activity shall be a charitable, religious or fraternal society receiving a Federal Internal Revenue Code tax exemption must have had that federal tax-exempt status five years prior to the gaming activity. K.R.S. 528.130 states that charitable gaming shall be a defense to any prosecution under this chapter as long as the organization has registered with the county clerk and fulfilled the requirements of Sections 1-10 of K.R.S. 528.130. The County Clerk receives a fee of five dollars for the registration. The statute provides no information on the length of time for the registration. Accompanying the form will be documentation certifying the tax exempt status of the organization.
	Access Restrictions	None
	Contents	This record series may contain: Name of organization, address, telephone number, type of organization(religious, charitable, fraternal), type of charitable gaming activity, signature of person responsible for registration, date, deputy clerk signature, date, type of filing(initial, quarterly, or termination).
	Retention and Disposition	Retain for five (5) years, then destroy after audit.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Accounting

**Record Group
 Number**

Series	Records Title and Description	Function and Use
L5004	Charitable Gaming Organization Quarterly Accounting Report	This record series documents all moneys received for gaming activities with totals for prizes paid out, all expenses paid, and all moneys retained for charitable purposes. K.R.S. 528.140, Section 3c, requires the submission of this information on a quarterly basis to the County Clerk by the registered organization. The statute is silent as to any fiscal audit of the information submitted.
	Access Restrictions	None
	Contents	This record series may contain: Totals for all moneys received from gaming activity, totals for all prizes paid, totals for all expenses, and totals for moneys retained for charitable purposes.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5011	Accounts Payable File	This record series documents the purchasing and bill paying process. The process is usually started by requisitioning something for purchase. A requisition is issued and this triggers a purchase order for the item or service. This series is used to document the requisitioning, purchasing and remitting process. A file is maintained with this purchase order and when a bill for the purchase is received it is placed in the same file and is paid.
	Access Restrictions	None
	Contents	May include list of claims, claims, claim stub book, requisition, purchase order, vendor invoice, receipts, travel requests, voucher copies, check copies, receiving orders, receiving reports, cash receipt register, treasurers receipt book and supporting documents.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5366	Sales Tax Report	This record series documents Kentucky sales tax received and is sent to the Department of Revenue monthly. Local governments may receive sales tax through the parks and recreation system and other public areas. Usually local governments are exempt.
	Access Restrictions	None
	Contents	This record series may contain: Name, address, phone, amount of sales for tax purposes, amount of sales tax received and totals.
	Retention and Disposition	Retain for three (3) years then, destroy after audit.
L6672	Transient Room Tax Report	This record series documents the Transient Room Tax Monthly Report mandated by KRS 142.400. This is a one percent tax of the rent on every occupancy of certain lodging. Tax receipts from this tax are deposited into the Tourism, Meeting and Convention Marketing Fund administered by the Commerce Cabinet. The purpose of this fund is for marketing and promoting tourism statewide. This is a different tax than that of similar local tax levies which promote local tourism and local convention activities.
	Access Restrictions	None
	Contents	This record series may contain: DOR form 73A850 and related information.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Budget

**Record Group
 Number**

Series	Records Title and Description	Function and Use
L5005	Budget Draft/Proposal (V)	This record series documents 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	This record series may contain: Each fund & department's proposed budget, agency request, executive recommendations, three (3) previous years' expenses, current year expenses, estimated expenses for current year.
	Retention and Disposition	Destroy at the end of the current fiscal year and audit.
L5006	Budget Work Papers (V)	This record 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	This record series may contain: Correspondence, working budget requests, computations, previous budget totals.
	Retention and Disposition	Destroy at the end of the current fiscal year and audit.
L5007	Annual Approved 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 may contain: Projected revenues and expenditures for each agency, date, narrative, reconciliation and signature.
	Retention and Disposition	Retain one (1) copy permanently.

STATE ARCHIVES AND RECORDS COMMISSION
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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Debt Service

Record Group
Number

Series	Records Title and Description	Function and Use
L5008	Bond Record File (V)	This record series documents each bond series 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.
	Access Restrictions	None
	Contents	This record series may contain: 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 and the certificate of disposal. IRS compliance and reporting documents related to funding, proceeds investments, purchase/sale of securities, investment income, investment contracts, rebate calculations; copies of invoices, construction contracts, cancelled checks, draw releases, etc.
	Retention and Disposition	Destroy IRS supporting, compliance and reporting records three (3) years after maturity of bond series. Retain all other relevant records permanently.
L5009	Cancelled Bonds and Coupons	This record series documents that the bond coupons have matured and have been presented for payment. The coupons are cancelled by the bank or financial institution when paid. Cancelled bonds and coupons are received along with a bank statement. After the bond issue has been completed with all payments paid the bond is cancelled as well.
	Access Restrictions	None
	Contents	This record series may contain: Issuer, purpose, amount, interest rate, trustee, date of issue, payable date, description, certification, the coupon statement, date number and amount.
	Retention and Disposition	Retain for three (3) years after maturity and audit, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Financial
 Grants Administration

Record Group
Number

Series	Records Title and Description	Function and Use
L5010	Grant Administration File (V)	This record series documents different grant projects that may be administered through the Department for Local Government (including those administered through the Joint Funding Administration Program, the Community Development Block Grants), special grants such as those for disasters through FEMA and other state grants given by agencies within state government. These include grants for records management, community development, public safety (law enforcement, fire & ems), housing, senior citizen centers, public works, parks and other local government functions.
	Access Restrictions	None
	Contents	This record series may contain: Application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.
	Retention and Disposition	Retain for three (3) years after submission of the final report and audit, then destroy.

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Record Group
Number

Series	Records Title and Description	Function and Use
L5012	Voucher Register	This record series documents the issuance of a voucher for the purpose of issuing a payment for a purchase. The voucher is the authorization to pay.
	Access Restrictions	None
	Contents	This record series may contain: Date, voucher #, purchase order #, invoice #, and amount.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5013	Purchase Order/Requisition Reference and Tracking Instruments	This record series documents the issuance of purchase order numbers when a requisition is received. This is an easy tracking system for the life of the purchase order. This record series is used primarily for the tracking and referencing of the purchase orders. These instruments are also used to document those purchase orders that have not been paid and the status of the purchase order at any particular time. May include the Purchase Order Log, Requisition Log, Purchase Order Activity Report, Purchase Order Status Report and other reference material related to the tracking of the fiscal history of a purchase order whether active or inactive.
	Access Restrictions	None
	Contents	This record series may contain: Purchase order #, date of issuance, date or report, name of requesting agency or department, vendor #, vendor name, amount of each p.o., total amount, description of purchase, activity of the purchase order.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5014	Contracts and Agreements (V)	This record series documents the terms by which items and/or services were purchased and the responsibilities of each party.
	Access Restrictions	None
	Contents	This record series may contain: Names of the parties involved, date issued, terms, expiration date, signatures and date signed.
	Retention and Disposition	Retain for fifteen (15) years after completion or termination and audit (KRS 413.090), then destroy.
L5015	Bid Files - Successful (V)	This record series documents the bidding process for those who successfully bid to provide either goods or services to the local government. The bidding process documented in these files includes everything from the invitation to bid to the issuance of a purchase order.
	Access Restrictions	None
	Contents	This record series may contain: Invitation to bid, specifications, notice of award, bid proposal, list of bidders, notice to bidders, draft copies of contracts/agreements, pre-construction information, copies of minutes of meetings by department heads and the executive, bid sheets of bidders, administrative orders, bid recommendations, copy of advertisement, copy of ordinances and resolutions, correspondence and purchase order(copy).
	Retention and Disposition	Retain for three (3) years after specifications are met or completion of contract or agreement and audit, then destroy.

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Series	Records Title and Description	Function and Use
L5016	Bid File - Unsuccessful	This record series documents those bids by vendors which were unsuccessful. This includes the invitation to bid, the specifications and the bid submitted by the vendor.
	Access Restrictions	None
	Contents	This record series may contain: Invitation to bid, bid specifications, vendor bid, notice of rejection, recommendations and correspondence.
	Retention and Disposition	Retain for one (1) year, then destroy after audit.
L5017	List of Bidders	This record series documents the reference to see who has bid on specific projects and as a tool for the future bidding process.
	Access Restrictions	None
	Contents	This record series may contain: Name of bidder, project description, date and whether successful or unsuccessful.
	Retention and Disposition	Retain for two (2) years, then destroy.

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Records Title	Function and Use
Series and Description	Function and Use
L4938 Official Minutes (V)	This record series documents minutes of actions taken by any public agency as required by KRS 61.835, 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. These are minutes of the legislative body of local governments. The legislative bodies include, but are not limited to: city councils, city commissions, boards of council, board of alderman and county fiscal courts.
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.
L4939 Index to Official Minutes (V)	This record series documents the finding aid (index) for Official Minutes.
Access Restrictions	None
Contents	This record series may contain: Subject, cross reference, book number, page number, date of meeting.
Retention and Disposition	Retain permanently.
L4940 Audio/Video Recordings of Official Meetings	This record 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	This record series may contain: Audio/video recording of proceedings.
Retention and Disposition	Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. Note: If minutes are challenged, recordings should be retained until resolution.
L4941 Ordinances (V)	This record series documents an official action of city and county legislative bodies, 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 may contain: 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.

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Series	Records Title and Description	Function and Use
L4942	Index to Ordinances	This record series documents the finding aid (index) 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: Subject of the ordinance, # of ordinance, name of ordinance, date passed, and where found.
	Retention and Disposition	Retain permanently.
L4943	References to Ordinances	This record series documents 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: Ordinance number, abstract of the ordinance, date passed.
	Retention and Disposition	Retain permanently.
L4944	Publication of Legal Notices (V)	This record series documents that a notice has been advertised by a city, county, district or other local area in a qualified newspaper with circulation/office in the area for the purpose of gathering news and soliciting advertisements and 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.
	Access Restrictions	None
	Contents	This record series may contain: 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 advertisement 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.
	Retention and Disposition	Retain permanently.
L4945	Resolutions/Orders (V)	This record 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	This record series may contain: Order number, title, narrative, supporting documents, effective date, reading date(s), mayor's signature, city clerk certification
	Retention and Disposition	Retain permanently.

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Record Group
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Series	Records Title and Description	Function and Use
L4946	Index to Resolutions/Orders Access Restrictions Contents Retention and Disposition	This record series documents the finding aid (index) for the resolutions or orders issued by the legislative body. It is used in accessing the resolution or order file and book. None This record series may contain: Number of the resolution/order, date passed, subject and abstract. Retain permanently.
L4947	Code of Ordinances/Composite Index of Ordinances (V) Access Restrictions Contents Retention and Disposition	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. A composite index is a loose-leaf compilation of all ordinances listed by date of passage, arranged by subject matter of the contents and indexed alphabetically. None This record series may contain: Text of the ordinances, index by subject, date of passage, indexed alphabetical. Retain permanently.
L4948	Proclamations Access Restrictions Contents Retention and Disposition	This record 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. None This record series may contain: Date, narrative of proclamation, signatures. Retain permanently.
L4949	Legislation Preparation Work Papers Access Restrictions Contents Retention and Disposition	This record series documents correspondence to legislators and/or local government organizations (League of Cities, County Judge/Executive Assoc., County Clerk Assoc. and Kentucky Association of Counties) for lobbying on changes needed in legislation or proposing new legislation. None This record series may contain: Correspondence, supporting documentation. Destroy when no longer useful.
L4950	Annual Report/Annual Report to the Legislative Body (V) Access Restrictions Contents Retention and Disposition	This record series documents activities and progress of each department within the local government on an annual basis. Each department is required to compile an annual report that is submitted to the legislative body and is recorded formally in the official minutes. None This record series may contain: Annual compilation of department activities and statistics, cover letter. Retain permanently.

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Series	Records Title and Description	Function and Use
L4951	Annual Reports from Departments, Agencies or Offices (V)	This record series documents the administrative and fiscal history of each department, office or agency within the local government for the business year. These may be presented to the legislative body as the annual report.
	Access Restrictions	None
	Contents	This record series may contain: Annual compilation of department activities and statistics.
	Retention and Disposition	Retain permanently.
L4952	Periodic Reports to Governing Body	This record series documents monthly and/or quarterly administrative and/or economic activity for each department, agency or office. Also included in this are special studies done by committees appointed by the legislative body. The information may then be summarized on a yearly basis. These also become a part of the minutes.
	Access Restrictions	None
	Contents	This record series may contain: Date, narrative, statistics, signature of department head, cover letter.
	Retention and Disposition	Retain for three (3) years, then destroy.
L4953	Meetings Notices/Agendas	This record series documents that members and other interested parties have been notified and sent what items would be addressed at a meeting of the legislative body.
	Access Restrictions	None
	Contents	This record series may contain: Date and time and the subjects to be addressed.
	Retention and Disposition	Retain for one (1) year, then destroy.

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Parks & Recreation

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Series	Records Title and Description	Function and Use
L4986	Departmental Loss/Incident Reports	This record series documents 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	None
	Contents	This record 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.
L4987	Accident Reports-Public (V)	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Correspondence, accident form, supporting documents.
	Retention and Disposition	For adults, destroy one (1) year after accident. For juveniles, destroy one (1) year after reaching eighteen (18) years of age.
L4988	Release of Liability by Participant	This record series documents 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	None
	Contents	This record series may contain: 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.
L5831	Facilities Rental Agreement (Reservation)	This record series documents the rental of parks and recreation facilities. These facilities are reserved for specific times during the year. This may be for buildings, ball fields, swimming pools etc.
	Access Restrictions	None
	Contents	This record series may contain: Name of renter, date, phone number, dates rented, facility, type of activity, and any compensation.
	Retention and Disposition	Retain for two (2) years, then destroy.

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Record Group
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Series	Records Title and Description	Function and Use
L5020	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 may contain: 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.
L5022	Time and Attendance Record File (V)	This record series documents the official time worked by employees during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees. May include the Payroll Sheet, Time Sheet, Time Card and Daily Attendance Report. Begins the payroll process for each pay period.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L5023	Individual Payroll Authority File (V)	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: W-4, K-4, date of employment, position, pay rate, 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 for three (3) years after termination of employment or three (3) years after superseded and audit, then destroy.
L5024	Wage and Tax Statements/W-2 (V)	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.

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Series	Records Title and Description	Function and Use
L5025	Tax Payment Report Worksheet	This record series documents authorization of the payment of all federal withholding from the bank. The payment is 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L5026	Employee Direct Deposit Authorization	This record series documents an employee's authorization for direct deposit of their paycheck in the bank by the local government agency.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L5027	Transmittal Register of Direct Deposits	This record series documents that 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 may contain: 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.
L5028	Annual Return of Withheld Federal Income Tax (Form 945)	This record series documents income tax withheld from non-payroll 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 record series may contain: 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.

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Records Title Series and Description	Function and Use
L5029 Form 1099	This record series documents 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 license 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 city clerk/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	This record series may contain: 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, non-employee compensation, substitute payments in lieu of dividends or interest, payee made direct sales of \$5,000 or more of consumer products t 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.
L5030 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 Kentucky Revenue Cabinet and a check with the total amount due is attached to the return. This return provides a grand total for all employees, but does not list individual employee names and individual withholding amounts.
Access Restrictions	None
Contents	This record series may contain: 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.
L5031 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, and the return has the December withholding check attached to it.
Access Restrictions	None
Contents	This record series may contain: 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.

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Series	Records Title and Description	Function and Use
L5032	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 may contain: 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.
L5033	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 larger 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 may contain: 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.
L5764	Leave Requests	This record series documents requests for leave by local government employees. This information may be forwarded to the payroll section which will use it to compile attendance.
	Access Restrictions	None
	Contents	This record series may contain: Name of applicant, agency, 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.
L5797	Payroll Register - Year End (V)	This record series documents the earnings and withholdings of employees from pay period to pay period and is a year to date accumulation of the payroll. The final pay period is considered to be the master earning record of all employees.
	Access Restrictions	None
	Contents	This record series may contain: Run date, name of employee, directory information, gross pay, net pay, withholdings, rate of pay, each pay period with year to date totals, total deductions.
	Retention and Disposition	Retain for seventy (70) years from date first employed, then destroy.

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Series	Records Title and Description	Function and Use
L5798	Payroll Register - Pay Period (V)	This record series documents the earnings and withholdings of employees for each pay period. This is used to compile the year end Payroll Register.
	Access Restrictions	None
	Contents	This record series may contain: Run date, name of employee, gross pay, withholdings, rate of pay, year to date totals, total deductions and payroll vouchers.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5803	Family and Medical Leave Record File (V)	This record series documents 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: 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.
L5804	Disability Leave Files (V)	This record series documents 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: 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.
L5805	New Hire Report	This record series documents any employees that are newly hired, rehired, or who return to work after a separation of employment. This is 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.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain: Employee's name, address, SS#, employer's name, payroll address, federal id #, date of hire, date of birth, and other information.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5870	Benefits File (V)	This record series documents the benefits offered by a local government agency 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: Application, benefits offered, copies of benefit changes and employee information.
	Retention and Disposition	Destroy three (3) years after termination of employment.

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LOCAL GOVERNMENTS
 Payroll

Record Group
Number

Series	Records Title and Description	Function and Use
L6886	W-9 Form (Request for Taxpayer Identification Number (TIN) and Certification)	This record series is used to provide the correct Taxpayer Identification Number(TIN) to the person who is required to file an information return with the IRS to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain, name, business name, address, account numbers, TIN, certification, social security number, employer id number, and requester's name and address.
	Retention and Disposition	Retain for four (4) years. Destroy after audit.

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LOCAL GOVERNMENTS
 Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L4926	Employee Grievance File	This record series documents 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: Written complaint, conference summary, administrative decision, date, name, address, job title, investigative documents, exhibits, related correspondence, withdrawal notices and decisions.
	Retention and Disposition	Retain for three (3) years after resolution. Duplicate files may be destroyed after resolution.
L5034	Personnel File (V)	This record series documents an individual's employment history with a local government. It is the master file and the primary source of their employment history. This file should document all the employment history which is deemed significant in determining job performance.
	Access Restrictions	KRS 61.878 (1)(a) Exceptions include, but are not limited to, an employee's resume, test score(s), social security number, transcript(s), military record, home address and phone number(s).
	Contents	This record series may contain: Application, resume, criminal background checks; positions held, job descriptions; term of employment; letters of intent and resignation; education and experience verification; copies of immigration forms, W-4, birth certificate, and driver's license; Social Security number; complaints and disciplinary action; attendance and leave records; insurance records; copies of contracts; worker's compensation; general correspondence and memos; commendations; addresses; policy and procedure acknowledgements; pension reports; and evaluations.
	Retention and Disposition	DESTROY THE FOLLOWING SIXTY (60) YEARS FROM DATE OF HIRE: 1) Applications for positions 2) Name 3) Last known address 4) Social security number 5) Letters of resignation 6) Starting and ending dates of employment 7) Retirement information 8) Verification of positions held 9) Disciplinary actions 10) Job descriptions. DESTROY FIVE (5) YEARS AFTER TERMINATION OF EMPLOYMENT: 1) Employee evaluations 2) Letters of intent 3) Policies/procedures acknowledgement 4) Health/life insurance membership 5) W-4 6) Copies of contracts 7) Leave records 8) Criminal background checks 9) Experience verification forms 10) Copies of driver license and birth certificates 11) Resumes 12) General correspondence/memos 13) Complaints 14) Commendations.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L5035	Personnel Medical File	This record series documents the physical condition of an employee when first hired and for subsequent medical requirements completed by a physician, nurse, other health care person or technician Used to document physicals and 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Medical and employment questionnaires or histories (including job description and occupational exposures), results of medical exams and lab tests (including chest and other x-ray exams taken for the purposes of establishing a baseline or detecting occupational illness, and all biological monitoring not defined as an "employee exposure record". Included are medical opinions, diagnoses, progress notes and recommendations, descriptions of treatments and prescriptions and employee medical complaints.
	Retention and Disposition	Destroy thirty (30) years after termination of employment With the following exceptions: A. Health insurance claims maintained separately *Destroy three (3) years after termination of employment B. First aid records of one time treatment which is completed by a person who is not a physician, nurse, or other health care personnel. These do not include health histories and are for minor scratches, cuts, burns, and the like. *Destroy three (3) years after termination of employment C. Employees who have worked less than one (1) year and their medical records are returned to them upon termination of employment. *Return the medical records to the employee upon termination. If copies are provided, destroy the originals upon employee termination.
L5036	Personnel Training Program File	This record series documents 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Employee agreement, grades, certificates of completion, and requests and approval for training.
	Retention and Disposition	Destroy three (3) years from the date of the making of the record or after all litigation is resolved, whichever is longest (29 CFR 1602.30-31).
L5037	Hiring Procedures File	This record series documents 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.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series may contain: Name of person , address, social security #, previous employer, reference confirmation, test scores, hiring information.
	Retention and Disposition	Destroy three (3) years from the date of the making of the record or after litigation resolved, whichever is longest (29 CFR 1602.30-31).

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LOCAL GOVERNMENTS
 Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L5038	Applications - Persons Not Hired	This record series documents those applicants who have applied for positions, but are 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 may contain: 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	Destroy after two (2) years or after close of litigation whichever is longest.
L5039	Civil Service Exam File	This record series documents 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 may contain: List of applicants, applications, resumes, test, eligibility list, results, tear sheets and related correspondence.
	Retention and Disposition	Destroy three (3) years from the date of the making of the record or litigation resolved, whichever is longest (29 CFR 1602.30-31).
L5040	Workers' Compensation File (V)	This record series documents 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 may contain: Injury report, medical determinations, log of injuries and claim to the insurance company.
	Retention and Disposition	Retain 5 years. Destroy after all claims settled.
L5041	Position Classification Documents File (V)	This record series documents 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 may contain: Title of each job classification, qualifications, minimum requirements, educational requirements, type of testing needed and certifications requested.
	Retention and Disposition	Maintain one (1) copy of each position classification permanently. Destroy excess copies when updated or superseded.
L5822	Volunteer Participation File	This record series documents those who participate as volunteers for agencies. These records are maintained as a reference and to verify that a person has worked as a volunteer.
	Access Restrictions	None
	Contents	This record series may contain: Application, names of volunteers, addresses, directory information, program volunteering for, time and attendance records, registers, sign-in sheets and activity information.
	Retention and Disposition	Retain for five (5) years, then destroy.

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LOCAL GOVERNMENTS
 Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L5826	Personnel Hazardous Materials Exposure File	This record series documents local government agency personnel exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions. Paragraph (d)(1)(ii) of 29 CFR 1910.1020 states that "Each employee exposure record shall be preserved and maintained for at least thirty(30) years".
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Name of employee, date of exposure, amount, time, type of exposure and actions taken.
	Retention and Disposition	Destroy thirty (30) years from date of each exposure.
L6289	Polygraph Examination File (Pre-Employment)	This record series documents the administration of a polygraph test to applicants for positions in any local government (county, city, special districts or agency). These positions would include police, fire, social agencies and others.
	Access Restrictions	KRS 15.400(3) Confidentiality applies only to peace officers.
	Contents	This record series may contain: Application, personal directory information, evaluation questions, medical statements, consents, polygraph questions and screening report.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6384	Unemployment Insurance Claim File	This record series documents those claims made by local government's 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 the 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: 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 three (3) years after case closed, then destroy after audit.
L6679	Personnel Driving Records Check	This record series documents personnel driving records checks. These checks are generally made annually for those employees who drive local government vehicles. These checks are used to ensure that employees have valid driver licenses and are used to monitor driving behavior. If a records check warrants disciplinary action, then this record is transferred to the employee master personnel file (L5034).
	Access Restrictions	None
	Contents	This record series may contain: Employee name, DL number, citations and related information.
	Retention and Disposition	Retain for one (1) year or until superseded whichever is longest, then destroy. If used for disciplinary action, transfer to Personnel File L5034.

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LOCAL GOVERNMENTS
Personnel

Record Group
Number

Series	Records Title and Description	Function and Use
L6887	Employee Disciplinary File (V)	This record series documents possible discipline of local agency employees. This record series may also be filed in the employee's personnel file. Based upon personnel policies and procedures, discipline may be a verbal reprimand, written reprimand, suspension without pay, demotion, criminal action or termination.
	Access Restrictions	None
	Contents	This record series may contain the complaint, possible personnel actions, background information, investigation information, any actions taken and parties involved.
	Retention and Disposition	Retain 60 years from first date of hire. The destroy.

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LOCAL GOVERNMENTS
 Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L4974	Comprehensive Plan and Adjustments	This record series documents 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	This record series may contain: Introduction, Base Study, Issue Analysis, Goals & Objectives, Land Use Plan, Transportation Plan, Community Facilities Plan, Implementation.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when no longer needed.
L4975	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	This record series may contain: Definitions, purpose statements, subdivision classes, requirements for plat submission, design standards, physical improvements, general provisions.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when no longer needed.
L4976	Site Development Plan File (Acted Upon) (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 have been adequately met within the submitted plan. After the project is completed, this information is used as reference and/or for historical purposes.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L4977	Master Map (V)	This record series documents the zoning designation for all areas within a zoning board or commission's jurisdiction. It also provides the geographic dimensions of each particular zone.
	Access Restrictions	None
	Contents	This record series may contain: Date, legend, zone specifications, geographic detail of each zone.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when no longer needed.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L4978	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 record series may contain: Preliminary maps, plats, plans and drawings, final zoning of distinct areas within the city, date, names and areas.
	Retention and Disposition	Retain permanently.
L4979	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	This record series may contain: Photographic evidence, documentation of notices and orders, court order.
	Retention and Disposition	Retain permanently.
L4980	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	This record series may contain: Owner name, address, telephone #, agent name, address, telephone #, engineer name, p.e. 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.
L4981	Storm Water Permit File (V)	This record series documents the requirements of federal law 40 CFR Part 122 which prohibits point source discharges of storm water 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 five (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	This record series may contain: Notice of Intent, Erosion Control Plan, Notice of Termination, and supporting documents.
	Retention and Disposition	Retain permanently.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L4982	Building Permits	This record series documents application by a property owner to build and/or alter a building on property. It is used to insure compliance with established requirements of the regulatory agency within city government. 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	This record series may contain: Date, permit number, property owner name, description of building to be constructed or changes made to existing building, electrical demolition, zoning requirements.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4983	Building Permit Monthly Report	This record series documents the total number of building permits issued and the fees associated with them on a monthly basis.
	Access Restrictions	None
	Contents	This record series may contain: Date, name of person requesting permit, the amount charged.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4984	Street Cut Permits	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.
	Access Restrictions	None
	Contents	This record series may contain: Date, plumber or company name, property owner name, location of property, explanation of project, deposit notation.
	Retention and Disposition	Destroy when no longer needed.
L4985	Variances, Exceptions, Waivers and Permits - Duplicates	This record series documents requests for alternative land use other than those listed in existing zoning regulations. Each case is recorded in the Official Minutes of the Board of Adjustment. These are copies and are used as references.
	Access Restrictions	None
	Contents	This record series may contain: Date, specific details of variance, exception, and/or waiver, signatures, details of disposition.
	Retention and Disposition	Destroy when no longer needed.
L5083	Residential Building Plans/File	This record series documents the planning and construction of a residential facility. 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	This record series may 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.
	Retention and Disposition	Destroy one (1) year after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.

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LOCAL GOVERNMENTS
 Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L5084	Commercial Building Plans/File	This record series documents the planning and construction of a commercial facility. The agency will keep the plans to allow the owner easy access to them in the event that problems arise involving the facility. 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: Building plans; Plat plan; Zoning approval; Worker's Comp coverage agreement. Files may contain: a Checklist of Plan Review; sewage permits; deck specification sheets; record of possible deficiencies; record of plan approval; related correspondence.
	Retention and Disposition	Destroy two (2) years after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.
L5360	Certificate of Occupancy	This record series documents 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: Name of inspector, date of inspection, address of building, description of property, name of contractor, name of owner and results of inspection.
	Retention and Disposition	Destroy when structure is destroyed.
L5361	Inspection Reports	This record series documents 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: 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.
L5362	Violation File - Zoning, Building & Housing	This record series documents 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: 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	Destroy when violation is corrected or litigation is completed.

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LOCAL GOVERNMENTS
Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L5363	Violation File - Weed, Rubbish, Junk Car & Sidewalk	This record series documents 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: 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 for five (5) years after last complaint, then destroy.
L5842	Client Files (Tenant Files)	This record series documents 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Name of client, address, correspondence, medical statement, confidentiality statement, social security number, banking information, land ownership documentation.
	Retention and Disposition	Retain for four (4) years, then destroy.
L5843	Client Index (Tenant Index) (V)	This record series documents a finding aid (index) 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Name of the client, address, social security number, location in file, type of service, list of visits, intake data, income.
	Retention and Disposition	Delete client name when client file is destroyed.
L6663	Site Development Plan File (Not Acted Upon) (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. These are files where the development was approved, but never acted upon.
	Access Restrictions	None
	Contents	This record series may contain: Date, name of developer or development company name and address, architectural or engineering drawings and plans, other required plan information.
	Retention and Disposition	Retain for two (2) years, then destroy.

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LOCAL GOVERNMENTS
 Planning & Zoning/Building & Housing

Record Group
Number

Series	Records Title and Description	Function and Use
L6897	Sign Permit File	This record series documents the application and approval of signs. Local governments regulate signs and sign structures through local codes and ordinances and this series documents the application and approval process.
	Access Restrictions	None
	Contents	This record series may contain: Application, plans/design specifics, inspections and related information.
	Retention and Disposition	Retain for two (2) years after sign/structure ceases to exist, then destroy.

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LOCAL GOVERNMENTS
Public Safety
911

Record Group
Number

Series	Records Title and Description	Function and Use
L5223	Dispatch Recordings - (May be transmitted by radio or phone and recorded on rewritable CDs or tapes.)	This record series documents all 911 related calls whether made by phone or by radio. These may include calls from individuals, police officers, EMS, or firemen. These are recorded automatically as the call comes in to the agency. Also the system will write over tape or CD at the appropriate time - 30 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Time, date, name of person calling and subjects covered.
	Retention and Disposition	Destroy or reuse in thirty (30) days if there is no investigation relating to information on the recording. If being used in an investigation, maintain until the resolution of the case, then destroy or reuse.
L5224	Dispatch Record - (Maybe transmitted by radio or phone)	This series documents all dispatches that come into the agency. In most agencies, a written record will only be used as a backup to the Dispatch Recordings. In most instances, this information will be put into a database for tracking and analysis.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Unit assigned, backup, location, incident, complaint, address, phone, incident code, census tract, dispatcher, received, dispatched, arrived, left.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5225	Daily Logs	This record series documents all calls received from individuals relating to emergency situations. The log is produced on a daily basis and is completed at the end of every shift.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Name of caller, telephone number, if dispatch was made, unit dispatched, type call, person handling the call
	Retention and Disposition	Destroy when Dispatch Recordings are destroyed.
L5226	Error Log	This record series documents system errors on logs per day relating to 911 calls. The errors may include an individual not logging on time, information not received over the phone system for some reason, etc. When an error occurs, the system notifies the user by posting a message (EX: unknown host). The user then fixes the problem.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Notice presented to user, date and time, type error.
	Retention and Disposition	Destroy when Dispatch Recordings are destroyed.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
Public Safety
911

Record Group
Number

Series	Records Title and Description	Function and Use
L5227	Informational Recordings	This record series documents any/all entries made into the computer system. It records telephone numbers and the matching name/address for the number, in the event of a missed call or other problems causing disconnection of the call after answered. The employee can then return the call to check on the situation.
	Access Restrictions	None
	Contents	This record series may contain: Date and time of call, telephone number, name of person (s) or business as listed by telephone company, address of phone listing.
	Retention and Disposition	Destroy when Dispatch Recordings are destroyed.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Animal Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6302	Pet Cremation Services Form	This record series documents pet crematory services provided to the public. Fees for the service may be determined by the pet's weight and once completed the owner will have a determined length of time in which to pick up the pet's remains. This record series may document payment of monies by owner for the service.
	Access Restrictions	None
	Contents	This record series may contain: Owner's name, address and phone #; Pet's name, type of animal, breed, age color, weight and crematory tag #; rate charged by weight; signatures of owner and animal services staff; date; amount paid.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L6303	Pet Placement Form	This record series documents the placement of animals in new homes. The applications are used to screen potential pet owners, and animal services reserves the right to refuse any application. The applications are also used to help ensure that potential pet owners will follow the appropriate ordinances. There is little follow-up once the animal is adopted.
	Access Restrictions	None
	Contents	This record series may contain: May contain: Date of application; applicant's/rescue organization's name and contact information; survey information on applicant; adoption waiver; type and breed/description of animal.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6304	Kennel/Cattery Permit File	This record series documents the issuance of kennel or cattery permits and inspections of those kennels or catteries. Organizations are inspected, and permits issued, annually.
	Access Restrictions	None
	Contents	This record series may contain: File includes permit application, a copy of the permit and the annual inspection.
	Retention and Disposition	Retain for one (1) year after expiration, then destroy.
L6305	Animal Trap Log	This record series documents the rental of animal traps by private citizens from a local government animal services. The individual borrowing the trap may have to leave a deposit and assumes responsibility for it and must notify the local agency when an animal is caught in the trap. The local agency may be authorized to enter the citizen's property to remove the trap and/or the animal.
	Access Restrictions	None
	Contents	This record series may contain: Citizen's name and address; date of deposit and date of return; date actually returned and by whom.
	Retention and Disposition	Retain for two (2) years, then destroy.

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LOCAL GOVERNMENTS
 Public Safety
 Animal Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6306	Officer Run File	This record series documents when a local animal services officer is dispatched to a property in the event of a stray animal, or if they come upon an animal or incident, the officer fills out a run card and a run sheet detailing the nature of the complaint and its results. The card contains a more detailed account of the incident than the run sheet and is filled out at the time the officer handles the incident.
	Access Restrictions	None
	Contents	This record series may contain: Owner name, phone # and address; cross street; nature of complaint; date and time of call; officer's name; results of case; complainant's name, phone # and address.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6307	Redemption/Adoption File	This record series documents the retrieval and adoption of animals from the local animal services facility. It may take the form of a card, one side of which registers redemptions of animals (by their owners), the other of which documents the adoption of animals by non-owners. If an animal is retrieved or adopted it is documented that all fees have been paid. This information is kept by the local animal services agency.
	Access Restrictions	None
	Contents	This record series may contain: Date; Individual's name, contact information; type of animal desired redeemed/adopted; fees paid.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6308	Animal Bite Report	This record series documents incidents of animal bites that occur in the community. If the local animal services officer is called to a scene and there is a bite victim, the officer may fill out an report as documentation of the incident. This may be cause for a possible quarantine. This information remains the most detailed account of the original incident.
	Access Restrictions	None
	Contents	This record series may contain: Card #; Pen #; Tag #; Quarantine card #; Officer; date; owner's name and contact info; animal information and quarantine history; nature of the incident; victim's name and contact information; nature of and activity surrounding the injury.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6309	Owner Turn-In File	This record series documents the relinquishing of ownership rights from an animal's owner to the local animal services agency. The owner brings the animal to the agency and fills out the card documenting that he has turned the animal over to the agency. The animal may be kept for a period of time or euthanized.
	Access Restrictions	None
	Contents	This record series may contain: Owner's name and contact information; Animal Services employee information; animal information (name, age, breed, size, etc.); animal ID information; 3rd party interest information; final disposition.
	Retention and Disposition	Retain for one (1) year, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Animal Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6310	Stray Turn-in File	This record series documents the relinquishing of rights from an individual turning in a stray animal to the local animal services agency. The individual (not the owner) brings the animal to the agency and supplies information documenting that he has turned the animal over to the agency. The agency will keep the animal for a period of time and if not adopted will be euthanized.
	Access Restrictions	None
	Contents	This record series may contain: Owner name/address if known; location where animal was found; name and contact information of individual turning in animal; animal information and ID information; 3rd party interest information; disposition.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6311	Impoundment/Confiscation File	This record series documents the impoundment of animals in the event of a legal case brought against the owner. The local animal services agency may retrieve the animal in the event that charges are filed against the owner.
	Access Restrictions	None
	Contents	This record series may contain: Location of removal; defendant's name; officer's name; violations; court dates; evidence; animal information; 3rd party interest; disposition.
	Retention and Disposition	Retain for one (1) year after resolution of legal case, then destroy.
L6312	Quarantine Information File (Includes Log)	This record series documents the retrieval and quarantine of animals that have been involved in biting incidents. In the event of a biting incident, an animal control officer may be sent to pick up the animal and get information which may result in a quarantine being issued. The quarantine information may be attached to the animal's cage and also on file in the agency.
	Access Restrictions	None
	Contents	This record series may contain: Date of incident; date received; time; animal identification and holding information; officer name; victim information; owner information; animal rabies and license tag #; veterinarian name; nature and date of disposition LOG: same as above; animal's DOB.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6313	Misdemeanor Notice	This record series documents misdemeanor violations involving owners of animals. Potential offenses include out-of-date license or rabies tags; substandard veterinary care or grooming; or failure to control an animal. An offender may have to pay a violation fee.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain: Offender name and contact information; ID type/state/number; SSN; DOB; gender; race; description of violation; violation date, time and code; compliance date and time; officer name and badge no.; total fees due; signature of offender.
	Retention and Disposition	Retain for three (3) years, then destroy.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Animal Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6314	Stray Animal I.D. Tag Information File	This record series documents tag information found on stray animals retrieved by animal services personnel. Information is collected by the retrieving officer and the information is entered into a lost pet information Log or data base. The agency may keep an animal a period of time and if not adopted euthanized.
	Access Restrictions	None
	Contents	This record series may contain:: Officers name, time, date, place where found, description of animal and other information as needed.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6315	Officer's Daily Report	This record series documents that an animal control officer is dispatched to a property in the event of a stray animal, or if they come upon an animal or incident, the officer collects information detailing the nature of the complaint and its results. The daily report contains a less detailed account of the incident than the initial information and is a summary of the day's activities.
	Access Restrictions	None
	Contents	This record series may contain: Date; vehicle #; patrol area; officers names; mileage information; location; on or off air; incident code; comments and results.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6316	Dispatch Log	This record series documents dispatches of animal control officers to on-site complaints. When they are dispatched, the dispatcher creates a log with basic information regarding the dispatch. Dispatches may be on air or off air.
	Access Restrictions	None
	Contents	This record series may contain: Name of the office, Location; and time.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6317	Dispatcher's Run Card	This record series documents dispatches of animal control officers to on-site complaints. When dispatched the officers creates a record with basic information regarding the dispatch. Dispatches may be on air or off air.
	Access Restrictions	None
	Contents	This record series may contain: Subject or caller; address of incident; phone; officer name; date call taken; dispatch code(s); resolution code(s).
	Retention and Disposition	Retain for two (2) years, then destroy.

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LOCAL GOVERNMENTS
 Public Safety
 Animal Services

Record Group
Number

Series	Records Title and Description	Function and Use
L6318	Vaccination and/or Spay/Neuter Voucher	This record series documents the vaccination and/or spaying/neutering of animals by an individual who has adopted an animal. Many local animal services automatically vaccinate and spay/neuter any animal it plans to put up for adoption. Occasionally, animals cannot be vaccinated and/or spayed/neutered by the agency. This occurs, for example, when an animal is very young. In these instances, it is responsibility of the adopter to have the procedures conducted. The agency may offer a voucher that allows the adopter to receive a discount on the pet's operation or vaccination from a veterinarian. This procedure must be done within a certain time period.
	Access Restrictions	None
	Contents	This record series may contain: Voucher #, issue date, expiration date; name and contact information of adopter; description of animal; value of voucher Vaccination voucher also contains: vaccines for which the voucher is valid; total value of voucher; veterinarian name and address; rabies tag #; date and type of vaccination.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6319	Rabies Vaccination Certificate	This record series documents that animals up for adoption have been given rabies vaccinations by an animal services agency. A copy of this may go to the local Health Department.
	Access Restrictions	None
	Contents	This record series may contain: Rabies tag #; owner's name and contact information; animal description; vaccine producer, type and serial number; date vaccinated and date of expiration; veterinarian's license number.
	Retention and Disposition	Destroy after one (1) year if a one (1) year license/vaccine. Destroy after three (3) years if a three (3) year license/vaccine.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Emergency Medical Services

Record Group
Number

Series	Records Title and Description	Function and Use
L2832	State EMS Run Report (V)	This record series documents 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	902 KAR 20:117
	Contents	This record series may contain: 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, then destroy after audit. In cases of minors, destroy after the age of twenty-three (23).
L2833	Patient Statement (V)	This record series documents the patient statement and is used 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	This record series may contain: 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.
L2834	Patient Health Insurance Claim Forms (V)	This record series documents the bill to 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	This record series may contain: 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.
L2835	Monthly Payments Audit Sheet	This record series documents the 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	This record series may contain: Patient name, run number, payer, transaction date, amounts disallowed, paid, adjusted.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Emergency Medical Services

Record Group
Number

Series	Records Title and Description	Function and Use
L2836	Daily Payments Audit Report	This record series documents the 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	This record series may contain: Patient name, run number, payer, transaction date, amounts disallowed, paid, or adjusted.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L2837	Daily Charges Audit Sheet	This record series documents how many charges were made for the day. This is used to check that all charges for services rendered were actually entered into the system for billing. Once the daily charges have been balanced, this report has served its purpose. A monthly report is generated at the end of each month.
	Access Restrictions	None
	Contents	This record series may contain: Patient name, run number, run date, insurance provider, miles, time, charges.
	Retention and Disposition	Retain for one (1) month, then destroy.
L2838	Monthly Charges Audit Sheet	This record series documents the monthly report of charges for services rendered. It provides a record of total charges for the month and is used for reporting and auditing purposes. This is an accumulation of the daily charges audits. It verifies that all charges for the month are recorded.
	Access Restrictions	None
	Contents	This record series may contain: Patient name, run number, run date, insurance providers, miles, and charges.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L6917	Controlled Substance Log	This record series documents the use of controlled substances during emergency incidents by Emergency Medical Services personnel and is used to inventory drugs on hand.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain: Drug and dosage used, patient name, time and date of dosage, person administering drugs and related information.
	Retention and Disposition	Retain for three (3) years, then destroy.

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STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Enhanced 911 Service

Record Group
Number

Series	Records Title and Description	Function and Use
L5819	Change of Address File (V)	This record series documents changes of address. These changes may be entered into a database (GIS). The address and phone number are linked when a 911 call is received.
	Access Restrictions	KRS 65.752(3)(4)
	Contents	This record series may contain: Correspondence, field notes, copies of area maps, change of address and a reference to the old address.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5820	Master Address File (V)	This record series documents all addresses in a local 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.
	Access Restrictions	KRS 65.752(3)(4)
	Contents	This record series may contain: Name, address and phone number.
	Retention and Disposition	Maintain current information. Destroy obsolete information when updated.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Fire Department/District

Record Group
Number

Series	Records Title and Description	Function and Use
L4808	Administrative Orders (V)	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Date of issue, page #, order #, subject, order numbers rescinded, signature of authority, purpose, and policy and procedure.
	Retention and Disposition	Retain one (1) copy permanently in the Chief's office. Destroy excess copies when superseded or rescinded.
L4809	Annual Report to the Secretary of State	This record series documents reporting activities of the fire department that has been reported pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations). This report is required by this KRS Chapter.
	Access Restrictions	None
	Contents	This record series may contain: Name of the department, address, name of trustees, current information for the year, and signature of person presenting report.
	Retention and Disposition	Retain permanently.
L4810	Financial Statement to the State Fire Commission	This record series documents 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 (Non-stock, 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.
	Access Restrictions	None
	Contents	This record series may contain: Name of the fire dept., address, receipts and expenditures, date submitted, person submitting the statement and report.
	Retention and Disposition	Retain permanently.
L4811	Annual Fire Summary Report	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain permanently.
L4812	Summary Financial Statement	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Period covered, revenues, receipts and cash, expenditures and address where records are available for inspection.
	Retention and Disposition	Retain for three (3) years, then destroy.

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LOCAL GOVERNMENTS
 Public Safety
 Fire Department/District

Record Group
Number

Series	Records Title and Description	Function and Use
L4813	Monthly Fire Summary Report	This record series documents the number of fire runs made monthly and the type of fire is used to predict future activity for the purpose of staffing and cost. This summary becomes a part of the Monthly Report to the Governing Body and eventually part of the Annual Report to the Governing Body.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4814	Uniform Financial Information Report (V)	This record series documents the financial status of a city from a revenue and expenditure perspective as well as indebtedness. Beginning in the 1990-1991 Fiscal Year, KRS 65.905 required the filing of uniform financial information reports with the Department of Local Government. The Department of Local Government in cooperation with the United States Bureau of the Census developed the report so that a single report would meet the needs of both agencies. In addition, the Department of Local Government is to consult with the Legislative Research Commission and determine an electronic format for providing all reliable data from the report to the Legislative Service Commission. Failure to submit the report shall make the local government ineligible to receive county or municipal road aid money. KRS 65.925 provides that the Department of Local Government file a copy of the report with the County Clerk.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4815	Insurance Rating Organization File (Insurance Services Office, Inc. {ISO})	This record series documents the correspondence with the Insurance Services Office, Inc., which is a fire protection rating organization in the State. Also included in this record series are periodic reports and surveys that are used to determine the fire protection rating for a particular fire district. These fire protection ratings are used in determining the insurance rates for a district. The insurance rating classifications are subject to review and approval by the State Insurance Commissioner. These reports and surveys are done periodically and may be superseded at any time.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Destroy when superseded, or becomes obsolete.

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RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Public Safety
 Fire Department/District

Record Group
Number

Series	Records Title and Description	Function and Use
L4816	Basic Fire Incident Report	This records series documents 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 marshal should be called. These basic reports shall be compiled into a monthly statistical report for the state fire marshal. These are sent electronically to that office every 3 months.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L4817	Dispatch Calls	This record series documents 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 be on tape or electronic.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L4818	Station Log Book	This record series documents 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 may contain: Date, time, account of activity, weather information. This may be broken down into platoon.
	Retention and Disposition	Retain for two (2) years, then destroy.

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LOCAL GOVERNMENTS
 Public Safety
 Fire Department/District

Record Group
Number

Series	Records Title and Description	Function and Use
L4819	Training Records File (V)	This record series documents 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 (1)(a)
	Contents	This record series may contain: 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	Transfer training verification data to the Master Personnel File. Destroy remainder of file when obsolete, or updated.
L4820	Daily Morning Report	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Platoon #, shift commander name, officers names, date, weather information, apparatus assignments, housekeeping assignments, absences and names of replacements.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4821	Personnel File - Duplicate (Official copy is maintained in the government's personnel office).	This record series documents 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.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: 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.
	Retention and Disposition	Destroy after termination of employment and review by personnel office.

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Series	Records Title and Description	Function and Use
L4822	Inspections of Property File	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4823	Notification of Violation (V)	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain for seven (7) years, then destroy.
L4824	Daily Apparatus Checklist	This record series documents 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 may contain: 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.
L4825	Hose Test Report	This record series documents that 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 may contain: 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.

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Series	Records Title and Description	Function and Use
L4826	Ground Ladder Test Report	This record series documents that 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 may contain: 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.
L4827	Aerial Ladder Test Report	This record series documents 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: 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.
L4828	Pumper Test Report	This record series documents 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 may contain: 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.
L4829	Hydrant Flow Test Report	This record series documents grading the insurance rating company. Also documents the pressure at the hydrants to make sure they are in good working condition. This is done at least once a year.
	Access Restrictions	None
	Contents	This record series may contain: Date inspected, hydrant #, number of outlets, static psi, flow psi, residual psi, max GPM, hydrant condition, platoon doing testing.
	Retention and Disposition	Retain for five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
L4830	Vehicle Maintenance File	This record series documents repairs and service completed on vehicles within the fire department. These are mainly the fire trucks and supporting vehicles. The repairs can be done by the governments garage or by private vendors (garages). A purchase order is issued to do the repair work and the repair order is issued and after the repair or service is done the repair order is completed and sent to the purchasing department for payment.
	Access Restrictions	None
	Contents	This record series may contain: Material used, description, price, name and address of owner, make/model of vehicle, year, purchase order number, and a description of the repair/service completed and the total cost. There is a place for the signature of the person authorizing the repair/service.
	Retention and Disposition	Retain for one (1) year, then destroy.
L6668	Routine Investigation (Non-Felony) Files (V)	This record series documents investigations by the fire department personnel of fires that are not determined 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 violations. These records may be sent to the state Fire Marshall.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L6669	Felony Investigation Files (V)	This record series documents investigations of fires that are determined to be arson and/or when 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. These records are be sent to the State Fire Marshal.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L6926	Child Safety Seat Education Form	This record series documents the child seat safety training for citizens performed by public safety officials.
	Access Restrictions	KRS 61.878(1)(a) Agency should contact legal counsel regarding open records matters.
	Contents	This record series may contain driver's name; child's name, age, weight, and height; manufacturer and model number of the seat; make and model of the vehicle; names of the trainers; and the date of the training and installation.
	Retention and Disposition	Retain for one (1) year, then destroy

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Series	Records Title and Description	Function and Use
L4654	Department Policies and Procedures (V)	This record series documents 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 may contain: 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. Destroy excess copies when updated.
L4655	Annual Report	This record series documents 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. Destroy excess copies when updated.
L4656	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. Destroy excess copies when superseded or rescinded.
L4657	Daily Detail Assignment Record (Sheet) (V)	This record series documents the assignments of each law enforcement officer on a daily basis. This is used to verify the whereabouts of the officers and what they are to be doing at a particular time. This is an important document when there is an inquiry or complaint from a citizen and may come into play in an internal investigation or law suit.
	Access Restrictions	None
	Contents	This record series may contain: Date, time, detail assignment, car assignment, beat assignment, name of officers and any special instructions.
	Retention and Disposition	Retain for two (2) years, then destroy.

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Series	Records Title and Description	Function and Use
L4658	Officer's Daily Activity Report	This record series documents 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 may contain: Date, day, officer, shift, weather, hours worked, overtime hours, vacation hours, other, car number, mileage, time, location, activity, deposition, citation number, case number, offense.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4659	Monthly Activity Reports	This record series documents 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 record series may contain: 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.
L4660	Officer's Field Interview Notes	This record series documents 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: 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.

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Series	Records Title and Description	Function and Use
L4661	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 contain: 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.
L4662	Felony Investigation Case File (V)	This record series documents all investigative procedures followed when a felony has been committed. These include robbery, homicide, 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; 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 CALEA these files must be transferred to the Records Division/Records Center.
	Access Restrictions	KRS 17.150 (2)
	Contents	This record series may contain: 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, order to expunge, subpoenas and citations.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L4663	Investigations other than Felonies File (V)	This record series documents all information collected and procedures followed after a 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)
	Contents	This record series may contain: Copy of the uniform offense report, uniform citation report, the investigative report, evidence, photos of crime scenes, photos of suspects, interviews, statements from victims/witnesses/suspects, audio and video tapes, arrest warrants, fingerprints, lab information, criminal history information, correspondence, subpoenas, order to expunge, citations, pleas, sentences and prosecution data.
	Retention and Disposition	Retain for five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
L4664	Criminal History Jackets (I.D. Jackets) (V)	This record series documents 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.
	Access Restrictions	KRS 17.150 (4)
	Contents	This record series may contain: 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, order to expunge and alias file.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L4665	Criminal History Index File (V)	This record series documents 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.
	Access Restrictions	KRS 17.150 (4)
	Contents	This record series may contain: Name, mug shot, age sex race, date of birth, last known address, arrests, date of arrests, offense, disposition of case, order to expunge and social security number.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L4666	Fingerprint File	This record series documents 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	KRS 17.150 (2)(4)
	Contents	This record series may contain: 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 eighty (80) years, then destroy.
L4667	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: 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 for five (5) years after last entry, then destroy.

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Series	Records Title and Description	Function and Use
L4668	Crime Scene Photograph File	This record series documents 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 record series may contain: Negative, photo investigation #, number of the negative, case #, date, name of photographer.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L4669	Latent Prints File (V)	This record series documents 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 may contain: Fingerprint investigation #, photo investigation #, date, collection person, locations/date/time and the prints.
	Retention and Disposition	Retain for five (5) years after close of case, then destroy.
L4670	Identification Card File	This record series documents 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:: Name of suspect, current age, date of birth, department #, alias, fingerprint documentation, classification.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L4671	Property/Evidence Record File (V)	This record series documents the 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: 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	Destroy three (3) years after final disposition of the property/evidence.

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Series	Records Title and Description	Function and Use
L4672	Mug Photographs (Shots) File	This record series documents the image of those persons arrested for offenses. This is now done at the time of booking(usually at the jail) and is maintained with the fingerprint file. 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: 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 eighty (80) years, then destroy.
L4673	Daily Record (List) of Arrests	This record series documents the arrest of persons for either felonies or misdemeanors. This may be completed daily and is for all adult arrests. This information is taken at the time of booking at the jail. It is used to supply information to the public. There is no court data in this file or list. Much of this information(for felonies) may be found in the history jackets or fingerprint/mug shot files.
	Access Restrictions	None
	Contents	This record series may contain: Booking #, name of subject, date of arrest, age, sex, race, date of birth, address, arresting officer, charge/offense.
	Retention and Disposition	Destroy when no longer needed.
L4674	Active Warrants Index File	This record series documents the finding aid (index) for active warrants (see L4675). This may be a card index and/or an electronic database.
	Access Restrictions	None
	Contents	This record series may contain: Name, date of birth, address, phone number, social security number of the defendant, date of issue, charge on summons/warrant, date warrant is served, warrant number, case number, and type of charge and whether it is Felony or Misdemeanor.
	Retention and Disposition	Destroy five (5) years after warrant is served.
L4675	Warrants of Arrest File (Felony/Misdemeanor Served/Un-served). -- Felony and Misdemeanor - Served and Un-served (V)	This record series documents warrants for arrest. A warrant of arrest is a judicial writ authorizing an officer to take an individual into custody. The serving process for warrants varies by locality. In many counties the process is as follows: Felony warrants are issued by the commonwealth attorney based on a grand jury indictment. Misdemeanor warrants are issued by the county attorney. (Bench warrants are issued by the district/circuit court judge if an individual who has been subpoenaed did not appear.) Warrants are sent directly to the county sheriff to be served or they can be held by the issuing authority until they are ready to be served. The sheriff executes the warrant of arrest by locating and arresting the individual named therein. After the arrest the sheriff returns the original warrant to the court. He may retain a duplicate of the warrant for his files. This duplicate of served warrants is possibly useful as a reference to the sheriff for up to one year. The court retains the record copy of served warrants in the case file. If warrants are not served (the sheriff was unable to locate named individual, time expired, case was dismissed, etc.), the sheriff will return the unserved warrant to the issuing authority (commonwealth attorney or county attorney). Depending on locality, unserved warrants may be returned to the circuit court clerk.
	Access Restrictions	None
	Contents	This record series may contain: Case or indictment number, issuing court, style of the case including name of individual, personal data (birth date, sex, race, hair, eyes, weight, height, social security no., etc.), language authorizing and directing the arrest, criminal complaint (if a criminal warrant), address of individual, certification/signature of judicial authority.
	Retention and Disposition	Retain served copies for one (1) year, then destroy. Return un-served warrants to issuing authority.

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Series	Records Title and Description	Function and Use
L4676	Record of Arrests (Cards, Book or File) (V)	This record series documents the arrest process. This information is usually taken at the time of booking of a person for either a felony charge or a misdemeanor charge. The information concerning the felony arrests is subsequently put with the Criminal History Jacket. The misdemeanor information may be maintained with investigation files.
	Access Restrictions	None
	Contents	This record series may contain: 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, order to expunge and other information.
	Retention and Disposition	Destroy felony file eighty (80) years after arrest. Destroy misdemeanor file five (5) years after arrest.
L4677	Alcoholic Beverage Control (ABC) Investigation File	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: 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	Destroy five (5) years after going out of business.
L4678	Motor Vehicle Impoundment Record	This record series documents 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 may contain: 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.

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Series	Records Title and Description	Function and Use
L4679	Uniform Citation File (V)	This record series documents violations of traffic laws and for all felonies, misdemeanors and violations (KRS 431.450) and is used by all peace officers in the commonwealth. 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 (1)(a)
	Contents	This record series may contain: 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, b.a. 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 for ucr by contributor, fingerprints taken, photos taken, evidence held, officer's signature, badge/I.d. number, assignment).
	Retention and Disposition	Retain for two (2) years, then destroy.
L4680	Complaint and Offense Report (Incident Reports) (V)	This record series documents 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	KRS 61.878 (1)(a)
	Contents	This record series may contain: 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.
L4681	DUI Case File (V)	This record series documents 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	KRS 17.150 (2)
	Contents	This record series may contain: 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, order to expunge 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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Series	Records Title and Description	Function and Use
L4682	Juvenile Investigation Case Files (V)	This record series documents all the information collected during an investigation of a juvenile arrest. These investigations may either be for felony or misdemeanor violations. Much of the information in this file may be captured electronically. 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.
	Access Restrictions	KRS 610.320 (3)
	Contents	This record series may contain: 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	Destroy when the order to expunge is issued or at age twenty-three (23), whichever comes first.
L4683	Juvenile Arrest File (Form) (V)	This record series documents the initial 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.
	Access Restrictions	KRS 610.320
	Contents	This record series may contain: 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	Destroy when order to expunge is issued or at age twenty-three (23), whichever comes first.
L4684	Juvenile Order to take into Custody File	This record series documents orders to take into custody juveniles. Since January 1, 1988, the deputy sheriff receives orders 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 them. After one year any of these records which have not been served will be returned to the court designated worker.
	Access Restrictions	KRS 610.320 (3)
	Contents	This record series may contain: 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.

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Series	Records Title and Description	Function and Use
L4685	Juvenile Curfew Report	This record series documents curfew violations by juveniles. All local agencies do not have a curfew ordinance and for those which have them they may vary. In what ever form 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	Destroy when subject becomes eighteen (18) years of age.
L4686	Child Abuse, Adult Abuse and Domestic Abuse Case File (V)	This record series documents 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	KRS61.878(1)(a)
	Contents	This record series may contain: 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), Complaint and Offense Report, fingerprints, photos, witness information, lab information, evidence information and officer's notes and field reports.
	Retention and Disposition	Retain for eighty (80) years, then destroy.
L4687	Domestic Violence Log (V)	This record series documents in summary 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 departments that the above named documents have been delivered, when they are effective and when they expire. Used in carrying out the requirements of KRS Chapter 403 relating to domestic violence.
	Access Restrictions	None
	Contents	This record series may contain: 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.

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L4688	Domestic Violence Protective Orders File (V)	This record series documents 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; and 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	This record series may contain: 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 for thirty (30) days after expiration, then destroy.
L4689	Missing Person Report (V)	This record series documents 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 other 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 may contain: Report for a missing adult or a missing juvenile, name of agency, case number, 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. Authorization for Release of Information by parent/legal guardian signed by the parent/legal guardian.
	Retention and Disposition	Destroy closed juvenile reports after subject reaches eighteen (18) years of age. Destroy all others after case close, or transfer records to the Felony Investigation Case File L4662.
L4690	Uniform Police Traffic Accident Report (V)	This record series documents vehicle accidents whether single 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 may contain: local code, agency id, master file no. investigating agency, killed, injured, state of investigation, date/day/time of accident, traffic way 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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L4691	Traffic Serious Injury Case (Collision) File (V)	This record series documents 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: Copy of the accident report/collision report, witness statements, field investigative notes, audio/video material, photos and drawings.
	Retention and Disposition	Destroy five (5) years after close of case file.
L4692	Traffic Fatality Case File (V)	This record series documents 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 series may contain: Uniform Police Accident Report, witness statements, field investigative notes, audio/video material, photographs and drawings.
	Retention and Disposition	Destroy ten (10) years after close of case file.
L4693	Traffic Property Damage Hit and Run File (V)	This record series documents 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: 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.
L4694	Citizen Complaint File - Traffic	This record series documents 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: 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.

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Series	Records Title and Description	Function and Use
L4695	Monthly Traffic Analysis Report	This record series documents 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.
L4696	Annual Traffic Analysis Report	This record series documents 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: 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 permanently.
L4697	Radio Run Recordings	This record series documents dispatch calls and all other calls either by telephone or by radio. These are recorded automatically as the call comes in to the agency.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Time, date, name of person calling and subjects covered.
	Retention and Disposition	Erase and/or reuse in thirty (30) days if there is no investigation relating to information on the recording. If being used in an investigation maintain until the resolution of the case. Then erase and/or reuse.
L4698	Radio Run File	This record series documents all dispatches that come into the agency. In most law enforcement agencies this information will only be used as a backup to the radio run recordings. In some instances this information will be input into a computer for use.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: 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 for two (2) years, then destroy.

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L4699	NCIC/LINK Information File	This record series documents the information received daily through the National Crime Information Center (FBI). This is information received regarding the criminal behavior of specific 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.
	Access Restrictions	None
	Contents	This record series may contain: Directory information about persons, crimes committed, offenses committed and any related information.
	Retention and Disposition	Destroy one (1) year after becoming inactive.
L4700	Emergency Business Locator File	This record series documents 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: Name of business, address, date filed, phone, name of persons to notify (at least 2), and remarks.
	Retention and Disposition	Destroy when obsolete.
L4701	Soliciting List	This record series documents 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 are crimes or violations committed by those people.
	Access Restrictions	None
	Contents	This record series may contain: Name of solicitor, address, phone, company represented, time and date of solicitation.
	Retention and Disposition	Destroy when obsolete.
L4702	Taxi License Application File	This record series documents the application for a permit to drive a taxi. This is used for a background check and must be done for all applicants.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Application, photos of the subject, copy of the permit, criminal history, driving record, authority to release information, receipt for permit, occupational license receipt, medical examination certificate, and copy of operators license.
	Retention and Disposition	Destroy three (3) years after termination of employment.
L4703	Pawn Shop Ticket (Slip) File	This record series documents 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: 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.

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L4704	Report of Information (Narcotics/Vice) (V)	This record series documents the 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 and/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: 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	Destroy after investigation is stopped or place with appropriate case file if further investigation is warranted.
L4705	Complaints/Internal Investigation (IA) File (V)	This record series documents all internal affairs (professional standards) investigations where a complaint has been issued. This series includes both substantiated and unsubstantiated findings. Pursuant to KRS 95.765(1) 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 the trial shall be confined to matters related to the issue presented.
	Access Restrictions	KRS 17.150
	Contents	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).
	Retention and Disposition	Destroy five (5) years after termination of employment.
L4707	Use of Force Form/File	This record series documents 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.
	Access Restrictions	KRS 61.878 (h)
	Contents	This record series may contain: 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, DOB, social security #, sex, race, charges placed against suspect, suspects condition when first observed, whether treatment was necessary, hospital/physician, nature of injuries. An officer section - type of resistance, control techniques and description of events. Supervisor section - name of supervisor, assignment, date and time completed, evidence collected, photos/video, id officer, officers signature, supervisors signature and commander signature. Statements by the suspect, witnesses and supervisor,
	Retention and Disposition	Retain for five (5) years, then destroy.

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L4708	Vehicle Pursuit Form/File	This record series documents incidents where there has been pursuit of another vehicle by a law enforcement officer. This is required incase 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.
	Access Restrictions	KRS 61.878 (h)
	Contents	This record series may contain: Name of the officer, assignment/beat, day/date, start/end times, location of incident/pursuit, case number, reason for pursuit, assisting/witness officer, employee #, accident involved(yes or no), personal injury, property damage, near accident involve,(yes or no), police vehicle involved, suspect vehicle involved, injuries sustained(officer, suspect, passenger), suspect name, address, DOB, ssn, ses, race, charges, arrest time, suspects condition(unimpaired, alcohol impaired, drugs suspected), emotionally disturbed, a narrative of the description of events, evidence collected, photos taken, id video taken, officer's signature, date/time completed, assigned supervisor's signature, bureau commander's signature, witness information, supervisor comments.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4711	Bail Bond Revocation File	This record series documents bail bond revocation process. The deputy in charge of criminal records processing receives the records in this file from the surety on the bail bond of the defendant. This is a certification of court records. The surety for this bond is afraid the defendant will not show up for his court date and is wanting to get his money he put up back. This record is then used for a warrant for the arrest of the defendant. If this arrest is made, this record goes to the jailer and eventually to the District/Circuit Court Clerk. If the bond revocation is never served, this record should be destroyed in agency 30 days after issue.
	Access Restrictions	None
	Contents	This record series may contain: (AOC-79-060) Bond Revocation. (AOC-060)
	Retention and Disposition	Destroy after defendant's court date.
L4712	Asset Forfeitures Monthly Report File	This record series documents 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: 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.
L4713	Master Ticket Control and Disposition Ledger	This record series documented the recording of blank citations issued to police officers. The number of each citation was recorded (usually in blocks of 25) and the officer signed for the citations. As they were used, each action on each citation was recorded, from issuance to final disposition of the charge. Citations were issued to offenders, the officer or clerk recorded date of issuance, violation, date of disposition, penalty imposed, and fine collected. These were often used to prepare the report of fines and forfeitures for the circuit clerks. This process ended in the early 1990s.
	Access Restrictions	None
	Contents	This record series may contain: Ticket (citation) number, date of issuance, violation code, date of disposition, type disposition, penalty imposed, deductions/suspensions, net fine collected.
	Retention and Disposition	Retain for three (3) years then, destroy.

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Series	Records Title and Description	Function and Use
L4714	Drug and Alcohol Related Education (D.A.R.E.) Program Participation Files	This record series documents 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: Parent letter(to be signed by the parent/guardian giving permission to participate in the program, census form)detailing 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 parent permission letter until student (class) graduates, then destroy. Destroy all other documents after two (2) years.
L4715	Community Service/Crime Prevention Program File	This record series documents 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. They may be programs whereby citizens will be able to ride with officers while answering calls or on patrol. 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: Program guidelines, goals, participation information, dates and time of presentations, listing of those in attendance, where the program was held, program personnel and evaluations. May include applications from citizens to be a part of a program and waivers to participate. A yearly statistical report of results may also be maintained.
	Retention and Disposition	Retain for two (2) years, then destroy.
L4717	Travel Requests (V)	This record series documents requests to 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: 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.

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Series	Records Title and Description	Function and Use
L4720	Personnel Training Record File	This record series documents the training received by law enforcement officers that is required by statute. All officers and auxiliary officers shall within one year other appointment or employment, successfully complete at least 400 hours of basic training administered or approved by the Department of Criminal Justice Training. Also they must successfully complete 40 hours of annual in-service training administered or approved by the Dept. of Criminal Justice Training. If this training is not successfully completed the officer is subject to dismissal. A record of training is maintained by the Criminal Justice Training Center at Eastern Kentucky University.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Name of officer, date/time of training, type of training, hours completed, grade achieved, completion date and correspondence.
	Retention and Disposition	Destroy five (5) years after termination of employment.
L4721	Testing/Training Material	This record series documents the training process, the training needed, description of training along with where and when the training will take place.
	Access Restrictions	None
	Contents	This record series may contain: Descriptions of training, place and time of training and requirements for training.
	Retention and Disposition	Destroy when obsolete.
L4724	Security Surveys (Business and Home)	This record series documents 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: Name of the homeowner/business owner, address, time/date of survey, inspection documentation and recommendations.
	Retention and Disposition	Destroy when obsolete or superseded.
L4919	Police Record Check	This record series documents those requests by the public for back ground checks on individuals. This same series may be used to request accident reports. It acts as a cash receipt.
	Access Restrictions	None
	Contents	This record series may contain: Person requesting, the information requested and the amount paid for the service.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L5229	Video/Audio Recordings (Patrol Cars)	This record series documents 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)
	Contents	This record series may contain: Name of the officer, date, time and the action taken at the scene.
	Retention and Disposition	Retain all recorded DUI related incidents for fourteen (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 twenty-six (26) months if there is no appeal. Destroy upon order from District Court. Retain all other recordings for thirty (30) days, then destroy or reuse.
L5230	Video/Audio Recording Log	This record series documents 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	None
	Contents	This record series may contain: Tape number, date from, date to, actual date, time, incident #, violator's name, citation #, charges.
	Retention and Disposition	Destroy after recordings are destroyed.
L5291	Warning Notice	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.
	Access Restrictions	None
	Contents	This record series may contain: Name of motorist, address, ID number, 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.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5292	Search Record	This record series documents the event of a search with or without a warrant. It is used by sworn personnel to document the search. The information is also used to compile stats, to enhance training of officers, and to document officer personnel performances. The case files would provide further information.
	Access Restrictions	KRS 17.150
	Contents	This record series may contain: Name of searcher, address, date of birth, age, sex, race, vehicle make, model, registration no. exact location of search, search of person, vehicle, building, property, whether there is consent, evidence/contraband located, arrest made, citation issued, details, case no., supervisor signature, officer signature, employee no.
	Retention and Disposition	Retain for one (1) year, then destroy.

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Series	Records Title and Description	Function and Use
L5833	Crime Stoppers Informant File	This record series documents 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 two (2) years, then destroy.
L5846	Felony Investigation Case File (Homicide) (V)	This record series documents 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: 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.
L6290	Polygraph Criminal Examination File	This record series documents 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 those tested, 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.

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Series	Records Title and Description	Function and Use
L6355	Waiver for Citizen to Ride Along	This record series documents waivers. The police department uses these waivers for those citizens who ride along in a patrol vehicle with a designated police officer. This waiver must be signed by the citizen before he/she may ride. This is a waiver not to sue in case of injury or damages to persons or property resulting from riding as a passenger in a vehicle of the police department.
	Access Restrictions	None
	Contents	This record series may contain: Name of the rider, date of birth, address, signature of rider, date of signature, printed name of parent/guardian, signature of parent/guardian, two witnesses' signatures, name of emergency contact, address of emergency contact, emergency phone number, approval granted for specific time, approving signature, name of officer conducting the ride-along and date and time of ride-along.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6537	Inmate Extradition File	This record series documents the extradition of inmates to other states. Once law enforcement personnel identify and confirm an inmate as the individual to be extradited, that inmate is asked to sign a waiver of extradition. If the inmate signs the waiver, the extradition occurs. The original of the signed waiver remains with the law enforcement and copies are located at the District Court Office, the Jail and with the inmate. If the inmate refuses to sign the waiver, the inmate appears in District Court every thirty days. By the ninetieth day, Governor's Warrants authorizing extradition should have been issued from both Kentucky and the wanted State. The original of the Governor's Warrants will accompany the inmate to the wanted State; copies can be found in the police department and with the inmate and may be found with the inmate's attorney. There is almost no reentry into these records, exceptions being very rare.
	Access Restrictions	None
	Contents	This record series may contain: Uniform Citation; Hit confirmation response documenting this inmate as confirmed for extradition; Signed Waiver of Extradition; Copy of Governor's Warrants; Other information such as: wanted State and contact information; other charges against the inmate; inmate's bond information; documentation as to whether a Governor's Warrant is necessary.
	Retention and Disposition	Retain one (1) year, then destroy.
L6673	Court Order for DNA Testing Record File (V)	This record series documents the court order for forensic deoxyribonucleic acid (DNA) testing and analysis of any evidence that is in the possession, or control of the local law enforcement agency, that is related to the investigation, or prosecution that resulted in the judgment of conviction and that may contain biological evidence. Pursuant to KRS 422.285, a person who was convicted of a capital offense, a Class A felony, a Class B felony, or any offense designated as a violent offense under KRS 439.3401 and who meets specific requirements under KRS 422. 285, may request forensic testing and analysis of evidence.
	Access Restrictions	None
	Contents	This record series may contain: Court ordered testing documentation which will contain petitioner's identification information, specific testing information regarding what is to be tested, what entity will provide testing and any related information forwarded by the court to the custodian of evidence. Series will also contain records related to the agency's response to request (actions taken/actions not taken).
	Retention and Disposition	Destroy when evidence is destroyed.

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Series	Records Title and Description	Function and Use
L6678	Undercover Expense Record File	This record series documents and is used to 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. 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: Undercover Expense and Account Form which includes, 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	Destroy five (5) years after closure of account and audit.
L6692	Restricted Metals Purchase Notification	This series documents the purchase of restricted metals by secondary metal recyclers. Pursuant to KRS 433.904(2), by the close of each business day secondary metal recyclers must report and describe to the local law enforcement in the city and county where the purchase was made and to the local law enforcement in the city and county where the secondary metals recycler is located, any purchases made of restricted metals. According to KRS 433.900(5), restricted metals include: manhole covers, utility poles, guardrails, street signs, traffic signs, traffic lights, railroad equipment, copper and aluminum coils, stainless steel beer kegs, catalytic converters and storm covers.
	Access Restrictions	KRS 61.878 (1)(a) and KRS 433.904(2) Personal information
	Contents	This record series may contain: Secondary recycler contact information, item description, purchase price and related information.
	Retention and Disposition	Retain for two (2) years, then destroy.
L6707	Body-Worn Camera Recordings (Audio/Video)	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.
	Access Restrictions	
	Contents	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.
	Retention and Disposition	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.

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Series	Records Title and Description	Function and Use
L1173	Grade and Drain Profiles	This record series documents the topographical grades of land areas and the drainage from those areas. Included in these profiles are watershed information and soil factors. These are used in the zoning process and used to project sewer compatibility and whether the land is suitable for building.
	Access Restrictions	None
	Contents	This record series may contain: Soil test result, core sample results, creek and stream information, survey information and the lay of the land information.
	Retention and Disposition	Destroy when superseded.
L1175	Geological Reports on Subsurface Ground Conditions	This record series documents 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 series may contain: Soil test information, core sample information, topographical information, correspondence, the initial visit and the final report.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies.
L1548	Index to Maps and Plats	This record series documents a finding aid (index) 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 may contain: Plat number, title of plat, and the location of each.
	Retention and Disposition	Retain permanently.
L4773	Engineering Maps, Plats, Plans and Drawings File (V)	This record series documents 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. 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 contain: 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.

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Series	Records Title and Description	Function and Use
L4774	Capital Construction Engineering Project File (V)	This record series documents 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	This record series may contain: 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.
L4775	Operation and Maintenance Manuals for Wastewater Plant(s) (V)	This record series documents manuals for operations and maintenance. It 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.
	Access Restrictions	None
	Contents	This record series may contain: 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.
	Retention and Disposition	Retain permanently.
L4776	Wastewater Treatment Plant Discharge Monitoring Report (DMR)	This record series 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. Recordings are made daily by the operator of the wastewater plant. Monthly reports are sent to Division of Water in Frankfort, Ky., who in turn sends it to EPA. State government uses this record to see if a plant is meeting state and federal environmental guidelines. Reports are submitted according to size of plant and stream.
	Access Restrictions	None
	Contents	This record series may contain: Name of the city, address, permit number, discharge number, monitoring period, parameter, quantity or loading, quality or concentration, frequency of analysis, sample type, sample measurement, name/title principal ex. Officer, signature of principal executive, area code, phone number, date.
	Retention and Disposition	Retain for three (3) years, then destroy.
L4777	Water Treatment Plant Monthly Operating Reports (MOR)	This record series documents the number of gallons of water treated, the chemicals added to the water, the turbidity, ph, alkalinity, hardness, free chlorine, fluoride, iron, manganese content of the water; the bacteriological content of the water and the results of the jar test which determines dosage rate. Recordings are made daily by the operator of the water treatment plant. Monthly reports are sent to the Division of Water in Frankfort, Ky.,. Operators use this for operation and management plans. The state government uses these to see if the plant is meeting state guidelines for environmental quality.
	Access Restrictions	None
	Contents	This record series may contain: Name of city, address, amount of water treated, chemicals added, types of tests taken, signature of person in charge.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L5331	Sales and Use Tax Return	This record series documents the amount of sales and use tax paid by taxable sewer users to the local agency for purposes of taxpayer reimbursement. Taxable sewer users are billed at 6% of total gross usage for one month as their sales and use tax for sewer service. The local agency calculates the total sales and use tax for one month, completes the return, sends the original to the Revenue Cabinet with a check for the amount due, and keeps a copy of the return.
	Access Restrictions	None
	Contents	This record series may contain: Name and address of local agency; period of return; date of return; agency account number; total receipts; deductions worksheet; total deductions; net receipts; taxable receipts; total taxable amount; sales and use tax; vendor's compensation; tax due; credits; net tax due; penalties and interest; total amount due; signatures of chief executive official of local agency and of return preparer.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L5332	Permit File (Kentucky Pollutant Discharge Elimination System (KPDES)(NPDES)	This record series documents 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 treatment 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: 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	Destroy three (3) years after expiration.
L5365	Service Work Orders	This record series documents 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 record series may contain: 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.

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Series	Records Title and Description	Function and Use
L5835	Encroachment Permit File (V)	This record series documents 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	This record series may contain: 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.
L6320	Pretreatment Files	This record series documents 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: 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.
L6321	Grease Trap Program File	This record series documents 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.
L6322	Sewer User Exemptions File	This record series documents 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 series may contain: 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.

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Series	Records Title and Description	Function and Use
L6323	Discharge Permit - Unusual Requests	This record series documents 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: 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.
L6324	Construction Project Files - These are used as a working file.	This record series documents 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.
L6325	Rain Gauge Data File	This record series documents 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
	Access Restrictions	None
	Contents	This record series may contain: Date, time, area placed, and amount of rainfall.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6326	Daily Reports	This record series documents all daily reports 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.
	Access Restrictions	None
	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.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L6327	Flow Charts - Pump Stations	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Date, time, flow information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6328	Tier II Hazardous Chemical Annual Report	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Chemical name, location, amount present, waste treatment/disposal methods, and hazards.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6329	Flow Reports of Incoming Sewage - Special Users	This record series documents 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.
	Access Restrictions	None
	Contents	This record series may contain: Name of the user, pump station, date, time and amounts.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6330	Calibration/Inspection Report	This record series documents that periodic calibrations and /or 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.
	Access Restrictions	None
	Contents	This record series may contain: Item inspected or calibrated, date, time, certification by inspector and any adjustments made.
	Retention and Disposition	Retain for three (3) years, then destroy.

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Series	Records Title and Description	Function and Use
L6331	Operation and Maintenance Manuals for Wastewater and Water Treatment Plant (V)	This record series documents maintenance manuals and is used by the operation and maintenance personnel for water 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.
	Access Restrictions	None
	Contents	This record series may contain: 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 and related information.
	Retention and Disposition	Retain permanently.

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Series	Records Title and Description	Function and Use
L6332	Compliance Monitoring Records (V)	This record series documents that staff at regulated facilities verify and report compliance with environmental standards and permitted pollution limits as prescribed by law. Facilities are required by regulation or by permit to meet certain environmental standards. Records in this series document the environmental monitoring (air quality source sampling) performed to show compliance with these standards at regulated facilities. Departmental staff evaluates the monitoring results and supporting documentation to determine if limits have been exceeded and to determine if proper protocol was followed in gathering the results. If the report indicates violations of a required environmental standard, the issue may be addressed by the agency through an enforcement action.
	Access Restrictions	None
	Contents	This record series may contain: Dates, facility names and addresses, monitoring data, compliance reports, chain of custody records, lab sheets, sampling plans, and related correspondence
	Retention and Disposition	Retain for ten (10) years, then destroy.
L6333	Notification and Complaints Records (V)	This record series documents reporting requirements. KRS 224 requires that regulated entities report any release or threatened release of pollutant(s) into the environment in such quantities or concentrations as to cause or threaten to cause an imminent and substantial danger to human health and/or to the environment. Reports of these releases or threatened releases are considered notifications. This series documents all correspondence between the state EPA I staff investigating the notification/complaint and the parties involved in the investigation. It also documents all inspections performed as a result of the notification/ complaint and documents all actions the state EPA and regulated Metro Gov't took in response to the notification/complaint.
	Access Restrictions	None
	Contents	This record series may contain: Name and address of entity having release or threatened release; entity identification number ; notification reports; complaints reports; emergency response reports; photographs; and supporting documentation.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L6334	Enforcement Records (V)	This record series documents the administrative and judicial process employed by the state EPA to ensure that an entity returns to compliance with Kentucky environmental requirements. These records also document assessed penalties associated with noncompliance as provided in KRS 224. This series includes the records of facility's violations of state or federal regulations that were identified by the agency. . These records document the state EPA's efforts to return the facility to compliance and to assess penalties to the entity or entities responsible for the violation(s). Agreed Orders, Demand Letters, and other correspondence with responsible parties will be included in this series.
	Access Restrictions	None
	Contents	This record series may contain: Notice(s) of Violation; Follow-Up Inspection Reports; Referrals to Enforcement ; Demand Letters; Agreed Orders: Enforcement Referrals to the Office of Legal Services; Letters of Agreement, Administrative Proceedings, and judicial proceedings.
	Retention and Disposition	Retain permanently.

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Series	Records Title and Description	Function and Use
L6335	Compliance Deficiency Notification Records (V)	This record series documents an entity's violations of Kentucky's environmental statutory and regulatory requirements. The documentation will outline remedial measures and/or actions to ensure a return to compliance. These series will include notices of violation, letters of warning, and supporting documentation. These documents usually represent initial attempts to return a facility to compliance prior to referring the violations to the state's EPA Division of Enforcement.
	Access Restrictions	None
	Contents	This record series may contain: Name of entity in violation; identification number of entity, letters of warning, notices of violations, violation determinations, follow-up inspection reports and related correspondence.
	Retention and Disposition	Destroy ten (10) years after case closure.
L6336	Federal Assistance Review Records	This record series documents proposed projects being conducted by Metro Government and are also seeking federal financial assistance from the Federal Environmental Protection Agency. The federal government requires that all requests for federal financial assistance be routed through the state clearinghouse located in the Governor's Office for Local Government. The state clearinghouse then evaluates these projects and determines whether they could have an environmental impact. If so, the documents are routed to the DEP for review and recommendations. These records document the Department's reviews and recommendations of projects assigned to the Department.
	Access Restrictions	None
	Contents	This record series may contain: Name, address, identification number of requesting entity, application for federal assistance, amount requested, project plan(s), agency recommendations, and related correspondence
	Retention and Disposition	Retain for three (3) years, then destroy.
L6337	Environmental Impact Study Records (V)	This record series documents impact studies. Pursuant to 40 CFR, environmental studies (also known as environmental impact studies) are required to be conducted by a facility or entity on projects that may impact human health and/or the environment. These studies are not required as part of state law. The state EPA only reviews these studies as part of a larger federal government review. If the state EPA has comments on a study, those comments are forwarded to the federal agency in charge of the project. These evaluations or studies are provided to the state EPA by Metro Government and this series documents the review process and comments.
	Access Restrictions	None
	Contents	This record series may contain: Name, address, identification number of the facility or entity, environmental assessments, environmental impact statements and related correspondence.
	Retention and Disposition	Retain permanently.
L6338	Financial Assurance Records	This record series documents the facility's ability to meet certain financial requirements. KRS 224 requires that certain facilities post financial assurance to ensure that funds are available to address potential environmental damages in the event of a release of pollutants or contaminants. State EPA staff reviews these documents -- letters of credit, bonds, insurance policies, and other supporting documentation and correspondence -- to determine if facilities have the financial guarantees to make them eligible to perform certain regulated activities.
	Access Restrictions	None
	Contents	This record series may contain: Name, address, facility identification number, list of agents used in processes, various financial mechanisms to demonstrate financial assurance, such as: insurance policies, bonds, letters of credit, etc.
	Retention and Disposition	Retain for two (2) years, then destroy.

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Series	Records Title and Description	Function and Use
L6339	Compliance Evaluation Records	This record series documents that state and federal requirements are being met. KRS 224 and the regulations promulgated thereto require that facilities comply with state and federal environmental statutes and regulations. This series includes the inspection reports, photographs and other documentation of field inspectors, geologists, and other state EPA staff that perform visits to regulated entities to determine compliance with applicable state and federal regulations.
	Access Restrictions	None
	Contents	This record series may contain: Name, location and address of facility, investigation reports, inspection reports, photographs, correspondence, compliance documentation and sample analyses.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L6340	Emissions Inventory Records (V)	This record series documents the process of conducting emissions inventories for fee assessment. KRS 224.20-050 authorizes the state EPA to assess fees against air emissions to fund the air quality control program. These documents include the surveys of the regulated facilities, which determine the potential and actual pollutant emissions from the facilities. These surveys are generally conducted on an annual basis.
	Access Restrictions	None
	Contents	This record series may contain: Name, location and address of facility, emissions survey letters, checklists, billing, and related correspondence.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L6341	Ambient Monitoring Records (V)	This record series documents the processes used for the assessment. Pursuant to KRS 224, the state EPA is required to monitor the environmental quality of areas surrounding facilities to ensure protection of human health, safety, and the environment. Of These series includes records of environmental sampling, documentation that the sampling was performed in accordance with standard practices, sample results, and the documentation proving that results are valid. All documents in this series are part an ambient monitoring initiative and are not directly related to determining if a particular facility or group of facilities is in compliance with applicable environmental regulations.
	Access Restrictions	None
	Contents	This record series may contain: Monitoring data, quality control records, chain of custody records, lab sheets, sampling plans, and related correspondence.
	Retention and Disposition	Retain permanently.
L6342	Facility Planning Records (V)	This record series documents planned future wastewater and drinking water service. Pursuant to 401 KAR Chapter 5 and 8 require that facilities plan for future wastewater and drinking water service to the public and submit to these plans to the Department. These plans indicate future coverage areas and the anticipated timelines for extending this service. These plans allow the agency to evaluate system needs and treatment capacity. The series includes plans and records related to utility services.
	Access Restrictions	None
	Contents	This record series may contain: 201 wastewater facility plans, sewer overflow plans, drinking water monitoring plans, reports, and related correspondence.
	Retention and Disposition	Retain for twenty (20) years, then destroy.

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Series	Records Title and Description	Function and Use
L6343	Authorization Records (V)	This record series documents the authorization to conduct business activities that are stated in KRS 224. Kentucky law requires that the state EPA issue authorizations to facilities for environmentally related activities that could result in harm to the environment and/or to public health and/or safety. This series may include but is not limited to permits and registrations which allow regulated entities to perform disposal of solid waste, to store, treat or dispose of hazardous waste, to treat wastewater sludge or other bio-solids, to operate petroleum underground storage tanks, to discharge wastewater to waters of the Commonwealth, to install groundwater wells, to construct wastewater treatment facilities, to withdraw water from the waters of the Commonwealth, to construct in a floodplain, to construct drinking water facilities, and to emit air pollutants from a facility.
	Access Restrictions	None
	Contents	This record series may contain: Authorization applications, approval letters, permits, registration forms, permit modifications, deficiency letters, and related correspondence.
	Retention and Disposition	Destroy ten (10) years after end of authorization period.
L6344	Corrective Action and Closure Records (V)	This record series documents actions taken by the local government to remediate the site either by removal of the contamination or methods used to manage and monitor the area. KRS Chapter 224 requires that facilities adequately address contamination caused by releases of pollutants to the environment to ensure protection of the environment, safety, and public health. He records may include maps, site sketches, monitoring results, plans, photographs, and other documentation that reviewers use to assess the extent of contamination at a facility and to determine if the actions being taken at a facility are appropriate.
	Access Restrictions	None
	Contents	This record series may contain: Notice of intent forms, closure applications, site investigations plans, corrective action plans, sample analyses, property records, site visit reports, and related correspondence.
	Retention and Disposition	Destroy thirty (30) years after case closure.
L6345	Technical Assistance Records (V)	This record series documents the assistance provided by the state EPA staff to answer questions and provide assistance. KRS 224 allows for state EPA personnel to assist entities in their efforts to comply with Kentucky's environmental requirements. Due to the nature of environmental laws, the regulated public is often confused on how to best comply with environmental regulations. The public may also have non-regulatory questions on how to good stewards of the environment.
	Access Restrictions	None
	Contents	This record series may contain: Site visit reports, correspondence, assistance tracking reports, photographs, compliance implementation plans, and sample analyses.
	Retention and Disposition	Retain for ten (10) years, then destroy.
L6346	Certification Records (V)	This record series documents certifications, which include, but are not limited to, drinking water operators, wastewater operators, landfill managers, land farm managers, and asbestos removers. Kentucky law requires that the state EPA issue certifications to specified individuals, organizations, and equipment prior to engaging in environmentally related activities. Most certifications are given to individuals, allowing them to perform particular tasks.
	Access Restrictions	None
	Contents	This record series may contain: Certification applications, exam results, correspondence, licenses, training class and continuing education information, and disciplinary action documentation.
	Retention and Disposition	Destroy two (2) years after certification expires

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Series	Records Title and Description	Function and Use
L6347	Institutional Control Records (V)	This record series documents the controls, as reviewed by state EPA personnel, that are used to monitor the managed area. KRS 224 provides for the establishment of institutional controls to be placed on a property to ensure that contamination left in place in a managed state is not disturbed and that the property use will be managed to prevent adverse exposures. These controls are usually in the form of an environmental covenant or a deed restriction. In the event contamination is left in place in a managed state, notices are filed at the county clerk's office in the county where the facility is located. The Department is mandated by the Federal Environmental Protection Agency to track institutional controls throughout their existence.
	Access Restrictions	None
	Contents	This record series may contain: Deed restrictions, covenant not to sue documents, and related documents and correspondence.
	Retention and Disposition	Retain permanently.
L6348	Program Delegation Records (V)	This record series documents the delegation process and approval. The Federal government may delegate the primary responsibility for implementing a federal program at a state level pursuant to 40 CFR. To receive program delegation, the agency must implement a program that is at least as stringent as the federal program and be able to demonstrate that it has the capacity to maintain oversight of the program. If the federal government concurs with this request, the state is given primacy to implement the program and the federal government retains a oversight role to ensure the agency maintains its responsibilities under the delegations.
	Access Restrictions	None
	Contents	This record series may contain: Federal delegation notices and related correspondence.
	Retention and Disposition	Retain permanently.
L6349	Environmental Audits	This record series documents the evaluation conducted by the facility, the finding of non-compliance, and then documents the processes implemented by the facility to correct the violations. KRS 224.01-40 allows entities to assess their compliance voluntarily and then disclose violations to the state EPA without threat of enforcement provided they address their violations in a timely manner. The Kentucky Legislature established this process to encourage staff to routinely evaluate their facility's compliance and take steps to correct any areas that do not meet the regulatory standards.
	Access Restrictions	None
	Contents	This record series may contain: Audit reports, sample analyses, and related correspondence.
	Retention and Disposition	Retain for ten (10) years, then destroy.

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Series	Records Title and Description	Function and Use
L5042	Occupational License Fee on Wages and/or Net Profits File	This record series documents payment of the occupational license fee by those working and/or doing business in local government. The occupational license fee is assessed upon all salaries, wages, commissions or other compensations from businesses, trades, occupations, professions and other activities in the local government. Also assessment on the net profits of all businesses, trades, occupations, professions and other activities in the local government. Each employer must withhold the license fee from gross wages, salaries, commissions and other compensation paid to employees for services performed within city. Each business must register for the occupational license fee. Each employer and/or each business must report quarterly and annually the license fee withheld of each employee and/or its net profit subject to the fee. All of this, along with correspondence, refund info., and audit information is documented in this file. The Annual Reconciliation of License Fee Withheld and the Employers' Quarterly Return of License Fee Withheld is part of this file.
	Access Restrictions	KRS 61.878 (1)
	Contents	This record series may contain: Net Profits License Fee Return, Annual Reconciliation of License Fee Withheld, Employer's Quarterly 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 three (3) years, then destroy after audit.
L5043	Quarterly Insurance Premium Tax Return (V)	This record series documents quarterly reporting of an individual insurance co. collection and payment of premium taxes to a local government which has adopted a municipal premium tax ordinance with KRS 91A.080. KRS 304.2-110 gives authority to the Commissioner of Insurance to make rules and regulations for the enforcement of the Insurance Code. 806 KAR 2:095, Section 2, has been adopted which requires that insurers make a quarterly report and payment to each city or urban co. government for municipal premium taxes collected during the quarter. The report is on a form prescribed by the Commissioner of Insurance or one created by the city which is substantially similar to the one prescribed by the Insurance Commissioner.
	Access Restrictions	None
	Contents	This record series may contain: Time period covered, name of company, employer I.d. #, name, title, address and phone of co. officer preparing the return, name of city or urban co. government, line of insurance, tax rate, premiums received, tax payable, collection fee retained, amount collected from policyholders, total in each category, signature line, date.
	Retention and Disposition	Destroy thirty (30) days after annual reconciliation report is reviewed and information verified for accuracy and audit.
L5044	Insurance Premium Tax Annual Reconciliation (V)	This record series documents annually reporting of an individual insurance companies' collection of municipal premium taxes from policyholders to a city or urban county government who has passed a municipal tax ordinance. Municipal premium taxes are levied pursuant to KRS 91A.080. KRS 304.2-110 gives authority to the Commissioner of Insurance to make rules and regulations for the effectuation of that part of the Insurance Code. As a result, 806 KAR 2:095, Section 3, has been adopted which provides that insurers shall provide each city or urban county government an annual report(reconciliation) on or before March 31 or each year of municipal premium taxes paid during the preceding calendar year.
	Access Restrictions	None
	Contents	This record series may contain: Time period covered, name of company, employer identification number, name, title, address and phone of company officer preparing the return, name of city or urban county government, arranged by quarter listing line of insurance with established tax rate.
	Retention and Disposition	Retain for five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
L0945	Customer Utility Bill (V)	This record series documents the payment of the monthly utility bill. The portion(stub or copy) of the billing sent back by the customer is maintained by the city for the purpose of entering the amount paid into the correct account. Used as a audit instrument as well.
	Access Restrictions	None
	Contents	This record series may contain: Account #, item, amount, net bill due now, gross bill due after a certain date, reading, previous reading, current reading, date read, usage, usage codes and terms of payment.
	Retention and Disposition	Retain for three (3) years, destroy after audit.
L4763	Work Orders (Service Start-up)	This record series documents initial (start-up) service and opens an account for a new customers. This same record is used for disconnection. .
	Access Restrictions	None
	Contents	This record series may contain: Date, work scheduled for date, customer name, service address, mail address, type of service, type of resident, ordered by, meter #, deposit amount, new service, turn-on date, turn off date, new meter reading, old meter reading, type of order, forwarding address, person completing form, date, account #, person recording data, date, and Social Security #.
	Retention and Disposition	If maintained electronically, destroy the paper copy eighteen (18) months after connection date. If maintained only in paper, maintain while the account is active and all payments made.
L4764	Meter Reading Book/Log/Register	This record series documents meter reading logs/register and is used to input data into billing database with the purpose being the collection of funds owed by customers for the use of city run utilities. The readings are usually taken monthly.
	Access Restrictions	None
	Contents	This record series may contain: Date run, book #, name of person taking the reading, page #, account #, meter I.D. #, customer name and address, reading method, current reading, previous reading, and average/previous use.
	Retention and Disposition	Retain for one (1) year, then destroy.
L4765	Customer Consumption List for Utilities	This record series documents customer bills and establishes a type of history of the project. Denotes any problems such as leaks. Used to compare with the original readings in case there are discrepancies or the usage is of abnormal amount.
	Access Restrictions	None
	Contents	This record series may contain: Run date, account #, customer name, reading date, previous reading, current reading, average reading, current use, remarks.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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Series	Records Title and Description	Function and Use
L4766	Monthly Billing Journal/Register (V)	This record series documents the creation of the utility bill for the month. The information is the same on this record as on the bill sent to the customer.
	Access Restrictions	None
	Contents	This record series may contain: Account #, customer name, service address, city, street, service, days, reading date,, usage, previous balance, charges, utility tax, taxes, net, penalty and totals.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4767	Certificate of Deposit	This record series documents a required deposit has been made for service to begin for a certain city utility. Usually if the monthly payment by the customer is received in a timely fashion without a balance, the deposit is returned after a year. If the monthly payments are not paid timely or there is a balance, the deposit is maintained by the city.
	Access Restrictions	None
	Contents	This record series may contain: Name of customer, address, deposit amount, date received, signature of customer.
	Retention and Disposition	Destroy three (3) years after refund or end of service with all balances paid and audit.
L4768	Periodic Accounts Receivable Activity Report (V)	This record series documents receipt of payment of utility bills and other fees for government services. This report may be done daily, monthly or annually. It is only needed for audit and as long as accounts receivable file is maintained.
	Access Restrictions	None
	Contents	This record series may contain: Account #, customer name, sequence, reference date, service given, amount paid and rate.
	Retention and Disposition	Retain for three (3) years, then after audit.
L4769	Closeouts-Final Billing (V)	This record series documents the final billing of a customer when service has been discontinued either by the customer or the city.
	Access Restrictions	None
	Contents	This record series may contain: Account #, address, date of last payment, amount of last payment, type of service(water, sewer, electricity, natural gas, cable or other), usage, previous balance, current charges, taxes, interest, totals, current reading, previous reading, deposit for service and date of payment.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L4770	Disconnection List (V)	This record series documents those customers where services have been disconnected because non payment. Used as a reference by the city to keep up with those customers whose services were disconnected. The payment of any balances will be shown on the Daily Cash Activity Report and Accounts Receivable. This series is produced at least monthly and may be completed at any time from the customer database.
	Access Restrictions	None
	Contents	This record series may contain: Date, account #, customer name, service address, last payment, meter ID, total due and delinquent amount.
	Retention and Disposition	Destroy when superseded.

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

STATE AGENCY RECORDS
RETENTION SCHEDULE

LOCAL GOVERNMENTS
 Utilities

Record Group
Number

Series	Records Title and Description	Function and Use
L4771	Closed Account Report	This record series documents the verification of those customers who have discontinued service with a zero balance. Can be used to reimburse the deposit and to verify that a discontinued account # can be used for a new customer. This report is run periodically at no special time. It is used mainly as a reference by the city's staff.
	Access Restrictions	None
	Contents	This record series may contain: Run date, account # customer's name, service address, city, state, zip, type of services, totals and date of last payment.
	Retention and Disposition	Destroy when superseded.
L4772	Delinquent Payment File (V)	This record series documents those customers whose service was discontinued because of non-payment. This record is not only used to collect balances due but also if the customer wants to re-establish services in the future all balances must be paid. This instrument assists the staff in making sure that there is no balance due if customers want to reconnect.
	Access Restrictions	None
	Contents	This record series may contain: Name of customer, last known address, account #, amount owed, date and overdue notices sent.
	Retention and Disposition	Destroy after payment or five (5) years and audit.
L6639	Water Loss Report	This record series documents all water purchased or produced during a given month. This is a summary of what was billed and the explanation of any water leaks. This includes those leaks at residences and any that may occur in the water system.
	Access Restrictions	None
	Contents	This record series may contain the dates, amount billed, statements concerning leaks which would include time, place and amount of leakage.
	Retention and Disposition	Retain three (3) years, then destroy after audit.
L6640	Boil Water Advisory (V)	This record series documents a type of consumer advisory that provides notice to the consuming public through radio, television, direct mail, electronic mail, posting, newspaper or other media and that conveys the quickest and most effective manner: a) Information that water provided by a system may cause adverse human health effects due to possible biological contamination if consumed, unless it is first boiled for three minutes at a rolling boil: and b) What action to take. Public water systems and semipublic water systems may issue boil water advisories if the system believes and advisory is warranted.
	Access Restrictions	None
	Contents	This record series may contain: Dates, list of customers affected, sample results and details of any leaks. It will contain the possible issues that are involved and instructions of how to conform to the advisory.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6641	Write Off of Uncollected Debt	This record series documents on an annual basis, the uncollected debt per customer. This amount is written off at the end of the year.
	Access Restrictions	None
	Contents	This record series may contain: Dates, name of customer, address and amount of billing.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.

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