Louisville Metro

Records Retention Schedule

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

Kentucky Department for Libraries and Archives

GLOSSARY OF TERMS
For
Records Retention Schedules

Permanent (P) Denotes records appraised as having historical, informational or evidential value that warrants preserving them permanently (forever) beyond the time needed for their intended administrative, legal or fiscal functions. These records may be destroyed **only** after the written permission is given by the State Archivist and after they are microfilmed according to specifications published by the Department for Libraries and Archives.

Confidential (C) Records deemed unavailable for review by the public after applying the state's Open Records Law (KRS 61.878) and other state and federal statutes and regulations with specific restrictions. The (C) is added to appropriate record series descriptions as a reminder to agency personnel and does not bear any legal status. **It is important to note that the local government head has the responsibility of knowing all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained in their office and to see that they are enforced**. Even though a record series may or may not be marked confidential on a records retention schedule, contradictory laws or regulations that are approved after the retention schedule has been completed may not be reflected but must be honored.

Vital Record (V) Records that are essential to the continued functioning of the local government during and after an emergency, as well as those records that are essential to the protection of the rights and interests of that local government and of the individuals for whose rights and interests it has a responsibility. Local Government should have a plan in place to identify those records and provide for their protection in case of a disaster (fire, flood, earthquake, etc.).

Duplicates Duplicate records that have not been assigned a retention period and function solely as reference and informational material may be destroyed when no longer useful. If the duplicate is considered the "copy of record", it must be retained according to the retention period on the schedule.

Destruction Certificate A destruction certificate should be used to document the destruction of public records and may be found, along with the instructions at the Kentucky Department for Libraries and Archives website (www.kdla.ky.gov). It should be used when destroying records according to the appropriate records retention schedule. No record created or maintained by a local government agency may be destroyed unless it is listed on the retention schedule and a destruction certificate completed and the original copy sent to the Department for Libraries and Archives (Department).

After Audit A term used in the disposition instructions to denote a records series that shall only be destroyed after the retention period has expired and an official audit has been performed. Example: 3 years and audit: This means that the record series must be kept for 3 years after last activity or date in a file. The record must have gone through the annual audit before it can be destroyed.

RECORDS RETENTION SCHEDULE

Signature Page

Louisville/Jefferson County Metro Government
Agency

June 11, 2009
Schedule Date

Unit

June 14, 2018
Change Date

June 14, 2018
Date Approved By Commission

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APPROVALS

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

Agency Head — Date of Approval

Agency Records Officer — Date of Approval

State Archivist and Records Administrator
Director, Archives and Records Management Division — 6/14/18 Date of Approval

Chairman, State Archives and Records Commission — 6/14/18 Date of Approval

****

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

Records Analyst/Regional Administrator — 6-14-18 Date of Approval

Appraisal Archivist — 6/15/18 Date of Approval

State/Local Records Branch Manager — 6/14/18 Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts — 6/14/18 Date of Approval

LOUISVILLE/JEFFERSON COUNTY METRO GOVERNMENT RECORDS RETENTION SCHEDULE

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Belle of Louisville

Record Group Number

Series	Records Title and Description	Function and Use
L6279	**Time and Attendance Records (V)**	This 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. This begins the payroll process. This particular record is used to document and verify the number of hours deck mates and captains work on the water in order to qualify for licensing and advancement and is required by the United States Coast Guard.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This series may contain: Employee name, social security number, time worked, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, totals and certifications.
	Retention and Disposition	Retain for thirty (30) years, then destroy.

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Record Group Number

Series	Records Title and Description	Function and Use
L4553	**State Records Retention and Disposal Schedule**	Series is State document listing record series, retention period, and disposition schedule. Form L-A&R 11-LG-a
	Access Restrictions	None
	Contents	Records lists series number, record title and description, retention period and disposition instructions.
	Retention and Disposition	Destroy when superceded.
L4554	**Archives and Records Transmittals**	This series is used to document records of all records sent ot the Metro Archives, or any of its predecessors, by a metro agency, or any of its predecessors. It has additional use of locating where records may be stored in the Metro Archives.
	Access Restrictions	None
	Contents	Name of agency, name of unit or subsection, series number, series title, date span, shelf location, quantity, date of transfer, signature line.
	Retention and Disposition	Retain permanently.
L4556	**Record Destruction Certificate**	This series documents the destruction of records by all Metro agencies in accordance with the records retention and disposal schedules approved by the State Archives and Records Commission. The certificate acts as a receipt or documentation of that destruction.
	Access Restrictions	None
	Contents	This record series may contain the agency name, date, schedule date, records group, destruction date, where destroyed, destruction method, serties number, series title, date span, cubic feet, accession number, unit number, location number, approvals and certifications.
	Retention and Disposition	Retain permanently.
L4557	**Annual and Summary Directors' Reports**	This series is used to document annual activities of Metro agencies or to address selected projects or issues important to Metro Louisville. Information obtained from these reports are critical ot the preparation of an administrative history of the area.
	Access Restrictions	None
	Contents	A narrative text outlining accomplishments of an agency or the study of a particular problem or issue and the response to it with recommended actions.
	Retention and Disposition	Retain permanently.
L4558	**Bylaws**	This series is used to document any by laws adopted by a Metro agency, board, or commission. The bylaws act as guidelines for the operation of such agencies and violations may lead to litigation in certain circumstances.
	Access Restrictions	None
	Contents	May define such things as mission, function, method of appointing officers, funding source(s), officers, terms of office, policies and procedures, etc.
	Retention and Disposition	Retain permanently.

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Record Group Number

Series	Records Title and Description	Function and Use
L4559	**Official Minutes**	This series is used to document the official actions and decisions of any agency, board, commission or foundation administered by or affiliated with Metro Government or its predecessors. The information contained in the minutes is of continuing historical and legal value.
	Access Restrictions	None
	Contents	May include: time and place of meeting; members present; agenda; actions taken; signature of presiding officer.
	Retention and Disposition	Retain permanently. Retain in agency 10 years then transfer to the Metro Archives for permanent storage.
L4560	**Notes and/or Recordings(audio/video) of Meetings**	This series is either written notes or an audio or audio/video recording of any agency, board, commission or foundation meeting and is used in preparation of the narrative minutes of a given meeting. The series is used to provide a more comprehensive version of meeting activity.
	Access Restrictions	None
	Contents	A sound or sound/video record (tape, cd, dvd or video cassette or any recording technology) of an individual meeting.
	Retention and Disposition	Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. If minutes are challenged, recordings should be retained until resolution.
L4564	**Budget Request -- Agency Copy**	This series is used to document an agency's request for operational funds to run the agency for the fiscal year. This series is the duplicate maintained at the agency.
	Access Restrictions	Prelliminary material - KRS 61.878(1)
	Contents	May include: agency priorities; suggested agency reductions; records of agency receipts; requests for budget enhancements; mission and vision statements, etc.
	Retention and Disposition	Destroy when no longer useful
L4565	**Common Financial Records -- Agency Copy**	This series is used to document all aspects of financial transactions between Metro Louisville and its vendors and suppliers. Record is duplicate material by agency/department initiating transaction.
	Access Restrictions	None
	Contents	May contain: Advice of Change Order; Advice of Emergency Purchase; Delivery Order; Departmental Authorization for Payment; Departmental Purchase Order; Interaccount Bill; Monthly Travel Report; Receiving Report; Notice of Agency Purchase; Purchase Order
	Retention and Disposition	Retain 3 years. Then destroy after audit.
L4566	**Lease Agreements -- Equipment (Agency Copy)**	This series is used as a duplicate of any lease agreement entered into by the Metro Government, or its predecessors, for equipment. Such equipment may include copiers, fax machines, telephones, other machinery, etc.
	Access Restrictions	None
	Contents	May include lease agreement, correspondence
	Retention and Disposition	Destroy 1 year after lease terminates

Series	Records Title and Description	Function and Use
L4567	**Lease Agreements -- Buildings (Agency Copy)**	This series is a duplicate of a lease agreement entered into by Metro Louisville, and its predecessors, for real property.
	Access Restrictions	None
	Contents	May include lease agreement; correspondence; financial records
	Retention and Disposition	Destroy 2 years after lease expires.
L4568	**Monthly Financial Reports -- Agency Copy**	This series is a duplicate of financial reports. Reports are generated monthly and provided to each department/agency. Reports are used to display each department's current financial status. Records are computer generated and agency/department specific.
	Access Restrictions	None
	Contents	May include: Organization Reports; Cost Center Reports; Appropriation Reports, Project Reports; Detail Transaction List; Payment Register; Encumbrance List; Input Validation Program Reports, etc.
	Retention and Disposition	Retain 3 years, then destroy.
L4569	**Payment Document -- Agency Copy**	This series is used to initiate payment by individual agency/department to vendor. Record is a duplicate.
	Access Restrictions	None
	Contents	Name of agency; name of vendor; approvals; amount requested; date; fund source
	Retention and Disposition	Retain 3 years, then destroy.
L4570	**Professional Services Contracts -- Agency Copy**	This series is used to document agency/department contracts with licensed professionals.
	Access Restrictions	None
	Contents	May include: contract, correspondence, fiscal information
	Retention and Disposition	Destroy 3 years after contract expires.
L4571	**Disposal of Surplus Property -- Agency Copy**	This series is used to verify disposal of an agency's surplus property. This is a duplicate.
	Access Restrictions	None
	Contents	May contain: list of items being declared surplus; date of disposal; final disposition of items.
	Retention and Disposition	Retain 3 years, then destroy.

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Series	Records Title and Description	Function and Use
L4573	**Fixed Assets Inventory**	This series is used to list equipment in the possession of each agency/department. Such equipment may include furniture, telephone equipment, computer equipment, typewriters, fax machines, tools, loading or unloading equipment, etc. Does not include vehicles. Record is cumulative.
	Access Restrictions	None
	Contents	May include: date of purchase, serial number, physical description of equipment, original cost of equipment, maintenance agreements, etc.
	Retention and Disposition	Destroy 3 years after update is completed and audit
L4575	**Official Administrative Subject Files**	This series is used to document the office operations of the Director of each agency/department of the Metro Government and its predecessors. Records are created to assist the Director and his/her staff in carrying out the mission of the Executive Branch. Records are usually arranged as "project files," with each record related to one issue, event, or project.
	Access Restrictions	Preliminary material - KRS 61.878(1)(h)(i)
	Contents	May include: drafts, internal memos, other preleiminary documents.
	Retention and Disposition	Retain permanently. Retain in Agency 10 years, then transfer to Metro Archives for permanent retention.
L4576	**General Administrative Subject Files**	This series is used by individual employees of the Metro Government and its predecessors. Records are created to assist the employee in carrying out the mission of the Executive Branch. Records are usually arranged as project files, with each record related to one issue, event or project.
	Access Restrictions	Preliminary material - KRS 61.878(1)(h)(i)
	Contents	May include: drafts, internal memos, other preleiminary documents.
	Retention and Disposition	Destroy non-permanently valuable material: Before destruction or transfer to Metro Archives, material must be reviewed by agency staff, and permanently valuable material must be transferred separately to Archives.
L4577	**Policy and Procedure Manual -- Agency Copy**	Record originates in the Department of Employee Relations, is approved by the Mayor and the Metro Louisville Council and duplicates are distributed to every agency/department of the Metro Louisville Government. Record is used as the authority in resolving all conflicts between employer and employee.
	Access Restrictions	None
	Contents	A narrative text that outlines all aspects of city employer and employee relations.
	Retention and Disposition	Update and destroy superceded policies.
L4578	**Miscellaneous Photographs, A/V tapes, CDs or Audio tapes**	Records are photographs, A/V tapes, CDs, or audio tapes taken by or on behalf of the Metro Government. Record does not include photographs taken in conjunction with any investigative or inspection function of the Metro Government. Any records not properly labeled (date of record, full name of persons in record, contents of material, location in photo, any information which will help identify material) will not be considered a permanent record and will be disposed of appropriately by the Archives staff. The information may have been used for promotional purposes, ceremonial occasions, or to compile information on a topic or issue.
	Access Restrictions	None
	Contents	Photographic images, sound recordings, and audio/visual tapes relating to the City of louisville or its agencies.
	Retention and Disposition	Retain identified information until no longer useful. Destroy the remainder.

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Series	Records Title and Description	Function and Use
L4581	**Open Records Register (V)**	The series is used to list all open records requests received by an agency/department. It is used to indicate complianace with Kentucky's Open Records laws and attention to individual requests.
	Access Restrictions	None
	Contents	May include: date of request, name or other identification of requestor, request for records, date of response of agency/department
	Retention and Disposition	Retain 5 years, then destroy.
L4583	**Organizational Charts**	The series is used to document agency/department approved employee reporting structure and functional design. The chart is useful to the public and employees in understanding government structure and point of contact.
	Access Restrictions	None
	Contents	Record is usually a line chart in pyramid style.
	Retention and Disposition	Retain one copy permanently in Metro Archives. Destroy all others.
L4584	**Personnel Folders -- Agency Copy**	This series is used as a duplicate of employee file maintained by Employee Relations/Civil Service. While employee is at agency is used for referencing actions.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: application; physical examination report; employment and educational verification; health insurance membership application; life insurance application; traing; exempt or nonexempt certification; position description questionnaire
	Retention and Disposition	Destroy after termination of employment and consultation with Human Resources Office to determine if any documents need to be transferred to official personnel file series L6096.
L4585	**Publications**	This series is material published by or for a Metro agency/department intended to give information related to a specific responsibility/activity of that agency/department. Record may be intended for internal or external distribution. Agency/department publishing material is responsible for sending two copies of material to Metro Archives for inclusion in Archives Library. Does not include citations, warrants or other legal/administrative official material.
	Access Restrictions	None
	Contents	Record is material published by or for a Metro agency/department intended to give information related to a specific responsibility/activity of that agency/department
	Retention and Disposition	Retain 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
L4586	**Occupational Safety and Health Administration (OSHA) Injury Log Sheets**	The series is used to record work-related injuries of employees of the Metro government and its predecessors. The information is maintained on a log sheet for OSHA reporting requirements
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Log may list: date of incident; name of employee; SS# of employee; type of injury; events surrounding the injury; action taken, etc.
	Retention and Disposition	Retain 5 years, then destroy.

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Series	Records Title and Description	Function and Use
L4587	**Miscellaneous Reports of Employee Activity**	This series is used to cover any report of any employee of the Metro Government or its predecessors not specifically mentioned in the Checklist. The reports can encompass a wide range of activities from conference reports to activity reports.
	Access Restrictions	None
	Contents	May include: duplicates of Out-of-State Trip Reports, Monthly Reports not produced by Department/Agency Heads, etc. Record amy be duplicate report not listed separately.
	Retention and Disposition	Retain 1 year, then destroy.
L4588	**Monthly and Annual Reports -- Original (excluding financial reports)**	This series is a report created by a Department/Agency Head regarding his/her subdivisions, detailing activities for a specific period of time. This report is the original and is kept in the files of the Department Agency/Head.
	Access Restrictions	None
	Contents	May include any information the Agency/Department Head may wish to give employees, selected officials, or the publis. Such matters as efficiency, productivity, informational items, progress reports on programs and projects may be addressed.
	Retention and Disposition	Retain one copy permanently in Metro Archives. Destroy all others.
L4589	**Paid Overtime Report -- Agency Copy**	Series is a report of overtime paid to employees of the Metro Governemnt and its predecessors during a specific time period. Record is created at Department/Agency and transmitted to Finance Office for action. Agency/Department retains duplicate.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: date of report; names and SS# of employees; hours of overtime; cause for overtime
	Retention and Disposition	Retain 5 years, then destroy.
L4590	**Position Control Report -- Agency Copy**	Series is a computer printout listing all employees of Metro Louisville or its predecessors, their agency/department, SSN, budget slot, job code, regular hours, annual salary, budgeted salary, tax information, other direct withdrawal information, hire date, and minimum/maximum salary.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	All employees of Metro Louisville or its predecessors, their agency/department, SSN, budget slot, job code, regular hours, annual salary, budgeted salary, tax information, other direct withdrawal information, hire date, and minimum/maximum salary.
	Retention and Disposition	Destroy when superceded

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Record Group Number

Series	Records Title and Description	Function and Use
L6237	**Grant Administration File (V)**	This record series documents different grant projects that may be administered by agencies within Metro Government. These may come from federal, state or local funds and also may be distributed 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 the application, income level survey forms, working papers, engineering drawings, reports, correspondence, reference material, financial and statistical data.
	Retention and Disposition	Destroy 3 years after submission of the final report and audit
L6238	**Minutes - Staff Meetings - (Internal meeting minutes)**	This series documents the record of proceedings of internal meetings in departments, divisions and offices. The series includes information for providing direction, clarifying procedures, decision making among staff, or development of new ideas. These meetings reflect the inter-workings of the particular office component.
	Access Restrictions	None
	Contents	Series may contain: Date of meeting; department; location of meeting; organizational level; discussion topics; names of attendees; decisions reached, if applicable.
	Retention and Disposition	Retain 3 years, then destroy.
L6239	**Policies and Procedures (Manuals or Memorandums) (V)**	This record series is used to document all polices and procedures regulating the internal administrative functions of Metro Government and its divisions. 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 Metro Government. This may be kept electronically but precautions should be taken to ensure that one copy is maintained permanently along with changes made over time.
	Access Restrictions	None
	Contents	This record series contains purchasing and procurement policies, internal controls, 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 1 copy permanently. Destroy excess copies when no longer useful or when superseded.
L6240	**Duplicate "Copy of Record"**	This record series is created/reproduced/copied for administrative convenience and distributed throughout the Metro Government and its divisions. These are excess copies that are not recognized as the copy of record. The duplicate copy may be used differently by offices throughout Metro Government. When the usefulness of this duplicate has run its course you may destroy it.
	Access Restrictions	None
	Contents	This record series may contain duplicates of the copy of record regardless of the format (paper, microfilm or electronic).
	Retention and Disposition	Destroy when no longer useful.

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Record Group Number

Series	Records Title and Description	Function and Use
L6241	**Surveillance Video/Audio Recordings**	This record series is used to document the activities in public areas of Metro Government. 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, Metro Government offices and any where the public has access. These recordings are used as a security measure in the identification of persons who cause disturbances or violate laws.
	Access Restrictions	None
	Contents	Video/audio of a certain area of the facility or the outside of the facility.
	Retention and Disposition	Retain 30 days. Destroy if no litigation is pending.
L6242	**Periodic Reports to Governing Body**	This series documents monthly and/or quarterly administrative and/or economic activity for each department, agency or office which has a duty to report to their governing department, office or legislative body. Also included in this are special studies done by committees appointed by Metro Council. The information may then be summarized on a yearly basis. These also become a part of the minutes if submitted to a governing body.
	Access Restrictions	None
	Contents	Date, narrative, statistics, signature of department head, cover letter
	Retention and Disposition	Retain 3 years, then destroy.
L6243	**Official Correspondence**	This record series documents the major activities, functions, events and programs of Metro 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 administrativie 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.

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Record Group Number

Series	Records Title and Description	Function and Use
L6244	**Routine Correspondence**	This 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. General 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 of an e-mail 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. Routine correspondence does not include: non-business related messages, spam and junk mail.
	Retention and Disposition	Retain 2 years, then destroy.
L6245	**Nonbusiness Related Correspondence**	This series represents paper correspondence and email that is commonly found at all levels of an organization and is not related to agency business. It consists of messages of a purely personal nature, spam, and other unsolicited correspondence. (See contents for more detailed descriptions.) Agency staff should destroy or delete these records upon receipt because they are not business-related, and because agencies may be required to produce them under legal orders or open records requests. This type of correspondence is problematic for many reasons: SPAM and unsolicited messages (1) tend to exist in tremendous quantities, which can overwhelm an email system; (2) are usually unwanted; (3) can be offensive; and (4) are potentially virus laden. Personal messages (1) take away from an employee's work time; (2) may be interspersed with business related email, making management difficult and exposing the agency to potential embarrassment and legal risk; and (3) may be a violation of the agency's email and Internet acceptable use policy . Given the nature of email, the existence of this type of correspondence is inevitable and agencies are encouraged to train employees to delete it as soon as possible. See "Guidelines for Managing Email in Kentucky Government"(KDLA Website) for more information on managing email correspondence.
	Access Restrictions	None
	Contents	Nonbusiness related correspondence is incoming and outgoing correspondence that may consist of: Paper records that may be personal, unsolicited and unwanted that has nothing to do with agency business. Email that may be: (1) Personal messages: While a certain amount of personal material maybe acceptable, abuse of the system can lead to disciplinary action and even dismissal. All agencies should have an appropriate use policy that determines the amount of personal messages acceptable on the system. (2) SPAM is the term for electronic junk mail. It is completely unsolicited and unwanted. It can be offensive in nature, can carry viruses and is sent as a way of disrupting normal business operations. (3) Unsolicited messages are email that may be unwanted, but is somewhat business related such as advertising from vendors and non-work related email from coworkers such as jokes and forwards, miscellaneous news articles, non-work related announcements, etc.
	Retention and Disposition	Destroy all nonbusiness related records and delete all non business related email immediately.

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Series	Records Title and Description	Function and Use
L6246	**Informational and Reference Material**	This 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 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	Informational 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 L6244-General Correspondence); and duplicate copies of records retained for reference purposes only.
	Retention and Disposition	Destroy when obsolete or no longer useful.
L6247	**Department for Libraries and Archives Records File**	This record series is used to document the official relationship with the Department for Libraries and Archives concerning records retention, records disposal, records transfers, records surveys and microfilm evaluation.
	Access Restrictions	None
	Contents	This record series may contain the signed records destruction certificate, signed records transmittal form, completed records survey and microfilm quality evaluation.
	Retention and Disposition	Retain permanently.
L6248	**Press Releases**	This press release is used to inform the public about the activities and programs of the local government and it's agencies. They may be concerning a single item or may be general in nature. They may be promotional or information-seeking. If there are duplicate copies, please see record series # L6240 "Duplicate Copy of Record".
	Access Restrictions	None
	Contents	A narrative of time, place, event, activity, item being publicized, information sought, etc.
	Retention and Disposition	Retain 1 year, then destroy.
L6249	**Litigation File (V)**	This record series is used to document the litigation process that may arise from Metro Government and its divisions being sued or suits brought by Metro Government against others. This file is basically a working file of the Metro Government attorneys. This may be in the County Attorney's office. These may be individuals, groups, or Metro 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 Metro 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 the names of plaintiff, defendant, date, case information, motions, judgment, affidavits, transcripts, appeals, and supporting documentation.
	Retention and Disposition	Destroy 10 years after all litigation has ceased

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Record Group Number

Series	Records Title and Description	Function and Use
L6250	**Insurance Claims File (Liability General and Auto) (V)**	This record series is used to document those claims by a third party against Metro 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 contains the accident reports, injury/complaint report, medical determinations, summary of claim, police report if necessary.
	Retention and Disposition	Destroy 5 years after claim is settled. If third party is a minor when third party reaches 23 years of age.
L6251	**Insurance Claims File (Non-Liability General and Auto) (V)**	This record series is used to document claims where a Metro 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 2 years, then destroy.
L6252	**Vehicle Maintenance Record File**	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning Metro Government vehicles.
	Access Restrictions	None
	Contents	This record contains the name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	Retention and Disposition	Retain 1 year, then destroy.
L6253	**Photographic File**	This series documents agency activities and functions in a photographic format. Such activities may document the administrative functioning of an agency, its programs and operations. Records in this format (if determined to be archival), often replace or supplement more traditional kinds of recordkeeping, and may be critical to an understanding of the administrative history of an agency. When creating records in this format, agency personnel should properly identify the event being photographed and the participants.
	Access Restrictions	None
	Contents	Series contains: Photographs and accompanying explanatory materials and finding aids.
	Retention and Disposition	Retain permanently the Identified material that has to do with Metro Government. Duplicates and non-identified photos may be destroyed if not needed by other agencies.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Checklist

Record Group Number

Series	Records Title and Description	Function and Use
L6254	**Agenda/Itineraries/Schedules of Meetings**	This record series is used to document the time and place of meetinigs and the agendas for those meetings. These may also be a part of the official minutes of meetings and will become a permanent record at that point. If they are kept seperately as well this retention period may be used.
	Access Restrictions	None
	Contents	This record series may include the time, date, place of meeting and the subjects to be covered.
	Retention and Disposition	Retain 1 year, then destroy.
L6255	**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, budgets, school district budgets, ordinances, bids for materials, supplies, equipment or services . 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	The contents of the advertisement of a hearing, meeting or examination states the time, place and purpose of the same. An advertisement of an election states the time and purpose of the election; An advertisemet for bids or of a sale shall describe what is the be bid for or sold, the time and place of the sale or for the receipt of bids and terms of the sale; where any statute provides that, within a specified period of time after action by any governmental agency the time and place when and where action may be taken. This file may also contain the affidavit of publication by the newspaper.
	Retention and Disposition	Retain permanently.
L6262	**Citizen Complaints/Petitions**	This record series is used to document concerns of citizens. These are citizens' complaints which may point up irregularities or abuses by Metro government or its employees. These complaints may result in recommendations for policy changes to improve access to metro government offices and also answer the concerns of the citizens. The complaints are filed by citizens [examples are poor service, repairs needed to streets or property]. Complaints are either passed on to the appropriate agency for action or in the case of possible litigation to the appropriate office . This file will consist of correspondence between the complainant and the Metro Government.
	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 2 years, then destroy.
L6263	**Open Records Request for Inspection/Disposition Record (V)**	This series documents requests for information from the public, press, or other governing agency. It is a joint form that also documents approval and/or denial of information and supporting documentation. It is used as a request to inspect any document controlled by the Metro Government or its predecessors. Record is transmitted from receiving agency to the Legal Department for review and response.
	Access Restrictions	None
	Contents	Date of request, requesting party name, information requested, copies needed or only viewing, disposition, supporting documentation for decision.
	Retention and Disposition	Retain 1 year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Checklist

Record Group Number

Series	Records Title and Description	Function and Use
L6264	**Fleet Tracking Record**	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 Metro agencies use to track and verify location of vehicles and delivery of services. These are used extensively by Metro agencies including EMS, Public Protection and Public Works. The data is integrated with data storage information systems and maintained on a server 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 two (2) years, then destroy.
L6271	**Program Files**	This record series is used to document programs that may be developed, created or established by official agencies throughout Metro Government. These may be programs that are funded by federal, state and local funds that may run for varied amounts of time. Program files establish and document the goals, objectives and specific plans for each program and those who use the program.
	Access Restrictions	None
	Contents	This record series may contain the specific elements of the program and also includes program related reports, correspondence, copies of financial records, needs assessments, attendance records.
	Retention and Disposition	Retain 3 years, then destroy.
L6376	**Injury Reports**	The record was created to document all injuries received by Metro personnel while on the job. It documents the personnel history of the injured worker in order to determine that worker's compensation and the employees salary was not paid at the same time.
	Access Restrictions	None
	Contents	This record series may contain the name of the employee, his or her job, salary at time of accident, type of injury, circumstances of injury, treatment or hospitalization required and any time off the job due to the injury.
	Retention and Disposition	Retain 5 years, then destroy.
L6377	**Accident Reports**	The record was created to document accidents involving vehicles. The records is used as the first step in the process of assessing damage to vehicles belonging to Metro Government. Once the accident has been documented, insurance companies begin the process of assessing damages for the policy holders in order to determine payment under the insurance policy.
	Access Restrictions	None
	Contents	This record series may contain the names of the vehicle operators involved in the accident, descriptions of the vehicles, a description of the accident, where the accident occurred, a diagram of the accident scene, any property damage or injuries and the ID number of the officer responding to the scene.
	Retention and Disposition	Retain 3 years. Then destroy.

Series	Records Title and Description	Function and Use
L6387	**Volunteer Participation File**	This record series is used to document those who participate as volunteers for all metro agencies. These records are maintained as a reference and to verify that a person has worked as a volunteer. Information can be used by a local agency as a reference to keep track of volunteers for future utilization.
	Access Restrictions	None
	Contents	This record series may contain the 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 5 years, then destroy.
L6664	**Sign-In and Sign-out Log**	This record series is used to identify those visitors, employees, vendors and others who may come into any Metro 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 the 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 30 days, then destroy.
L6667	**Open Records Appeals to the Office of the Attorney General**	This record series is used to document appeals to the Office of Attorney General concerning requests made for public records under Kentucky's Open Records Law (KRS 61.870 - 61.884). If a Metro Louisville agency denies a request for public records, the requester may file an appeal with the Attorney General for review of the agency's action. The Attorney General will review the appeal and issue a decision stating whether the agency violated the Open Records Act. The Attorney General will mail a copy to the agency and a copy to the person who requested the disputed records.
	Access Restrictions	
	Contents	This record series may contain the date, signature of the Attorney General, signature of Assistant Attorney General, the appeal letter, public agency response, notification to agency of receipt of open records appeal, response of public agency to the appeal, and the decision.
	Retention and Disposition	Retain 5 years, then destroy.
L6689	**Incident and Accident Reports**	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.
	Access Restrictions	KRS 61.878 (1) (a) Personal Information
	Contents	This record series may contain: Name, address, phone number, age, sex, and social security number 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.
	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. If any investigation or litigation involving these records is taking place or is pending, maintain until all investigative or legal activity is completed.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Codes and Regulations

Record Group Number

Series	Records Title and Description	Function and Use
L5060	**Energy Systems Assistance Program - Client Files**	Record documents the city's Energy Systems Assistance Program clients for repair work done.
	Access Restrictions	Sec. 513 of P. L. 93-380
	Contents	May include: bid documents, contract pay documents, contractor invoices, work write-ups, deficiency notices, warranty, correspondence, national energy audit information, application with supporting documents, utility usage information, property ownership verification and tax information.
	Retention and Disposition	Destroy 5 years after Community Development Block Grant (CDBG)/HOME closeout and audit.
L5061	**Energy Systems Assistance Program - Contractors Files**	Record maintains information about all contractors who apply to participate in the Energy Systems Assistance Program. Contractors apply annually and information is carried forward year-to-year for contractors who reapply.
	Access Restrictions	None
	Contents	May include: application, verification of references, contract between City and contractor, insurance certificate, occupational licenses, certification regrading lobbying, correspondence, memos for record, contractor suspension criteria, complaints, resolution of compliance, suspension hearing transcripts, etc.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L5998	**Inspection Reports**	This record series is used to document the inspection of structures that are newly built or altered . These include building, electrical, plumbing, plans and specifications and housing inspections. These are done in accordance with building code mandates. A certificate of occupancy can only be issued after successful inspections of all aspects of the structure.
	Access Restrictions	None
	Contents	This record series may contain the address of structure, type of construction, type of inspection, date of inspection, narrative of inspection, list of violations, results of inspection, name of inspector, signature of inspector and if there are inadequacies what needs to be done to correct it.
	Retention and Disposition	Retain 3 years, then destroy.
L5999	**Building Permits Issued**	This record series documents application by a property owner to build and/or alter a building on property. Included in this records series are permits for commercial, new residential, residential remodeling, additions, and accessory structures, demolition/wrecking, signs, swimming pools, fences, grading and others. It is used to insure compliance with established requirements of the set forth in the building code. This information is also shared with the local property valuation office so that, if necessary, property taxes may be adjusted for the affected property.
	Access Restrictions	None
	Contents	Date, permit number, property owner name, description of building to be constructed or changes made to existing building, electrical demolition, zoning requirements, site plans, housing plans, property information and correspondence.
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Codes and Regulations

Record Group Number

Series	Records Title and Description	Function and Use
L6000	**Building Permit Monthly Report**	This record series is used to document the total number of building permits issued and the fees associated with them on a monthly basis.
	Access Restrictions	None
	Contents	Date, name of person requesting permit, the amount charged.
	Retention and Disposition	Retain 5 years, then destroy.
L6001	**Certificate of Occupancy**	This record series is used to document that an inspection of a building has been done and that the inspection indicated that the building was constructed in compliance with requirements of the Uniform State Building Code. The inspection shall be comprehensive and include provisions of general construction; structural quality; mechanical systems; electrical systems; and life safety from hazards of fire, explosion, and other disasters. A copy of the certificate is sent to the Commissioner of Housing, Buildings and Construction.
	Access Restrictions	None
	Contents	This record series may contain the building permit number; address of the structure; name and address of the owner; a description of that portion of the structure for which the certificate is issued; inspection statement; name of the building official; edition of the code under which the permit was issued; If an automatic sprinkler system is provided and whether it is required; any special stipulations and conditions of the building permit; date of inspection, description of property; name of contractor.
	Retention and Disposition	Destroy when structure is destroyed
L6002	**Residential Building Plans File (House Plans)**	This record series is submitted when applying for a building permit. These plans are voluminous and are not used after the certificate of occupancy has been issued. The builder also has a set of these plans. This may be used for enforcement of building codes and reference for later modifications. The homeowner's warranty is in effect for one year, during which time the builder must address any issues the resident raises. The agency will keep the plans to allow the resident easy access to them. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the residence.
	Access Restrictions	None
	Contents	All files will contain: Building plans; Plat plan; Zoning approval; Worker's Comp coverage agreement. Files may contain a checklist of plan review; sewage permits; deck specification sheets, blueprints, drawings.
	Retention and Disposition	Destroy one year after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.
L6003	**Building Permit Application File - Not Issued**	This record series is used to document those who submit an application for a building permit. These were not issued because the applicant did not meet certain criteria. An application for a permit for any proposed work shall be deemed to have been abandoned 180 days after the date of filing, unless such application has been pursued in good faith or a permit has been issued; except that the building official is authorized to grant one or more extensions of time for additional periods not exceeding 90 days each. The extension has to be requested in writing and justifiable cause demonstrated. These may be applications for commercial, new residential, remodeling, additions, demolition, signs, swimming pools, fences, grading and any other.
	Access Restrictions	None
	Contents	This record series may contain the application, site plan, any written approvals, design requirements, plant requirements, full set of plans, name of construction location, owner, address, contractor, signature of applicant.
	Retention and Disposition	Destroy 180 days if permit is not issued. Destroy when all appeals and extensions end.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Codes and Regulations

Record Group Number

Series	Records Title and Description	Function and Use
L6004	**Commercial Building Plans File (Nonresidential)**	This record series is submitted by persons applying for a building permit for all new commercial buildings, additions and/or improvements. This record helps document the planning and construction of a commercial facility. They are maintained to allow the owner easy access to them in the event that problems arise involving the facility and for code enforcement. Once the agency has issued a certificate of occupancy, it has no legal jurisdiction over problems involving the project.
	Access Restrictions	None
	Contents	This record series may contain site plans, blueprints, drawings, foundation plans, floor plan, stair details, all means of egress, mechanical and electrical plans. May also include change orders or plan modifications.
	Retention and Disposition	Destroy two years after certificate of occupancy issued. If no building permit is issued, destroy in 180 days.
L6005	**Condemnation File (V)**	This record series documents the record of proceedings, events, and conditions of a property slated for condemnation for reasons such as collapse of property, unsanitary conditions, health of public in jeopardy, or a lack of public utilities. The process is begun through violation of the Property Maintenance Code and appeals can only be taken to the Codes Appeals Board and then to Circuit Court.
	Access Restrictions	None
	Contents	May contain photographic evidence, documentation of notices and orders, court order
	Retention and Disposition	Retain permanently.
L6091	**Demolition Case Files**	This series documents all activities surrounding the demolition of private buildings in Metro Louisville. Buildings are demolished due to their unsafe condition and the property owner's inaction to put the building in a safe condition. The activities documented range from the point of decision to demolish through the actual demolition and the placing of a lien on the property.
	Access Restrictions	None
	Contents	Code Enforcement Inspection Reports; photographs of the building before and after demolition.
	Retention and Disposition	Retain 15 years, then destroy.
L6092	**Daily Activity Log**	This series serves as a memory aid for IPL personnel when they complete data input forms for the time usage system. It also documents mileage driven in city vehicles. The series is destroyed after the computer reports are printed and checked by management, usually within 30 days.
	Access Restrictions	None
	Contents	May include narrative notes and calendar notations as well as beginning and ending mileage for each trip
	Retention and Disposition	Retain 30 days, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Codes and Regulations

Record Group Number

Series	Records Title and Description	Function and Use
L6094	**Miscellaneous Permit Files**	This series documents the application for and granting of permits for the renovation, reconstruction, remodeling and/or the upgrade or replacement of building systems of existing minor buildings. Does not include minor buildings for which a permit exists with the original construction permit. Minor buildlings are single occupant residential structures of any height or buildings two stories or less that are not Assembly Halls, Commercial or Apartment Complexes. The intent of this series is to ensure that all changes to minor buildings comply with code and zoning requirements. The record also includes applications for/approvals for signs.
	Access Restrictions	None
	Contents	May include application for permits, correspondence, review sheets, drawings and plans, inspectors' notes & approvals, and permits.
	Retention and Disposition	Retain 3 years, then destroy.
L6095	**Licensee Case Files**	This series documents the licensing process for alcoholic beverages, adult entertainment, massage, taxi drivers, private detectives, dance halls, street vendors, pawnbrokers, horsedrawn carriages, junkyards and coin operated amusement devices. Includes documents for licensing facilities as well as individuals and employees.
	Access Restrictions	None
	Contents	May include: license application; citations; correspondence; newspaper advertisements; corporation legal papers; criminal transcripts; police record checks; leases; hearing letters; tax clearances; food sale affidavits, fingerprints; Revenue Commission applications; photo ID cards; and training information.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6934	**Violation and Inspection Files**	This record series documents violations of codes and/or ordinances against property within Louisville/Jefferson County Metro area. Violation notices are issued to property owners for violations of building codes, housing codes and zoning, weed, rubbish, junk cars and sidewalk regulations. Violation notices are given to property owners detailing specific violation(s), specific remedies and the timeframe for which corrections must take place. Included in this series are the Code Enforcement inspections relative to the violations, complaints, remedies and actions taken. If violation(s) results in litigation, this documentation may become part of a litigation file.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This series may include: Owner contact information, description of property in violation, violation notice, date(s) of violation(s), zoning change, complaint, photograph, junkyard notice, inspection sheet, orders, court orders, and correspondence.
	Retention and Disposition	Retain for ten (10) years after violation notice issued, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
County Attorney

Record Group Number

Series	Records Title and Description	Function and Use
L6267	**Domestic Violence Prosecution Case File (V)**	This record series is used to document the County Attorney's activity in prosecuting domestic violence cases. These are used to reference over time for the purpose of tracking repeat offenders. The file documents the level of violence and the evidence in the case. The documents that compose the file are those created along the judicial process of prosecuting the case. This file is a work product for the purposes of prosecuting the case.
	Access Restrictions	KRS 61.878 (1)(h)
	Contents	This record series may contain all evidence in the case, including name of offender along with directory information about the offender. The evidence includes notes taken from victims, photos of physical abuse and other information obtained from victims and witnesses.
	Retention and Disposition	Retain 7 years, then destroy.

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

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Develop Louisville
Planning and Design Services

Record Group Number

Series	Records Title and Description	Function and Use
L6929	**Site Development Plan File (Acted Upon)**	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 the Louisville/Jefferson County Metro Government. The developer is required to submit a plan indicating all physical information regarding 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	Agencies should consult legal counsel regarding open records matters.
	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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Develop Louisville
Rehabilitation

Record Group Number

Series	Records Title and Description	Function and Use
L5064	**Rehab Incentive Program Files**	Record documents the giving of grants to correct exterior code violations on owner-occupied structures. This program is targeted to certain census tracts within the City and applicants must meet low and moderate income guidelines.
	Access Restrictions	Sec. 513 of P. L. 93-380
	Contents	May include: Application, title search, violation notice, photos, bid forms, construction agreements, requests for payment, final inspection.
	Retention and Disposition	Destroy 5 years after Community Development Block Grant (CDBG) closeout and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Develop Louisville
Vacant and Public Property Administration

Record Group Number

Series	Records Title and Description	Function and Use
L6928	**Abandoned Urban Property Appeals**	This record series documents abandoned urban property appeals, the records and information provided by the property owner for the appeal and any additional information added by the Vacant and Public Property Administration. Owners of property deemed abandoned may appeal the designation to the Vacant Property Review Commission. Abandoned urban property means any vacant structure, or vacant, or unimproved lot, or parcel of ground located within the Urban Services District which has been vacant, or unimproved for a period of at least one year and which: (1) Because it is dilapidated, unsanitary, unsafe, vermin infested, or otherwise dangerous to the safety of persons, it is unfit for its intended use; (2) By reason of neglect or lack of maintenance has become a place for the accumulation of trash and debris, or has become infested with rodents or other vermin; or (3) Has been tax delinquent for a period of at least three years. Abandoned urban property is established as a separate classification of real property for the purpose of ad valorem taxation and a higher tax rate may be levied (KRS 132.012).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This records series may contain: Property identifying information, written appeal from owner, supporting documentation (deeds, rehabilitation receipts, contractor agreements, pictures), PVA data, tax delinquency information, codes and regulations cited, copies of liens, research reports by Metro staff and related information.
	Retention and Disposition	Retain until final decision is complete, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Develop Louisville
Weatherization

Record Group Number

Series	Records Title and Description	Function and Use
L5062	**Weatherization Contractors Files**	The Metro Louisville Weatherization program provides services to meet minimum health and safety requirements of elderly or handicapped residents living in substandard housing. Such services may include but not be limited to, caulking or weather-stripping around doors and windows, installing plastic storm "windows", patching holes or gaps in floors or walls. This program is intended to maintain residents in safe and healthy living conditions. This record maintains information about all contractors who apply to participate in the weatherization program. Contractors apply annually and information is carried forward year-to-year for contractors who reapply.
	Access Restrictions	None
	Contents	May include: application, verification of references, contract between City and contractor, insurance certificate, occupational licenses, certification regrading lobbying, correspondence, memos for record, contractor suspension criteria, complaints, resolution of compliance, suspension hearing transcripts, etc.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L5063	**Weatherization Client Files**	The Metro Louisville Weatherization program provides services to meet minimum heath and safety requirements of elderly or handicapped residents living in substandard housing. Such services may include but not be limited to, caulking or weather-stripping around doors and windows, installing plastic storm "windows", patching holes or gaps in floors or walls. This program is intended to maintain residents in safe and healthy living conditions. This record documents eligibility and actual work performed on clients homes. Also documents payments to private contractors and sub-grantees.
	Access Restrictions	Sec. 513 of P. L. 93-380
	Contents	May include: Client application with eligibility documents, landlord/tenant agreement, contractor job logs, home heating audit, bid specifications and post inspector checklist, agency/contractor agreement, change orders, contractors notification of completion and approval, deficiency notices, contractors invoices.
	Retention and Disposition	Retain 5 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L5577	**Vehicle Repair Form**	This series represents a history of a vehicle's repairs under the VET program. If a vehicle is tested under the program and fails, the failing form contains the vehicle repair form which the mechanic must complete to indicate repairs and costs of repairs. The form is then turned in to the VET inspectors before the second test.
	Access Restrictions	None
	Contents	List of vehicle equipment repair and cost; list of vehicle emission and/or OBD repair and cost; catalytic converter replacement statement; owner/self repair statement; repair facility statement.
	Retention and Disposition	Retain 1 years, then destroy.
L6202	**Compliance Monitoring Records (V)**	This 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 series may include dates, facility names and addresses, monitoring data, compliance reports, chain of custody records, lab sheets, sampling plans, and related correspondence
	Retention and Disposition	Retain 10 years, then destroy.
L6203	**Notification and Complaints Records (V)**	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 l 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 series may include 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 10 years, then destroy.
L6204	**Enforcement Records (V)**	This 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 series may include 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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L6205	**Compliance Deficiency Notification Records (V)**	This 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 series may include 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 10 years after case closure.
L6206	**Federal Assistance Review Records**	This 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 series may include 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 3 years, then destroy.
L6207	**Environmental Impact Study Records (V)**	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 series may include name, address, identification number of the facility or entity, environmental assessments, environmental impact statements and related correspondence.
	Retention and Disposition	Retain permanently.
L6208	**Financial Assurance Records**	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. This series documents the facility's ability to meet those requirements. 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 series may include 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 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L6209	**Compliance Evaluation Records**	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 series may include name, location and address of facility, investigation reports, inspection reports, photographs, correspondence, compliance documentation and sample analyses
	Retention and Disposition	Retain 10 years, then destroy.
L6210	**Emissions Inventory Records (V)**	KRS 224.20-050 authorizes the state EPA to assess fees against air emissions to fund the air quality control program. This series documents the process of conducting emmissions inventories for fee assessment. 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 series may include name, location and address of facility, emissions survey letters, checklists, billing, and related correspondence.
	Retention and Disposition	Retain 10 years, then destroy.
L6211	**Ambient Monitoring Records (V)**	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. This series provides documentation of the processes used for the assessment. 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 series may include monitoring data, quality control records, chain of custody records, lab sheets, sampling plans, and related correspondence
	Retention and Disposition	Retain permanently.
L6212	**Facility Planning Records (V)**	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 series may include 201 wastewater facility plans, sewer overflow plans, drinking water monitoring plans, reports, and related correspondence.
	Retention and Disposition	Retain 20 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L6213	**Authorization Records (V)**	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 documents the authorization to conduct business activities that are stated in KRS 224. 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 series may include authorization applications, approval letters, permits, registration forms, permit modifications, deficiency letters, and related correspondence.
	Retention and Disposition	Destroy 10 years after end of authorization period.
L6214	**Corrective Action and Closure Records (V)**	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. This series documents actions taken by the Metro Government to remediate the site either by removal of the contamination or methods used to manage and monitor the area. The 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 series may include 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 30 years after case closure.
L6215	**Technical Assistance Records (V)**	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. This series documents the assistance provided by the state EPA staff to answer these question and provide assistance.
	Access Restrictions	None
	Contents	This series may include site visit reports, correspondence, assistance tracking reports, photographs, compliance implementation plans, and sample analyses.
	Retention and Disposition	Retain 10 years, then destroy.
L6216	**Certification Records (V)**	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. This series provides documentation on certifications, which include, but are not limited to, drinking water operators, wastewater operators, landfill managers, landfarm managers, and asbestos removers.
	Access Restrictions	None
	Contents	This series may include certification applications, exam results, correspondence, licenses, training class and continuing education information, and disciplinary action documentation
	Retention and Disposition	Destroy 2 years after certification expires

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L6217	**Institutional Control Records (V)**	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. This series documents the controls, as reviewed by state EPA personnel, that are used to monitor the managed area. 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 series may include deed restrictions, covenant not to sue documents, and related documents and correspondence
	Retention and Disposition	Retain permanently.
L6218	**Program Delegation Records (V)**	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. This record documents this delegation process and approval.
	Access Restrictions	None
	Contents	This series may include federal delegation notices and related correspondence.
	Retention and Disposition	Retain permanently.
L6219	**Environmental Audits**	KRS 224.01-40 allows entities to assess their compliance voluntarily and then disclose violations to the state EPAt 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. 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.
	Access Restrictions	None
	Contents	This series ay include audit reports, sample analyses, and related correspondence.
	Retention and Disposition	Retain 10 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District

Record Group Number

Series	Records Title and Description	Function and Use
L6265	**State Implementation Plan (SIP) (V)**	This record series is used to document air quality standards mandated by federal guidelines. Under the federal Clean Air Act, each state must develop a plan describing how it will attain and maintain national ambient air quality standards (NAAQS), which is how it will clean up polluted areas and keep them clean. This plan is called a state implementation plan (SIP). The state must involve the public in approving the plan before it is submitted to the US EPA. If the EPA finds a plan unacceptable, it can promulgate and enforce a Federal Implementation Plan (FIP) in that state. The Air Pollution Control Board (APCD), as the only local air pollution control agency in Kentucky, has developed and maintains its own SIP (a portion of the Kentucky SIP), made up of all the key regulations, permits and programs that have been determined to be necessary and appropriate for Louisville/Jefferson County to achieve compliance with the federal standards for certain pollutants—currently for ozone and particulates and in the past for carbon monoxide and sulfur dioxide. The details of the SIP are decided by the Air Pollution Control Board based on recommendations by District staff and stakeholder groups. This is continually updated as federal regulations change.This function of developing and maintaining an adequate and federally approvable SIP is one of the agency's most complex and important functions. On a continuous basis, the SIP staff track federal SIP requirements, identify necessary and appropriate strategies to make progress toward achieving compliance with federal air quality standards and help seek the adoption of those strategies whether through new programs, regulations, permits or other effective means.
	Access Restrictions	None
	Contents	This record series may contain the federal regulations for air pollution and how the Metro Government will address each of these.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District
Engineering

Record Group Number

Series	Records Title and Description	Function and Use
L6644	**Stationary Source Construction Permit File (V)**	This record series is used to document the application and permit process for construction , re-construction, or modification of an air pollution process or process control equipment and serves as the legal basis for a stationary source's federally enforceable operating permit. Pursuant to District Regulation 2.03 and federal statutes (found in 40 CFR 52) a stationary source (this means any building, structure, facility, or installation which emits or may emit an air pollutant for which a national standard is in effect) must demonstrate through a permit application that their proposed activity will not prevent or interfere with the attainment and maintenance of local, state, or federal air quality standards. The District reviews the application to assure that all requirements are met. This issued construction permit establishes the sources' regulatory requirements for the lifetime of the project.
	Access Restrictions	KRS 61.878 (1)(c)(i)(j)(l)
	Contents	This series may include the application for permit, draft and issued permits, supporting calculations, drawings, material safety data sheets, correspondence and related documents.
	Retention and Disposition	Retain Inactive File 10 years, then transfer to Metro Archives, retain for an additional 50 years.
L6645	**Stationary Source Emission History File (V)**	This record series is used to document the annual quantities of air pollutants emitted by a stationary source and are used for review in the New Source Review (NSR) program including Non-attainment New Source Review and Prevention of Significant Deterioration (PSD). Pursuant to 40 CFR 51, 40 CFR 52 and District Regulation 2, any new proposed construction or modification of equipment that emits air pollutants at stationary sources may be subject to the federal permitting program depending upon whether their proposed activities will significantly increase air emissions. The District uses these historic air emission records to determine if the emissions are expected to increase significantly and may then make administrative permitting decisions in accordance with federal NSR and PSD program requirements.
	Access Restrictions	KRS 61.878 (1)(c)(i)(j)
	Contents	This record series may contain: SAM forms, Emissions Inventory forms (containing record of plant ID, address, location of facility, location and nature of emission, quantity and amount category and name of pollutant), related correspondence, calculations and related documentation.
	Retention and Disposition	Retain Inactive File 10 years, then transfer to Metro Archives, retain additional 50 years.

Series	Records Title and Description	Function and Use
L5578	**Vehicle Emissions Testing Appeal Form**	This series documents appeals by vehicle owners for waivers from VET requirements, showing the findings and recommendations of the VET technicians. These are attached to the VET report regarding a vehicle.
	Access Restrictions	None
	Contents	Customer and vehicle information: Date, customer name, appointment information, plate year, mileage, year, plate #, make, model; results of tests/inspection; comments from inspector; reason for emission failure and waiver request; appeal results.
	Retention and Disposition	Retain 1 years, then destroy.
L5579	**Repair Industry Update Form**	This series documents the conditions of vehicle repair facilities in relation to the VET program. It demonstrates whether the facilities are up-to-date regarding equipment, training, etc. This form is completed annually.
	Access Restrictions	None
	Contents	Location of the update; date and time of inspection; company name, address, contact person, service manager/owner; VET ID; number bays; phone; type of business; hours; number of technicians; new techs hired; techs left; tech names and certification dates; equipment information; certifications; audit results.
	Retention and Disposition	Destroy when superceded
L5580	**Registration Revocation Report**	This series is a list of vehicles that have had their registrations revoked by the Transportation Cabinet due to non-compliance with VET requirements. This process begins when VET sends Transportation a list of vehicles/owners not in compliance with VET requirements. Transportation makes sure the information provided matches the actual information for the vehicle/owner then revokes the registration, informing the owner via a letter.
	Access Restrictions	None
	Contents	Vehicle owner name, address and SSN; Vehicle year, make, model, VIN, plate year and number; Reason for rejection.
	Retention and Disposition	Retain 3 years, then destroy.
L5581	**Voided Vehicle Inspection Reports**	These are voided Vehicle Inspection Reports. Each report is uniquely numbered and must be accounted for to discourage fraud. Usually these forms are voided because of human error of some type, especially misfeeds into a printing device.
	Access Restrictions	None
	Contents	Vehicle equipment and emissions inspection results; void of form.
	Retention and Disposition	Destroy when no longer useful.
L5582	**Report of Issued 30-Day Notices**	This series documents 30-day notices sent by the Transportation Cabinet to vehicle owners who are in violation of VET standards. The VET contractor sends Transportation a list of vehicles/owners in violation of VET standards. Each individual on that list receives a notice from Transportation. The notice informs vehicle owners of the violations and that the owners have 30 days to remedy the situation.
	Access Restrictions	None
	Contents	Vehicle owner name, address and SSN; Vehicle year, make, model, VIN, plate year and number; Reason for rejection.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Air Pollution Control District
Vehicle Emissions Testing Program

Record Group Number

Series	Records Title and Description	Function and Use
L5583	**Docket Reports**	This series documents cases before District Court involving VET standards violations. Until July 2000, the VET was a court-enforced program. After 3 notices to comply (approximately 5-6 months), a vehicle owner would be summoned to District Court. This document lists VET-related cases for each month. The VET program receives these reports approximately the third week of every month. The VET program would receive the Court Report at the end of the month and enter the disposition of each case in the appropriate area. In fact, some case still have outstanding bench warrants or suspended licenses relating to them.
	Access Restrictions	None
	Contents	Docket #; Owner name, address, SSN; vehicle license #, model; test and enforcement numbers; disposition information.
	Retention and Disposition	Retain 3 years, then destroy.
L5584	**Repair Industry Report**	This series documents efforts to track repair facility performance in relation to the VET program. There are no formal penalties for facilities' poor performance in this regard. The report provides consumers a reference to check the competence of garages and technicians. The VET program does provide training for technicians so that they are cognizant of legal requirements under VET.
	Access Restrictions	None
	Contents	Name, address, certification # of facility/mechanic; training undergone; presence of an on-site analyzer; # repairs performed; repaired vehicles in compliance: percentage of vehicles passed, percentage of vehicles granted waivers; percentage of vehicles not in compliance after repairs.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Metropolitan Business Development Corporation

Record Group Number

Series	Records Title and Description	Function and Use
L6703	**Loan File**	This record series documents the Economic Development Department's loan programs which support entrepreneurial and small business activities. Because metro government is not the primary lender, the loan program allows many public-private partnerships between government and private business ventures. Loans are approved by, and made in conjunction with, the Metropolitan Business Development Corporation (METCO). METCO governs metro government's small business loans, which include façade, retail forgivable and gap financing loans.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain: Application, applicant’s financial documents (tax, income, assets, etc.), payment documents, related documents and information.
	Retention and Disposition	Retain for three (3) years after loan has been paid, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Economic Development
Parking Authority

Record Group Number

Series	Records Title and Description	Function and Use
L6256	**Parking Citations (Tickets) - Unpaid**	This record series documents that a parking violation has occurred at a parking authority facility. This ticket will be processed for payment and will remain open until paid.
	Access Restrictions	None
	Contents	This record series contains the , license #, state, license yr., date cited, vehicle make, model, meter #, time, officer, location, type of parking offence and instructions for payment and consequences.
	Retention and Disposition	Retain 2 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
Accounts Receivable

Record Group Number

Series	Records Title and Description	Function and Use
L5091	**Miscellaneous Receivables**	Record relates to the provision by the Metro Government of goods and services to others. Record reflects all aspects of transaction, from request for goods/services through payment for services received.
	Access Restrictions	None
	Contents	May include: Invoices, copies of cash receipts, correspondence.
	Retention and Disposition	Retain 5 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
Budget & Planning

Record Group Number

Series	Records Title and Description	Function and Use
L5108	**Budget Prep Manual (V)**	Record provides instructions to Metro departments for the preparation of their annual capital and executive budgets.
	Access Restrictions	None
	Contents	Same as above
	Retention and Disposition	Retain permanently.
L5109	**Agency Budget Preparation and Agency Files (V)**	Record collects information to be used in the preparation of the annual budget for each agency.
	Access Restrictions	KRS 61.878(1)(i)(j)
	Contents	May include: Budget review documents, position control report changes, internal correspondence relating to fiscal matters, and budget submissions.
	Retention and Disposition	Retain 5 years, then destroy.
L5110	**Grants Project Files**	Record collects in one place and documents all activities related to the application for grants by the Metro Government and its predecessors from other entities and issuance of grants by the Metro Government and its predecssors to other entities. The Metro government receives grant moneys from the Federal government, from the State of Kentucky acting as an agent of the Federal government and from the State itself, as well as miscellaneous other sources. The Metro Government issues grants to various entities. This record reflects activities of the Metro Government regarding the acceptance and issuance of grants.
	Access Restrictions	61.878(1)(a)
	Contents	May include: grant applications, correspondence, contracts with agencies and suppliers, records of expenditures of moneys, contract specifications and bid documents, various types and kinds of documentation of compliance with Federal, state and local laws, practices, and obligations, applications of grants; environmental, etc.
	Retention and Disposition	Destroy 5 years after close of grant, audit, audit exceptions, or disputes.
L5111	**Executive and Capital Budgets (V)**	Record is final budget approved by the Metro Council for a specified fiscal year. Retained for historical and research purposes. This document is produced in many copies and widely distributed. This record refers to the retained official file copy. Executive Budget represents the operating budget of the Metro Government. The Capital Budget represents capital improvements to Metro Louisville's real property, streets and roads, and buildings.
	Access Restrictions	None
	Contents	Same
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
Budget & Planning

Record Group Number

Series	Records Title and Description	Function and Use
L5112	**Position Control Report - Final Pay Period of FY**	Record documents employee positions and names of incumbents at the end of the fiscal year.
	Access Restrictions	None
	Contents	Computer printout by department listing each position and the incumbent's name.
	Retention and Disposition	Retain 5 years, then destroy.
L5113	**Personal Property Tax Record - 1950 - 1974**	Record documents payment of personal property taxes to the City of Louisville. In 1975 function documented by record was transferred to the Jefferson County Clerk, and renamed Motor Vehicle Tax. Record was used to document & verify payment of tax upon personal property.
	Access Restrictions	None
	Contents	Record is a ledger type book containing the name and address of the property owners made; date of payment, type of taxed property; if vehicle - make, model number and vehicle identification number; amount of payment made; and initials of employee receiving the payment.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
General Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L5096	**Mail Slips**	Record is used to interagency bill for U.S. Postal Services. Agency/department fills out the mail slip, courier delivers mail slips and mail to Metro mail room, where postage is added. Mail slip summary is then forwarded to Finance, where agencies are interagency billed for their usage monthly.
	Access Restrictions	None
	Contents	N/A
	Retention and Disposition	Retain 3 years. Destroy after audit.
L5097	**Petty Cash Authority**	Record authorizes petty cash for agency and documents disbursements from and replenishment of the agency petty cash funds.
	Access Restrictions	None
	Contents	May contain authorization letters, receipts supporting use of petty cash, and pay documents used to authorize payment to replenish
	Retention and Disposition	Retain 3 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L5105	**Official Payroll Records (V)**	Documents all aspects of City payroll. Agency payroll representatives submit payroll time sheets/time cards to Finance. Finance processes these records into weekly/biweekly City of Louisville payroll.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: Payroll time sheets, Payroll, Check Register, Advice register, Employee distribution warrant register.
	Retention and Disposition	Retain 5 years. Destroy after audit
L5106	**Leave Status Report (V)**	Record is a listing of employee's earned leave. Such leave may include sick, vacation, compensatory, personal. Record indicates leave earned, leave used, and present leave available.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Record is a one page - electronic form
	Retention and Disposition	Retain 75 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Finance
Treasury

Record Group Number

Series	Records Title and Description	Function and Use
L5094	**Daily Bank Transaction Summary**	Record is used to manage various Metro Government bank accounts by providing information necessary to determine cash balance and how much money to transfer between accounts. Record also lists checks over a specified amount.
	Access Restrictions	None
	Contents	Report with the following data elements: bank name, account type and title, account number, target balance, ledger balance, available balance, collected balance, number of cleared debits & credits.
	Retention and Disposition	Retain 3 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Firefighters' Pension Fund

Record Group Number

Series	Records Title and Description	Function and Use
L5864	**Pension Beneficiary File (Individual Retirement/Pension File) (V)**	This record series is used to document the retirement of individual firefighters who are enrolled in the Firefighter's Retirement Fund. Each file is created at the time of employment to show that they are now a part of a pension plan. Upon retirement an employee's pension is activated. The information in this file is used to determine the amount of pension paid, who the beneficiaries are, funeral allowances to be paid, health insurance coverage, whether there is a disability involved. These records are vital as long as they are deemed active. This file becomes inactive when the individual dies, there are no legal beneficiaries, and there is no pending litigation. Also under the Firefighters' Retirement Fund a person may opt out before serving for 20 years. A lump sum payment may be made to those who leave before 20 years or they may buy time to increase their retirement to comply with the 20 years. If they do buy time the file evolves into an active individual retirement file. If a person dies on the job his/her beneficiaries will receive a monthly payment and the file continues to be active until there are no beneficiaries.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain retirement master deduction record, name, social security number, cola date, adjustment amount, direct deposit, correspondence, application for retirement, beneficiary information, on the job disability documentation, medical evaluations, payment for medical evaluations, documentation of injuries, circuit court appeals, appeals to the pension board, disposition, rehearing, transcript of rehearing, documentation of injury, retirement checklist, enrollment change request, W4, audio tapes, and other reference information.
	Retention and Disposition	Destroy 6 years after the file becomes inactive. This file becomes inactive when the individual dies, there are no legal beneficiaries, there is no pending litigation or the employee leaves the pension plan early.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Community Action Partnership

Record Group Number

Series	Records Title and Description	Function and Use
L6268	**Client Case File**	This record series is used to document requests by clients for services provided by any of the CAP programs and the action taken by CAP. An application must be completed for individual programs and CAP will determine from this whether or not the client is eligibility. Service will be provided when approval is given.
	Access Restrictions	None
	Contents	This record series may contain application, certification forms, proof of income, CAP medical form, action comment sheets, worker comment sheets, correspondence, memorandum, notes taken from communication with client.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6269	**Needs Assessment Files**	This record series is used to document information concerning issues of poverty within the Metro Louisville area from a variety of sources. The Survey provides the opinions of area residents concerning the types of programs needed for the next fiscal year. This record series is used extensively for obtaining grants and developing budgets.
	Access Restrictions	None
	Contents	This record series may contain the needs assessment forms, reports, comments, correspondence, qustions regarding services and other information that details the needs of the Metro area.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Housing and Community Development

Record Group Number

Series	Records Title and Description	Function and Use
L6062	**Investor Loan Program Files**	This record series documents the activities of the Investor Rehab Program, which provides assistance in the rehabilitation of vacant and occupied rental units. The program provides low interest loans and requires matching funds through the issuance of a Community Development Block Grant (CDBG).
	Access Restrictions	None
	Contents	May include: Application, property deed, lending institution commitments, corporate/partnership documents, photos of property, plans and specs, cost estimates and bids, tenant information forms, owner's income tax returns, appraisals, proof of insurance, title insurance policy, proof of taxes paid, lead based paint and asbestos inspection reports, loan committee approvals and commitment letters, permits, construction agreements, closing documents, work program and budget inspection reports, payment requests, and other federally mandated forms as required, etc.
	Retention and Disposition	Destroy 5 years after CDBG/HOME closeout and audit.
L6063	**Real Property Appraisal Records**	This record series is used to document the real property appraisal information for metro government owned property.
	Access Restrictions	None
	Contents	May include: title search, property description, photographs, comparable property characteristics and sales prices.
	Retention and Disposition	Destroy 5 years after sale of property
L6064	**Second Mortgage Forgivable Loan**	This record series is used to document second mortgages granted by Metro Government through Community Development Block Grants (CDBG). There are income restrictions on these loans which are explained in the CDBG regulations. Mortgages are forgiven in 15 - 20 years as long as housing is owner occupied.
	Access Restrictions	None
	Contents	May include: Application, credit reports, property deed, lending institution commitments, corporate/partnership documents, photos of property, plans and specs, cost estimates and bids, appraisals, proof of insurance, title insurance policy, loan committee approvals and commitment letters, permits, construction agreements, closing documents, work program and budget inspection reports, payment requests, and other federally mandated forms as required, etc.
	Retention and Disposition	Destroy 5 years after Community Development Block Grant (CDBG)/HOME closeout, and audit.
L6065	**Developers Loan Files**	This record series is used to document Metro Government housing bridge loans to non-profit housing developers. Loans are repaid by non-profits upon sale of homes.
	Access Restrictions	None
	Contents	May include: Application, property deed, lending institution commitments, corporate/partnership documents, photos of property, plans and specs, cost estimates and bids, appraisals, proof of insurance, title insurance policy, loan committee approvals and commitment letters, permits, construction agreements, closing documents, work program and budget inspection reports, payment requests, and other federally mandated forms as required, etc.
	Retention and Disposition	Destroy 3 years after CDBG closeout and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Housing and Community Development

Record Group Number

Series	Records Title and Description	Function and Use
L6066	**Loan Servicing File**	This record series is used to document supporting information that deals with loans granted under HOME and HUD. These loans may be for lead abatement, down payment assistance grants, investor loans, investor grants, home repair and others.
	Access Restrictions	None
	Contents	This record series may include insurance information, tax information, affadavits of compliance, lien releases, foreclosure info, bankruptsy information, loan agreements, assignment of rents and leases, security agreement, deed of restriction, regulatory agreements, assumptions and general correspondence.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6067	**Department of Housing Relocation Files**	This record series is used to document the relocation assistance given by Metro Government to occupants of housing required to be permanently or temporarily vacated by reason of an order to vacate or one of the rehabilitation programs offered by HUD.
	Access Restrictions	None
	Contents	May include: Order to vacate, relocation data sheet, requests for payment, applications, status reports and data sheets, moving expense claims, code inspection forms, pay documents, correspondence, etc.
	Retention and Disposition	Destroy 3 years after CDBG closeout and audit.
L6068	**Acquisition & Relocation Project Files**	This record series is used to document acquisition, relocation, and disposal of properties acquired by the Metro Government thru Urban Renewal, the Landbank Authority, or other auspices. Also documents developers used, historic research performed, and existing structures.
	Access Restrictions	None
	Contents	May Include: Appraisal title commitment, review appraisal, offer sales contract, original closing statement, correspondence, claims and payments to individuals, relocation-related correspondence, original deed, title policy, etc.
	Retention and Disposition	Retain permanently.
L6069	**Real Property Title Deeds**	This record series is used to document property acquired by the Metro Government. Property may be acquired through purchase, donation or condemnation and may be vacant lots, residential, or commercial buildings. Property may be used for a government purpose or consolidated and sold for reuse.
	Access Restrictions	None
	Contents	May include: report listing ownership and public information (title search), copy of vesting deed, map property location, and appraisal information.
	Retention and Disposition	Destroy 5 years after sale of property and audit

Series	Records Title and Description	Function and Use
L6070	**Home Repair Program Files**	This record series documents the Metro Government program providing loans to low and moderate income home owners to bring their homes up to building/housing code. The standard for eligible repair is "safe, warm and dry" housing.
	Access Restrictions	None
	Contents	May include: Application, property deed, lending institution commitments, corporate/partnership documents, photos of property, plans and specs, cost estimates and bids, appraisals, proof of insurance, title insurance policy, loan committee approvals and commitment letters, permits, construction agreements, closing documents, work program and budget inspection reports, payment requests, credit reports, and other federally mandated forms as required, etc.
	Retention and Disposition	Destroy 5 years after Community Development Block Grant (CDBG)/HOME closeout and audit.
L6071	**Community Housing Development Organization (CHDO) Working Files (V)**	This record series is used to document Community Housing Development Organization (CHDO) program. The mission of the CHDO program is to provide affordable housing oportunities for low and moderate income individuals and families The money that is used in this program comes from HUD through either Community Development Block Grants (CDBG) or other HOME funds. CHDO's are grass roots, non-profit agencies formed for the constrution of single family homes to service low to moderate income families. These agencies have to meet certain criteria. This file is maintained while a CHDO is actually contructing new housing or other tasks and is used to make sure that all criteria are met. This file is closed when house is sold to a client who receives a direct grant to purchase the home. HOME is the name given to the federal program entitled the HOME Investment Partnerships Act (the HOME Investment Partnerships Program). In general, under the HOME Investment Partnerships Program, HUD allocates funds by formula among eligible State and local governments to strengthen public-private partnerships and to expand the supply of decent, safe, sanitary, and affordable housing, with primary attention to rental housing, for very low-income and low-income families. State and local governments that become participating jurisdictions may use HOME funds to carry out multi-year housing strategies through acquisition, rehabilitation, and new construction of housing, and tenant-based rental assistance. Participating jurisdictions may provide assistance in a number of eligible forms, including loans, advances, equity investments, interest subsidies and other forms of investment that HUD approves.
	Access Restrictions	None
	Contents	This record series may contain the name of the CHDO, certification, contracts, construction information and grant fund information.
	Retention and Disposition	Destroy 5 years after CDBG/HOME closeout and audit
L6072	**Program Management Files (V)**	This record series is used to document all programs administered by the Housing Division. This includes all grants such as Community Development Block Grants, Emergency Shelter Grants, all HOME grants, and Housing Opportunities for People with AIDS. This documentation provides administrative guidance for staff in complying with federal and state guidelines and regulations
	Access Restrictions	None
	Contents	This record series may contain information about the regulations that govern all assistance programs that are administered by Housing.
	Retention and Disposition	Destroy 5 years after closeout of grants and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Housing and Community Development

Record Group Number

Series	Records Title and Description	Function and Use
L6073	**Tenant Based Rental Assistance Case Files (V)**	This record series is used to document those individuals applying for assitance with rent. This assistance is provided through a number programs such as Shelter PlusCARE, Seven Counties, HOME, HOPWA, InterLInk Counceling Service, Glade House, Kersey Condo, ST. Vincent Depaul, Jefferson St. Baptist Center and Homeward Bound. In applying for rental assistance there are certain criteria that are needed to be in place. This file documents this assistance. The individual has to re-apply annually.
	Access Restrictions	None
	Contents	This record series may contain the application, approval, case management contract, lease, income and correspondence
	Retention and Disposition	Destroy 5 years after last activity

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Human Services

Record Group Number

Series	Records Title and Description	Function and Use
L6283	**Family Self-Sufficiency Case Files (V)**	This record series is used to document those persons enrolled in the Family Self-Sufficiency Program. Those persons who are residents in housing maintained by the Local Metro Housing Authority are eligible for this program. This program provides intensive, long term case management services to these families. Services are focused on families interested in education, training, life skills, and employment in order to become independent of government assistance and economically self sufficient. The centerpiece of the program is a special escrow account that is set up for each family. When the family's income increases as a result of a pay increase that extra money is put into this account and at the end of participation in the program this money may be used by the participants to move into unsubsidized housing or even buy a home.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name, address and other directory information of the client. Also may contain the contract, case notes, records of visits, family budgets, workshop information and release of information data.
	Retention and Disposition	Destroy 5 years after case closed and audit
L6284	**Financial Assistance Case File (V)**	This record series is used to document those applying for financial assistance for emergency purposes. This is usually for those for the basic areas of shelter and utilities to stabilize housing. This is usually for the basic areas of shelter and utilities to stabilize housing and for those households with zero income or resources that meet eligibility criteria for the month assistance is requested. Loss of employment, illness/disability, loss of support due to separation, desertion, death or domestic violence are possible reasons for assistance. These funds are provided by Louisville Metro Government.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name, address and other directory information of the client. Also may contain the contract, application, medical and landlord verification, SSI reimbursement forms, household composition information, utility information and financial verifications.
	Retention and Disposition	Destroy 3 years after case closed and audit
L6285	**Extended Care Case File (V)**	This record series is used to document those applying for financial assistance for extended care. This assistance is given to those who have been assessed as unable to work based on physical and/or metal health problems and who are actively involved in treatment. Applicants may receive assistance up to six months for a temporary illness or up to nine months if there is a pending SSI application. This must be documented by a physical/mental health provider.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name, address and other directory information of the client. Also may contain the contract, application, medical and landlord verification, SSI reimbursement forms, household composition information, utility information and financial verifications.
	Retention and Disposition	Destroy 3 years after case closed and audit
L6286	**Family Intervention Case Files (V)**	This record series is used to document those applying for Family Intervention Services. This program provides free case management services for families who are experiencing issues such as, a child exhibiting beyond control behaviors at home or school, truancy, running away, or other risk factors that are impacting the functions of the family. This includes parent/child communication issues. The family or youth must not be actively involved in Juvenile or Family Court.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name, address and other directory information of the client. Also may contain the contract, application, family intervention referral for services form, release of information, appeal process form, contact notes, school documentation, community resource referrals, and progress notes.
	Retention and Disposition	Destroy 3 years after case closed and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Housing and Family Services
Human Services

Record Group Number

Series	Records Title and Description	Function and Use
L6287	**Safe Havens Client Case File (V)**	This record series is used to document clients who apply for the Safe Havens program. This program is designed for those families with a history or potential for domestic violence, child abuse, sexual assault or stalking. These families can become a part of the Louisville Metro Visitation and Exchange center whereby families who are separated (parents) from children can visit or exchange custody of the child. Many times there are No Contact or Domestic Violence Orders in place. These visits are closely monitored with security. To be eligible a court order for supervised access or exchange must be in place. Children must be in the custody of one or both of their parents. And families must have a history or potential for domestic violence, child abuse, sexual assault or stalking.
	Access Restrictions	KRS 61.878(1)(a) & KRS 209A.070
	Contents	This record series may contain the name, address and other directory information of the client. Also may contain the application and observations.
	Retention and Disposition	Destroy 5 years after case closed and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number
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Series	Records Title and Description	Function and Use
L3397	**Examination Papers**	This record series documents the Civil Service test for potential employees of Metro Louisville. The test is used to determine candidates for Civil Service covered positions in Metro government and its predecessors.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Questions and applicant's answers, markings for correctness or incorrectness of applicant response, a score indicating number of correct answers and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3400	**Statistical Results of Examinations**	This record series documents Civil Service testing results.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Civil Service job requisition; ranking of top scorers in that particular Civil Service examination and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3401	**Position Questionnaires**	This record series documents an evaluation of the difficulty of any specific position in Metro service. It is used to establish an appropriate classification and compensation for the position.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Position title, educational requirements, physical strength needed, specific talents or training needed, this is expressed as a narrative and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3405	**Personnel Records (Temporary Employees) (V)**	This record series documents the employment history of each temporary, seasonal or otherwise non-permanent, non-benefitted employee within Metro Government or its predecessors. These records used to document tax information, attendance and salary.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Application for employment, exempt or non-exempt certification, position description questionnaire, request for approval of personnel action, resignation forms and letters, requests for authoization of overtime, worker's compensation injury recor, tax witholding forms, performance evaluations and related information.
	Retention and Disposition	Retain for ten (10) years after last employment, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L3406	**Citizenship Status Forms (I-9)**	This record series documents an individual employee's United States citizenship status. Mandated by the federal government, the series documents the eligibility of a prospective employee to be employed in the U.S.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Employee name, SSN, proof of U.S. citizenship, other documents pertaining to the rights of non-citizens to work in the United Statesand related information.
	Retention and Disposition	Retain for three (3) years after date first employed or retain for one (1) year after termination, which ever is longer, then destroy.
L3407	**Master Card File of Personnel**	This record series documents a quick reference for every current employee of the Metro Government.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Employee name, SSN, agency or departmen,; date of employment and related information.
	Retention and Disposition	Retain for two (2) years after termination, then destroy.
L3408	**Personnel Folders -- Permanent Employees (V)**	This record series documents an employment history of each permanent employee (full- or part-time) with Metro government or its predecessors. Created to record information regarding attendance, employee benefits, salary and salary history.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Application for employment; physical examination report; employment and education verification; benefits application forms; exempt and non-exempt status forms; position description questionnaire; request for approval of personnel action; employee disciplinary action documents; correspondence; resignation forms or letters; worker's compensation injury records; tax witholding forms and employee evaluations and related information.
	Retention and Disposition	Retain permanently.
L3887	**Employee Benefits File**	This record series documents employee benefits, both automatic and elected. It may be used to respond to employee inquiries and as a reference.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Employee name; Social Security Number; date of hire; list of benefits; cost of benefits, if any; activation date, and related information.
	Retention and Disposition	Transfer to the Personnel File (series L6096) upon employee termination.
L3888	**Applicant Flow Data Sheet**	This record series documents a list of individuals who have applied for various positions in the Metro Government.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Applicant's name, position(s) applied for and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L3889	**Equal Employment Opportunity Reports**	This record series documents minority and majority incumbency in position categories of Metro public service as well as that of predecessor agencies. It is a summary of utilization reports (L3890). The report is required by the Equal Employment Opportunity Commission.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Numbers of employees in each employment category, percentage female, minority and other incumbents and related information..
	Retention and Disposition	Retain for three (3) years, then destroy.
L3890	**Utilization Reports**	This record series documents Metro (and its predecessors') employees by gender, race and job status on a monthly basis..
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Employees' name, gender, race, job status and related information.
	Retention and Disposition	Retain for three (3) years, then destroy.
L3891	**Affirmative Action Log**	This record series documents the status of affirmative action activity on the part of the Metro Government (and its predecessors) and is used to reference requests from local, state and federal civil rights agencies.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name of employee; SSN; gender; race; jobstatus by department or agency and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3893	**Employee Log**	This record series documents the present status of each person employed by Metro Louisville (and its predecessors) and serves as ready reference to employee information.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Employee name, SSN, date of employment and related information.
	Retention and Disposition	Destroy when superceded.
L3894	**Position Vacancy Announcement**	This record series documents listings of jobs available in Metro Government and its predecessors. It is the primary step in notifying individuals of vacancies in Metro Government.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Position, department, closing date, minimum salary, qualifications, requirements, and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L3896	**Compliance Reports -- State and Local Civil Rights Agencies**	This record series documents Metro Louisville's (and its predecessors') compliance with all laws relating to equal employment opportunities in metro employment.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Statistical reports on discrimination/grievance, affirmative action, equal employment opportunity,numbers of personnel and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L3897	**Policy and Procedure Manual (V)**	This record series documents all aspects of Metro Government (and its predecessors) employer/employee relations and is the authority for resolving all disputes between employer and employee. Originating in Human Resources, the manual is distributed to every Metro agency and department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Subject area, regulations or ordinances, date of policy implementation and related information.
	Retention and Disposition	Retain permanently.
L3898	**Training Files**	This record series documents employee participation in Employee Relations Training Program.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information. Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name and SSN of participant; employee's department/agency; training undertaken by employee and related information.
	Retention and Disposition	Transfer to Personnel File upon employee termination.
L3899	**EEOC Complaints**	This record series documents formal complaints concerning violations of EEOC (Equal Employment Opportunity Commission) regulations initiated by employees of the Metro Government and its predecessors.
	Access Restrictions	KRS 61.878 (1)(a)(j) - Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Complaints, response of agency/department, results of investigation and related information.
	Retention and Disposition	Destroy 5 years after close of action
L3901	**Personnel Statistical Reports (Tracking Sheets)**	This record series documents demographic information about people who apply for employment with Metro Louisville (or who applied for employment with its predecessors).
	Access Restrictions	KRS 61.878 (1)(a) Personal Information - Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: SSN; race; gender; how the applicant found out about the job and related information.
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L5757	**Job Requsitions/Eligibility Lists File**	This series documents the efforts of Metro agencies/departments, and their predecessors, to staff vacant positions. Jobs are requisitioned (A formal request is made to fill the position.) and lists of eligible candidates for that particular position are drawn up.
	Access Restrictions	None
	Contents	May contain: Job requisition (name of requesting agency; vacnt position job title; date for hiring; salary range); Eligibility Lists (applicant's name; SSN; position applied for; date of testing; date of hire; proof of US citizenship; other documents pertaining to the rights of non-citizens to work in the United States)
	Retention and Disposition	Destroy uniformed police and fire promotional materials 10 years after list expires; destroy other official lists 5 years after expiration
L6096	**Personnel File (V)**	This record series is used to document an individual's employment with the Metro 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.
L6097	**Personnel Medical File**	This record series is used to document the physical condition of an employee when first hired and for subsequent medical related information. Used to document physicals taken by employees such as police, firemen, and others. This may include drug testing and screening, psychological profiles and CDL physical. These include blood test results as well. The volume and use of these records varies from local government to local government.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series contains physical examinations, drug testing results, psychological profiles, and health information concerning the ability to do the work.
	Retention and Disposition	Maintain while individual employed, after termination of employment place in the Personnel File.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L6098	**Personnel Training Program File**	This record series is used to document mandatory as well as voluntary training for employees. This may be for classes taken at a college or technical school or training given as part of the job description. This file also documents requests for training and approvals and payments for the training. This training also can be given in-house or by state agencies such as the Department for Local Government. There are mandatory training courses for the policemen and firemen. Used especially when litigation may be brought by an employee for some sort of discrimination.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series contains the employee agreement, grades, certificates of completion, and requests and approval for training.
	Retention and Disposition	Destroy 3 years from the date of the making of the record or after litigation resolved, whichever occurs later (29 CFR 1602.30-31)
L6099	**Hiring Procedures File**	This record series is used to document information that is used in reporting to Equal Employment Opportunity Commission (EEOC). This is primarily for compliance with affirmative action guidelines. This sets out the groups of persons protected and letters received for testing and that positions have been filled according to EEOC guidelines. This file also may have police reports for individuals seeking employment. May be arranged by agency and department, the series includes numbers of employees in each employment category and percentage female, minority and other incumbents.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the name of person , address, social security #, previous employer, reference confirmation, test scores, hiring information.
	Retention and Disposition	Retain 3 years, then destroy.
L6100	**Applications - Persons Not Hired**	This record series is used to document those applicants who have applied for positions but were not hired. It is used as a reference for possible filling of positions in the future.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the applicant name, address, telephone, social security #, questions about past employment, visa or immigration status, work availability, education, references, specialized skills, military service and signature.
	Retention and Disposition	Destroy after 2 years or after close of litigation whichever comes later
L6101	**Civil Service Exam File**	This record series is used to document the exams taken by persons to fill positions. These tests are given only when there is a position to fill and will have results and statistical information. According to 29 CFR 1602.30-31, these records are to be kept for 3 years.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the list of applicants, applications, resumes, test, eligibility list, results, tear sheets, examination papers, statistical results of examinations and related correspondence. Also, questions and the applicant's answers, markings for correctness or incorrectness of applicant response, a score indicating number of correct answers and ranking of top scorers in that particular Civil Service examination.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Human Resources

Record Group Number

Series	Records Title and Description	Function and Use
L6102	**Workers' Compensation File (V)**	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees. This file documents the claim process under the workers' compensation guidelines for job related injuries or illnesses).
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	Retention and Disposition	Retain 5 years, then destroy.
L6103	**Position Classification Documents File (V)**	This record series is used to document each job classification and the requirements needed to hold a particular position. Used in the hiring of persons to fill positions.
	Access Restrictions	None
	Contents	This record series contains the title of each job classification, qualifications, minimum requirements, educational requirements, type of testing needed and certifications requested.
	Retention and Disposition	Maintain 1 copy of each position classification permanently. Destroy excess copies when updated or superseded.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Metro Police

Record Group Number

Series	Records Title and Description	Function and Use
L2986	**Polygraph Test Administration Case File**	This record series documents the administration of a polygraph test to several categories of examinees. A polygraph means an instrument which permanently and simultaneously records a subject's cardiovascular and respiratory and other physiological changes pertinent to the detection of deception. In Jefferson County, tests are administered to applicants for positions in the Louisville Metro Police Department both officers and civilians. In addition, tests are administered to individuals as part of criminal investigations conducted by the department, the Commonwealth Attorney, and other municipal police departments. The Case File provides information on the subject of the examination and reasons for the test. Furthermore, the file contains information on the structure of the test and the questions customized for it by the test administrator. Finally, the file provides results of the examination and the conclusions of the test administrator. KRS Chapter 329 provides for the licensing of polygraph test examiners by the Secretary of the Justice Cabinet. KAR Title 502, Chapter 20 outlines the educational and examination requirements for licensure. Examiner's licenses are issued for a period of one year and are renewed annually in December. The license files are maintained by the Kentucky State Police. For applicants to positions in the Metro Police Department, there will be no criminal investigative files or pre-test interview with investigating detective.
	Access Restrictions	KRS 61.878 (1)(g)(h) - Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Subject data sheet or baseline response questionnaire, subject consent and release form, notes of pre-test interview between test administrator and investigating detective, notes on pre-test interview between test administrator and the examinee, polygraph chart paper, other notes of examiner, list of questions, copies of documents from criminal investigation file, examiner's report, numerical analysis data sheet and related information.
	Retention and Disposition	Retain for five (5) years, then destroy after audit.
L2987	**Polygraph Examinee Name Index**	This record series documents the Polygraph Test Administration Case File index. It is the primary access point for retrieving the case file in the Polygraph Testing unit of the Metro Police Department.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name of examinee, date of examination, file number, type of examination (pre-employment or criminal), pass/fail indication, name of detective (if applicable), jurisdiction of detective (if applicable) and related information.
	Retention and Disposition	Destroy when polygraph test administration case files are destroyed.
L2988	**Polygraph File Number Sheet**	This record series documents the administration of polygraph tests by the Metro Police Department's Polygraph Testing unit. Entries to the register are made at the time polygraph tests are scheduled as well as the assignment of a file number for the test. The file number is composed of three parts plus the calendar year. The first part is the month, the second part the day, the third part the test number followed by the year.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: File or test number, court case number if applicable, date of the entry, name of the examinee, type of test (criminal or pre-employment), name of the detective and jurisdiction if not Metro Police and related information.
	Retention and Disposition	Destroy when polygraph test administration case files are destroyed.

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Record Group Number

Series	Records Title and Description	Function and Use
L5123	**Formal Complaints/Internal Investigation (IA) File (V)**	This record series documents all internal affairs (professional standards) investigations where a formal complaint has been sworn, signed and issued. This series includes both substantiated and unsubstantiated findings. Pursuant to KRS 95.765(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.
L5134	**Mobile Messaging Database**	This record series documents transmissions by officers in patrol cars. The computers are also connected to the National Criminal Information Center (NCIC) database, so that the officer can make inquiries and receive messages from NCIC. Louisville Metro Police use these messaging systems for routine business, but dipstching is not done by this means. All NCIC transactions are also maintained by the state. All inquiries and messages are backed-up on a database at the LMPD.
	Access Restrictions	None
	Contents	This record series may contain: Names of originating and receiving officers; the message; date and time of message; NCIC inquiry response (with date, time and name of officer); MDT unit serial number.
	Retention and Disposition	Destroy after one (1) year unless involved in an investigation.
L5912	**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.

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Record Group Number

Series	Records Title and Description	Function and Use
L5913	**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 and 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: 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.
L5914	**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).
	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.
L5915	**Vehicle Stop Reporting Form (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.
	Access Restrictions	None
	Contents	This record series may contain: Name of motorist, address, Idnumber, date of birth, sex, race, vehicle make, model, year, reg. state, color, registration no., date, time, sector/beat, exact location of stop, statute/ordinance, offense description, courtesy stop, vehicle investigation, details, case no. signature of officer, employee number.
	Retention and Disposition	Retain for five (5) years, then destroy.

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Record Group Number

Series	Records Title and Description	Function and Use
L5916	**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.
L5917	**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. 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.
L5918	**Weekly Juvenile Curfew Record**	This record series documents curfew violations submitted by officers.The parents are sent a letter informing them of the first violation.
	Access Restrictions	KRS 610.320 (3)
	Contents	This record series may contain: Date, time, beat, case #, location of offense, Address, name of violator, address, sex, race, date of birth, age, officer, checklist whether parent cited, drugs involved, other charges, prior violations and associates. Also it contains whether a vehicle was involved, circumstances, wk#, month and year.
	Retention and Disposition	Retain for two (2) weeks, then destroy.

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Record Group Number

Series	Records Title and Description	Function and Use
L5919	**Monthly Traffic Analysis Report**	This record series documents the monthly Traffic Analysis Report. This series is used as an information tool for the agency to track all accident reports (where, when, and how) and helps to reduce accidents through the use of extra patrols and surveillance in problem areas. In some instances an annual report is done and the information contained in the monthly report is used.
	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.
L5920	**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	Maintain one (1) copy permanently, destroy excess copies when needed.
L5921	**Daily Recap of Reported Crime**	This record series documents what crimes have been committed in the last 24 hour period. It is used by the commanders to brief their personnel on a daily basis. This is not useful after 3 or 4 days.
	Access Restrictions	None
	Contents	This record series may contain: Date, day, beat, type of offence, location/victim, number, address, time, information about the crime, and if there are any suspects.
	Retention and Disposition	Retain for two (2) months, then destroy.
L5922	**Reported Part I Crime Comparisons**	This record series documents a comparision of Part I crimes with other like cities. The statistics from the FBI Uniform Crime Report are used in this report.
	Access Restrictions	None
	Contents	This record series may contain: Names of cities and Lexington, population of each, sworn officers, ratio of officers to pop., murder and non-neglect manslaughter, rape, robbery, agg. Assault, burglary, larceny, auto theft, arson, and totals.
	Retention and Disposition	Destroy when no longer needed.

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Record Group Number

Series	Records Title and Description	Function and Use
L5923	**Annual Report for Accreditation**	This record series documents the report to the Commission of Accreditation for Law Enforcement (CALEA) and the Kentucky Association of Chiefs of Police (KACP) the information needed to comply with their standards. This is done annually and is compiled from the monthly activity reports which are provided by each Bureau.
	Access Restrictions	None
	Contents	This record series may contain: Summary and overview sheet, year covered, activity category, % of increase or decrease over the previous year, totals for the year, totals of last year, personnel information, actual part 1 crimes, total fatalities, total citations issued.
	Retention and Disposition	Retain one (1) copy permanently. Destroy excess copies when updated.
L5924	**Annual Summary of Arrest Activities**	This record series documents statistics for comparison with the previous 10 years. It is used as a planning tool and delivered to the Chief once a year. This is a statistical record of all arrests made during the year.
	Access Restrictions	None
	Contents	This record series may contain: Activity areas (total division arrests, dui arrests, drug arrests, juvenile arrests, MHVs issued) and a ten year period for these. Contains a distribution list.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5925	**Overtime Reports**	This record series documents the amount of money each unit paid in overtime for each pay period. This is a reference tool for the Chief to track the amount spent on overtime and make sure the amount used is not excessive.
	Access Restrictions	None
	Contents	This record series may contain: Fiscal year, pay period, date, account#, vendor, description, amount, current balance.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5926	**Purchase Order (duplicate)**	This record series documents purchases requested by the police department. This goes through the Division of Accounting where the original is part of the accounts payable file. This copy is used as a reference and to make sure the purchase is received.
	Access Restrictions	None
	Contents	This record series may contain: Copies of the purchase order, invoices and receiving information.
	Retention and Disposition	Retain for two (2) years, then destroy after audit.
L5927	**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.

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Record Group Number

Series	Records Title and Description	Function and Use
L5928	**Travel Requests**	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.
L5929	**Radio Run Tapes**	This record series documents incidents reported to the police department. Whenever an incident is being investigated, standard operating procedure is to copy the particular incident onto a cassette tape for the investigator.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series may contain: Time, date, name of person calling and subjects covered.
	Retention and Disposition	Erase and reuse after sixty (60) days.
L5930	**Radio Run Cards**	This record series documents dispatches that come into the agency. These cards will only be used when the computer aided dispatch system (CADS) is not operational. When the system is operational , all data recorded on the cards is entered into CADS. This is done within the next shift. There may be cards to differentiate emergencies from non-emergencies.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series may contain: 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	Destroy after entered into CADS.
L5931	**NCIC/LINK Teletype Message File**	This record series documents the information received daily through the National Crime Information Center (FBI). This is in the form of messages received by teletype about the criminal behavior of persons. This also involves any information about stolen vehicles. This information is used in the day to day business of the agency and as an investigative tool. Once the information is updated or becomes obsolete it is considered inactive. Messages are stored on a server and backed up daily/monthly. Backup tapes are maintained 2 months.
	Access Restrictions	None
	Contents	This record series may contain: Directory information about persons, crimes committed, offenses committed and any messages.
	Retention and Disposition	Retain for two (2) months, then destroy.
L5932	**Emergency Business Locator Card**	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 person to notify(at least 2), and remarks.
	Retention and Disposition	Destroy when obsolete.

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Record Group Number

Series	Records Title and Description	Function and Use
L5933	**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 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.
L5934	**Record of Arrests (Cards, Book or File) (V)**	This record series documents the arrest process. These are generated at the Detention Center upon booking and entered into a database. The records are maintained by the date and time of arrest. There is no separation of felony and misdemeanor arrests. The information concerning the felony arrests is subsequently put with the Criminal History Jacket.
	Access Restrictions	None
	Contents	This record series 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 and other information.
	Retention and Disposition	Destroy felony file fifty (50) years after arrest.
L5935	**Uniform Crime Monthly Report**	This record series documents 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.

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Record Group Number

Series	Records Title and Description	Function and Use
L5936	**Uniform Police Traffic Accident Report (V)**	This record series documents accidents whether one or multi-vehicle. This is a two part form which is uniform throughout the state and is used by all law enforcement agencies. The original is sent to the Kentucky State Police where the data from the form is input into a database. The hard copy is sent on the Department of Transportation(Traffic Section). This form is in the process of being updated to a 1 page form that will be scanned and sent electronically to the KSP. The information will be the same. This is used as a reference and is used in producing accident reports.
	Access Restrictions	KRS 189.635(5)
	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, trafficway no. or name, town, county, intersection, between street, ram, mile post, speed limit, a section for unit 1 and unit 2 and includes the same information which is: operators lic. No. state, restriction, code, compliance, name of operator, address, owner name and address, motor carrier name and address, vehicle make/year/model, state of registration, insurance co., what happened, diagram of vehicle and the damage inflicted, property damage, owner/address, tests for alcohol and drugs(whether taken), witness information, enforcement action, citation or case #, KRS number, offense, photos taken(yes/no), investigator, I.D. #, beat or post no., time notified, time arrived, scene cleared, reviewed by.
	Retention and Disposition	Retain for three (3) years, then destroy.
L5937	**Uniform Citation File (V)**	This record series documents all violations of the traffic laws and for all felonies, misdemeanors and violations(KRS 431.450). This form consists of an original document and five copies which are serially numbered in such a manner that the year of issue and the individual citation number may be readily ascertained and is approved by the State Supreme Court. One copy goes to the customer, one to Drivers Licensing, one to Detention, one remains in the law enforcement agency and the original to District Court. It is issued by law enforcement officers and is used as the basis for establishing court appearance dates and to begin the judicial process. The information is used by law enforcement officers when testimony concerning the incident is required. It is also used as one input document for the Criminal History Information System.
	Access Restrictions	KRS 61.878 (1a)
	Contents	This record series 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, boa. Results, date of arrest, time, miles, direction, city, county of violation), charges section(violation code, statute/ordinance, charges, plea, finding, final violation code, disposition code, fine, costs, fee, jail/prison, probation time), court section(court date, court time, court location, court case no. disposition date, trial, clerk's initial), post-arrest section(post-arrest complaint) and case section(name of witness, address, case no., carried by contributor, fingerprints taken, photos taken, evidence held, officer's signature, badge/I.d. number, assignment).
	Retention and Disposition	Retain 2 years, then destroy.
L5938	**Complaint and Offense Report (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	61.878
	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.

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Series	Records Title and Description	Function and Use
L5939	**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	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 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.
L5940	**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 and alias file.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L5941	**Criminal History Index File (V)**	This record series documents the finding aid (index) 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, and social security #.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L5942	**Training Records - Early Withdrawals**	This record series documents training received by recruits who have been accepted by the Police Training Academy but do not complete the training program. By withdrawing they forfeit all training completed although it may be used by them if they enter another police training program. If they re-enter the Training Academy they will have to start over from the beginning.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series may contain: Name of the recruit, test scores, tests, disciplinary action, grades, field training officer evaluations, emergency information sheet and work completed.
	Retention and Disposition	Destroy five (5) years after leaving the Training Academy.

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Series	Records Title and Description	Function and Use
L5943	**Informational and Test Records File**	This record series documents the tests given to recruits. The recruits also go through a review of each test and this is kept as well. All final grades at the end of the training are sent to the Criminal Justice Training at Eastern Kentucky University to verify training. There is a one year probation after leaving the Academy. Once this is completed these tests are no longer used. A graduate certificate is kept in the official personnel file. This file is used also to maintain any memos, notes and written requests made by the recruit.
	Access Restrictions	None
	Contents	This record series may contain: Weekly test for the training. These tests are for spelling, code tests, final examinations, memos, notes, remedial tests, and written request made by the recruit.
	Retention and Disposition	Destroy after Completing Probation or one (1) year after leaving the Academy (Without Graduating).
L5948	**Training Record File**	This record series documents the training received by law enforcement officers that is required by statute. There is a 32 week period of basic training followed by 12 weeks of field training. After that period the officer becomes a part of the patrol section and is assigned to a field position and is on probation for one year. After probation the officer is released by the training section and must follow up with 40 hours of in-service training and must accumulate 400 hours. A record of training is maintained by the Criminal Justice Training Center at Eastern Kentucky University. Also a record of completed training is maintained in the officer's personnel folder. This file is used to document the police training officers evaluations and will have any disciplinary actions taken along with all final grades.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series may contain: Name of officer, date/time of training, type of training, hours completed, grade achieved, completion date, evaluations, disciplinary actions and correspondence.
	Retention and Disposition	Destroy five (5) years after termination of employment.
L5949	**Testing/Training (In-Service)**	This record series documents the training process, the training needed, description of training along with where and when the training will take place. All persons completing the one year probation period and becoming a full time employee must complete 40 hours of inservice training. Testing is a part of that training. This file documents that training and has the tests and test results (which is sent to EKU Criminal Justice Training.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series may contain: Descriptions of training, place and time of training and requirements for training.
	Retention and Disposition	Destroy when no longer needed.
L5950	**Grant Files - Federal and State (V)**	This record series documents all grants received, applied for, and to collect data for future applications. The information is used to make application for federal and state funds. Also it is used to make requests for reimbursement for overtime pay for extra enforcement. These grants may be through the Justice Department (Federal) and other agencies. This file documents the application process and any reporting that has taken place during the grant period. Also supporting financial documentation is included.
	Access Restrictions	None
	Contents	This record series may contain: Application, supporting documents, grant contract, program monthly activity reports, program monthly financial reports, program year-end summary report.
	Retention and Disposition	Destroy five (5) years after submission of final report.

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Record Group Number

Series	Records Title and Description	Function and Use
L5951	**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.
L5952	**Vehicle Maintenance File**	This record series documents the expenses of purchasing, servicing, and maintaining its vehicles. This information is logged monthly from information kept by the officer. This record is used in planning his budget. This record series may be kept for the life of the vehicle and is also used to verify the condition of the vehicle in case of claims brought against the agency or employee. This file establishes the history of the vehicle and includes any accidents causing damage and the repair costs for those.
	Access Restrictions	None
	Contents	This record series may contain: Unit number and/or vehicle identification number, month and year reported, miles driven that month, gas cost for the month, number of gallons of gas purchased that month, miles per gallon, parts and repairs for the month and totals of these months for the year. The payment of any bills will be maintained in the Accounts Payable file.
	Retention and Disposition	Destroy five (5) years after the vehicle is no longer in service.
L5953	**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 the parent permission letter until student (class) graduates, then destroy. Destroy all other documents in two (2) years.

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Series	Records Title and Description	Function and Use
L5954	**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. 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 and meeting report, quarterly report of neighborhood meetings or safety watch meetings, citizen surveys, business security surveys, and Cetch program files, program guidelines, goals, participation information, dates and time of presentations, listing of those in attendance, where the program was held, program personnel and evaluations. A yearly statistical report of results may also be maintained.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5955	**Citizen Police Academy Program File**	This record series documents an education program whereby citizens are allowed to have hands on experience in the workings of the police department. This is an eight week course whereby the citizen is able to go on patrol and make calls. Training is also provided and a certificate is given at the end of the 8 weeks.
	Access Restrictions	None
	Contents	This record series may contain: Application by citizens, criminal history check authorization and related information about the program.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5956	**Police Activities League (PAL) Monthly Report Summary**	This record series documents the activities of the PAL program for the month. The program provides activities for economically deprived youth and includes athletics, tutoring and other activities. There are three locations in the housing projects. This report summarizes the activities at each location.
	Access Restrictions	None
	Contents	This record series may contain: Monthly summary, officer name, day of month, programs and participants.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5957	**Crime Free Multi - Housing Program File**	This record series documents the education program for crime free multi-housing. This is a program whereby police officers present seminars at locations throughout the city for the purpose of informing the public on crime prevention and is designed to help residents, owners and the managers of rental property keep drugs and other illegal activity off their property. The program consists of prevention and applicant screening, drug nuisance abatement, and provides resource material.
	Access Restrictions	None
	Contents	This record series may contain: Application for volunteer participation, release form, waiver of right to carry firearm, authority to release information form and informational material.
	Retention and Disposition	Destroy two (2) years after program's termination.

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Record Group Number

Series	Records Title and Description	Function and Use
L5958	**Security Surveys (Business & 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.
L5959	**Deposit of Funds Collected**	This record series documents the deposit of Cetch funds with the Division of Revenue. This is in memo form.
	Access Restrictions	None
	Contents	This record series may contain: Name of person sending, name of person receiving, date, amount of each check and cash and the total deposit.
	Retention and Disposition	Retain for three (3) years, then destroy after audit.
L5960	**Extra Patrol Request**	This record series documents citizens complaints for more patrols in an area for one reason or another. These are forwarded to the Bureau of Patrol.
	Access Restrictions	None
	Contents	This record series may contain: Date, complainant, address, phone, person completing the form, comments, location, complaint, times, suspects, assignment, follow-up contact, date officer assigned, times checked, comments and observations.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5961	**Trigger Lock Program File**	This record series documents those persons participating in the Trigger Lock Program. A citizen may fill out a form to receive a free trigger lock. A release must be signed by the recipient saying that he/she alone is responsible for the firearm and the locking of it.
	Access Restrictions	None
	Contents	This record series may contain: General release and firearms safety guidelines.
	Retention and Disposition	Retain permanently.
L5962	**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 the case file.

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Series	Records Title and Description	Function and Use
L5963	**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.
L5964	**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.
L5965	**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: 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.
L5966	**Felony Investigation Case File(Non-Homicide) (V)**	This record series documents all investigative procedures followed when a felony has been committed. These include robbery, rape, assaults, wanton endangerment, burglary, larceny, arson, auto theft and all other felonies. This is a compilation of all material gathered in a felony investigation. All cases are considered open while actively being investigated. At some point in time they will become suspended which are those cases which have been cleared by arrest; 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, subpoenas and citations.
	Retention and Disposition	Retain for fifty (50) years, then destroy.

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Series	Records Title and Description	Function and Use
L5967	**Investigations other than Felonies**	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: A 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, citations, pleas, sentences and prosecution data.
	Retention and Disposition	Retain for five (5) years, then destroy.
L5968	**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	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 fifty (50) years, then destroy.
L5969	**Fingerprint Card File**	This record series documents 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	Destroy five (5) years after last entry.
L5970	**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.

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Series	Records Title and Description	Function and Use
L5971	**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	Destroy five (5) years after close of case.
L5972	**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 fifty (50) years, then destroy.
L5973	**Property/Evidence Record File (V)**	This record series documents a complete inventory of property and evidence seized during the investigation of case, whether a misdemeanor or felony. This is a system of keeping track of the property and evidence and the disposition of that property and evidence. The disposition of the property and evidence may be by destruction, auction, forfeiture or returned to the owner. Also it may become an exhibit in a court case where upon it will remain with the case file. The manual keeping of this record series is being done less and less by law enforcement agencies and is being replaced by electronic record keeping. Matter of fact bar coding is being used in the larger agencies to keep track of the property.
	Access Restrictions	None
	Contents	This record series may contain: 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.
L5974	**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 at the jail. This is done digitally and stored on electronic media. This information is maintained by the Division of Detention. This record series is maintained with the criminal history jacket in the police department. The older files may be maintained differently and may stand alone without all the fingerprint information.
	Access Restrictions	KRS 17.150 (2)(4)
	Contents	This record series may contain: Name, address, alias, social security #, age, date of birth, sex, race, height, weight, gender, hair, eyes, marital status, employer, place of birth, booking information, arrest date, arrest time, location of arrest, offenses, case numbers, disposition and other information.
	Retention and Disposition	Retain for fifty (50) years, then destroy.

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Series	Records Title and Description	Function and Use
L5975	**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.
L5976	**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. These files will be destroyed when the subject becomes 18 years of age.
	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 subject becomes twenty-three (23) years of age.
L5977	**Juvenile Arrest File/Juvenile Arrest 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 subject becomes twenty-three (23) years of age.

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Series	Records Title and Description	Function and Use
L5978	**Juvenile Order to take into Custody File**	This record series documents the Juvenile Order to take into Custody. Since January 1, 1988, the deputy sheriff receives these records from the court designated worker for juvenile cases. They are sent here to have the order served on the juvenile defendant. The deputy calls the court designated worker for juvenile cases only and returns the served order to her. Many of these defendants are habitual run-always. After one year any of these records which have not been served will be returned to the court designated worker.
	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.
L5979	**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	None
	Contents	This record series may contain: 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 fifty (50) years, then destroy.
L5980	**Domestic Violence Log (V)**	This record series documents a summary of the service (delivery) of a domestic violence summons, domestic violence order or a domestic violence emergency protective order by the law enforcement agency with jurisdiction in the locale of the petitioner. Provides reference at a glance to police department that the above named documents have been delivered, when they are effective and when they expire. Basically an administrative control document for the law enforcement agency and its communication center. Used in carrying out the requirements of KRS Chapter 403 relating to domestic violence.
	Access Restrictions	None
	Contents	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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Series	Records Title and Description	Function and Use
L5981	**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, 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	Destroy thirty (30) days after expiration of order.
L5982	**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 the states believed to be missing in Kentucky. The information concerning and adult who is missing is collected through the same process and on the same report. This record series is a collection and reporting document. This report form is used mostly to identify juveniles who have either runaway from home.
	Access Restrictions	KRS 610.320 (3)/KRS 61.878 (1)(h)
	Contents	This record series may contain: Report for a missing adult or a missing juvenile. Also included on the report are the following: name of agency, case #, date missing(or body found)(month, day, and year), time missing, date reported, name of missing person, alias, photo attached, address(or location body found), race, sex, hair color, hair length, facial hair, build, eye color, height, weight, date of birth, age, complexion, teeth, scars or birthmarks, tattoos or deformities, artificial parts(eyeglasses, dentures, prosthesis etc.), clothing last seen wearing, additional, jewelry, social security no., operators license no., fingerprint classification, date and time last seen, location last seen, probable destination, in company with, present mental state, dental records available, doctor/hospital records available, medication required, blood type, military service, vehicle involved, vehicle registration plate, next of kin, hobbies, type places/hangouts, other comments. There is a juvenile only section with Authorization for Release of Information by parent/legal guardian signed by the parent/legal guardian.
	Retention and Disposition	Destroy after closing of the case or transfer to felony investigation file.
L5983	**Taxi License Application File**	This record series documentst 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 (1a)
	Contents	This record series may contain: Application, photos of the subject, copy of the permit, criminal history, driving record, authority to release information, receipt of permit, occupational license receipt, medical examination certificate, and copy of operators license.
	Retention and Disposition	Destroy three (3) years after termination of employment.

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Series	Records Title and Description	Function and Use
L5984	**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.
L5985	**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 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.
L5987	**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.
L5988	**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	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, 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.

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Record Group Number

Series	Records Title and Description	Function and Use
L5989	**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, hrs worked, to hours, vacation hrs, other, car #, mileage, time, location, activity, deposition, citation #, case #, offense.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5990	**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.
L5991	**Fiscal Request**	This record series documents the fiscal request and is used by all Bureaus to request a purchase order, price contract voucher, budget amendment, overtime reimbursement, overtime adjustment, travel advance, deposit, petty cash or other reimbursement and physical exam reimbursement. Sent to the fiscal office.
	Access Restrictions	None
	Contents	This record series may contain: Date of issue, effective date, number, to, from, subject, division #, sub-account #, unit #, amount, type of fiscal request, vendor and address, item description, quantity, unit price, total and approved by.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5992	**Orders**	This record series documents the duplicates of orders issued by the Chief. These are found throughout the department and are no longer needed when superseded.
	Access Restrictions	None
	Contents	This record series may contain: Name as the orders in the Chief's office.
	Retention and Disposition	Destroy when superseded or rescinded.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Metro Police

Record Group Number

Series	Records Title and Description	Function and Use
L5993	**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.
L5994	**Video/Audio Recordings**	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. Video equipment may be in vehicles and/or on officers person. A tape may last a week or more for each officer.
	Access Restrictions	KRS 189A.100(2)(e)
	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 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.
L5995	**Video/Audio Recording Log**	This record series documents the log of 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.
L5996	**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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Metro Police

Record Group Number

Series	Records Title and Description	Function and Use
L5997	**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 four (4) years, then destroy.
L6074	**False Alarm Property Liens**	This record series documents property liens that are filed with the Jefferson County Clerk's office when alarm users do not pay their accounts for citations for false alarms. Before an alarm system is monitored, a permit must be issued to the user. The police department will not dispatch an officer to the scene unless this permit is in place. There are service fees according to Ordinance 231 creating a new chapter of the code of ordinancesrelating to burglary and holdup alarm systems. If those fees aren't paid a lien may be issued.
	Access Restrictions	KRS 61.878 1(a)
	Contents	This record series may contain: Invoices that are issued for police dispatched for false alarms and false hold-up alarms and the paid property liens from alarm users. May contain the name, address, phone numbers and personal identifying information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6075	**Alarm Technician Applications**	This record series documents the application of an "alarm technician". The definition provided in the Metro Government Ordinance is "any person licensed by the Alarm Administrator to maintain, service, repair, alter, replace, move, install or monitor alarm systems". The person applying must pay a fee to obtain a license and they must apply annually.
	Access Restrictions	KRS. 61.878 1(a)
	Contents	This record series may contain: Application, which includes the name , address, date of birth and SS#. Also copies of government identification and the alarm certification is included.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6076	**False Alarm Appeals - Granted or Denied**	This record series documents the written appeals received from alarm users to determine whether an alarm called into MetroSafe COM center was a legitimate alarm or not. Upon receipt of a request for appeal research is done by reviewing the alarm user's record, the dispatch report, and any supporting documentation received from the user to make a determination.
	Access Restrictions	KRS. 61.878 1(a)
	Contents	This record series may contain: Name, address, phone number and othe personal identifying information such as SS#.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Metro Police

Record Group Number

Series	Records Title and Description	Function and Use
L6077	**Alarm Business Applications**	This record series documents the application process for alarm and/or monitoring companies working within the Metro Government area. They must be registered and licesed by the Alarm Administrator on an annual basis.
	Access Restrictions	KRS. 61.878 1(a)
	Contents	This record series may contain: Applications, including the name, address, phone numbers and other identifying information such as the SS#. This includes information about the corporate officers, the alarm technicians and certain info about unemployment and workers comensation insurance.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6356	**Covenant Not to Sue (Waiver to Ride Along)**	This record series documents the waiver to ride along. This record series is used by Louisville Metro Police for those citizens who ride along in a patrol vehicle with a designated police officer. This covenant must be signed by the citizen before he/she may ride. This is a waiver not to sue in case of injury or damges 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, signatue 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.
L6684	**False Alarm Citation (Burglary and Hold-up)**	This record series documents citations issued to property owners for excessive burglary and hold-up false alarms pursuant to Metro Government Ordinance Chapter 127. If a property lien is filed and recorded in the county clerk's office, the unpaid citation becomes part of the False Alarm Property Lien Files, L6074.
	Access Restrictions	None
	Contents	This record series may contain: Citation number, Issued to name and contact information, Name of officer, Alarm user name and address, and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6693	**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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Metro Police

Record Group Number

Series	Records Title and Description	Function and Use
L6896	**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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Zoo

Record Group Number

Series	Records Title and Description	Function and Use
L4361	**Animal Medical Record File**	This record series documents the medical history of animals owned, or maintained by the Louisville Zoo. A medical record is created at the time of the animal's birth or capture and continues until death and autopsy.
	Access Restrictions	None
	Contents	This record series may contain: Check-up reports, treatment records, hospital records, medication records, breeding records and related medical information.
	Retention and Disposition	Retain permanently.
L4362	**Species Population/Breeding Record**	This record series documents the breeding history of each animal owned, or maintained by the Louisville Zoo. This information is used to ensure genetic diversity in the propagation of animals at the Zoo.
	Access Restrictions	None
	Contents	This record series may contain: Animal "family" history, blood type, genetic characteristics, past breeding history and related information.
	Retention and Disposition	Retain permanently.
L4363	**Donor Files**	This record series documents donations by individuals and corporations to the Louisville Zoo. Donations may be in the form of a monetary gift, or may be for goods and/or services. Donations may be for general purposes and/or specific projects, events and/or construction.
	Access Restrictions	KRS 61.878(1)(a) Personal Information
	Contents	This record series may contain: Donor name and contact information, type of donation, copies of checks, stock gift statements, value of donation, specifics any restrictions on donation, correspondence and related information.
	Retention and Disposition	Retain permanently.
L4366	**Blueprints/Plans of Buildings and Grounds**	This record series documents blueprints, plans and specifications for construction projects at the Louisville Zoo. Construction projects include buildings, animal enclosures, recreational areas, concession areas, gardens and landscapes.
	Access Restrictions	None
	Contents	This record series may contain: Blueprints, plans, photos, specifications, notes, orders, as-built plans and related information.
	Retention and Disposition	Retain permanently.
L4369	**Membership Files**	This record series documents Louisville Zoo member and membership information.
	Access Restrictions	None
	Contents	This record series may contain: Member name and contact information, membership type, date of membership, expiration date, renewals and related information.
	Retention and Disposition	Retain for five (5) years after membership becomes inactive.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Zoo

Record Group Number

Series	Records Title and Description	Function and Use
L4372	**X-Ray Badges**	This record series documents Louisville Zoo employee radiation exposure during radiological procedures on Zoo animals. The film badge is a personal dosimeter used for monitoring cumulative radiation dose due to ionizing radiation.
	Access Restrictions	None
	Contents	This record series may contain: Badge number, employee name and information and related information.
	Retention and Disposition	Retain for seventy-five (75) years, then destroy.
L4373	**Controlled Substance Log**	This record series documents the use of controlled substances during sedation and medical treatments by authorized personnel and is maintained to meet federal and state requirements.
	Access Restrictions	None
	Contents	This record series may contain: Drug and dosage used, animal ID, time and date of dosage, bottle number, name of person administering drug(s) and related information.
	Retention and Disposition	Retain for six (6) years, then destroy.
L4374	**Animal Permits**	This record series documents Louisville Zoo's authority to own and/or maintain individual animals and species of animals. Permits act much like a deed or title to an animal and may be issued by either state or federal regulating agencies.
	Access Restrictions	None
	Contents	This record series may contain: Name of animal, species information, agreements, permit information, and related information.
	Retention and Disposition	Retain permanently.
L4375	**Keepers Daily Reports**	This record series documents animal activity and observation reports. Keepers complete these reports daily for each animal. Reports contain information regarding animal activity such as medical, breeding and behavior.
	Access Restrictions	None
	Contents	This record series may contain: Date and time, animal identification, medication information (type, dosage, time administered), injuries, illness, behavior, breeding, pregnancy (tracking), birth and related information.
	Retention and Disposition	Retain permanently.
L4376	**Animal Husbandry File**	This record series documents the life history of each Zoo animal. This record begins at birth, or capture and continues for the life and autopsy of the animal.
	Access Restrictions	None
	Contents	This record series may contain: Animal identification information, origin of animal, acquisition information, health history, physical description, cost, donor information and related information.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Louisville Zoo

Record Group Number

Series	Records Title and Description	Function and Use
L4378	**Zoo Library Catalog**	This record series documents the index and cross reference to the Zoo library collection. This is a typical card catalog which would be found in any library.
	Access Restrictions	None
	Contents	This record series may contain: Title of item, author of item, publisher, date of publication, number of pages, number of copies, location and related information.
	Retention and Disposition	Destroy once item has been removed from holdings.
L4379	**Educational Participant Files**	This record series documents a listing of participants in educational activities developed and administered by the Zoo. This includes fee-based classes, school programs, outreach programs (nursing home, community centers, etc.).
	Access Restrictions	None
	Contents	This record series may contain: Registration information, program information, group information and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L4797	**Crisis Plan/Emergency Procedures File**	This record series documents the crisis and emergency procedures plan for the Zoo. Emergencies include situations that place Zoo personnel, animals, property, visitors, or the general public in danger. The plans outline appropriate responses for public/media communication, capture, evacuation and other actions necessary to facilitate a quick and safe end to the crisis and/or emergency.
	Access Restrictions	None
	Contents	This record series may contain: A narrative description of the emergency procedures, contact information and related information.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L6111	**Journals (V)**	This record series is used to document 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. (a.k.a 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 . This record series is used to document daily activities(receipts and expenses) and is reconciled monthly).
	Access Restrictions	None
	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.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6112	**Audit Trail Lists**	This record series is used to document 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. (May include Audit Trail List by Document Reference #, Expenses, Revenues, Vendors and Balance Sheets. This record series documents the daily transactions concerning receipts and expenses and is used to track those by the above references).
	Access Restrictions	None
	Contents	This record series contains the document reference #, journal #, starting date, ending date, posting date, vendor description, debit amount, credit amount and totals.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6113	**Funds Ledger (V)**	This record series is used to document 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 Metro Government. This is the final financial statement to the governing body. (May include Audit Trail List by Document Reference #, Expenses, Revenues, Vendors and Balance Sheets. This record series documents the daily transactions concerning receipts and expenses and is used to track those by the above references).
	Access Restrictions	None
	Contents	This record series contains the 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.
	Retention and Disposition	Retain permanently.
L6114	**Trial Balance**	This record series is 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.
	Access Restrictions	None
	Contents	This record series contains the debits and credits of each account and reconciled amounts, date and time.
	Retention and Disposition	Retain 1 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L6115	**Periodic Financial Statements**	This record series is used to document the financial status of the Metro 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 mayl be submitted monthly or quarterly.
	Access Restrictions	None
	Contents	This record series contains the financial balance for each account and the entries that go into calculating those amounts. All transactions are posted.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6116	**Asset/Equipment Inventory File**	This record series is used to document assets (equipment, office furniture, autos and other items owned by the Metro 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. (This record series may be a card file, a list or electronic database and is used to document 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. May include the name of the asset and #, description of asset, equipment #, location of asset, purchase date, serial number, purchase order #, acquisition cost, current value and totals).
	Access Restrictions	None
	Contents	This record series contains the 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	Destroy 3 years after update is completed and audit
L6117	**Annual Audit**	This record series documents the receipts and expenditures of each fund of the Metro 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 contains the 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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L6118	**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. (This record series may be completed daily, monthly or quarterly and may document collection of fees, fines, and taxes collected for issuance of licenses, payroll tax receipts, insurance premiums received, property tax collections, parking ticket fines, etc. Used to reconcile accounts and to verify postings. May serves as a daily check-out sheet for the financial section. After reconciliation is completed this is no longer needed).
	Access Restrictions	None
	Contents	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 1 month, then destroy.
L6119	**Accounts Receivable File (V)**	This record series is used to document 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 3 years. Destroy after audit.
L6120	**Banking Records File**	This record series documents all banking transactions, including payroll and is maintained to verify the checks written and reconciliation of accounts. It is also used as an audit trail and a reference.
	Access Restrictions	None
	Contents	This record series may contain the cancelled check and warrants, bank reconciliation, bank statement, check stubs, duplicate copies of checks and deposit ticket.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6121	**Uniform Financial Information Report (V)**	The 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	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 3 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L6122	**Charitable Gaming Organization Activity Registration Form**	This 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	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 5 years. Destroy after audit.
L6123	**Charitable Gaming Organization Quarterly Accounting Report**	This 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	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 5 years, then destroy.
L6124	**Sales Tax Report**	This record is used to document 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 the name, address, phone, amount of sales for tax purposes, amount of sales tax received and totals.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6378	**Professional Services Contracts**	Record is used as authorization to make payments on certain invoices. PSC contracts are required by ordinance for any work performed by either licensed or non-licensed professional above a specified amount.
	Access Restrictions	None
	Contents	May include: Signed copy of contract (including vendor name, service to be provided, amount of compensation, term of agreement, legal requirements, agency contact, etc.), payment documents, correspondence, requests for payment, etc.
	Retention and Disposition	Destroy 5 years after termination of contract

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Accounting

Record Group Number

Series	Records Title and Description	Function and Use
L6379	**Financial Management System FMS Reports**	Record provides a detailed listing of activity or a summarized list depending on type of report. Reports are used primarily by Finance and Budget and also by departments. Organization Reports, Cost Center Reports, Appropriation Reports, Project and Program Reports, Detail transaction List, Encumbrances, Payment Register, Input Validations, etc.
	Access Restrictions	None
	Contents	Various reports which are end products of various input from entry level transactions containing financial activity information which is consolidated for reporting purposes.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6380	**Journal Voucher (V)**	Record is used to move charges among Metro Louisville accounts, correct errors in coding, and make necessary adjustments.
	Access Restrictions	None
	Contents	May include: Correspondence, memo's for record, and the JV from which includes cost center, account number, and amount of transaction information.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6381	**Comprehensive Annual Financial Report (CAFR)**	Record provides summarized financial data and narrative relating to the activities of Metro government during a specified fiscal year.
	Access Restrictions	None
	Contents	Published report with financial statements, introductory letters, auditors reports, statistics and explanatory narratives.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Budget

Record Group Number

Series	Records Title and Description	Function and Use
L6108	**Budget Draft/Proposal (V)**	This series serves as a reference tool for the working budget process. It is used only to verify amounts, details, etc. until the final budget is approved.
	Access Restrictions	None
	Contents	Each fund & department's proposed budget, agency request, executive recommendations, 3 previous years' expenses, current year expenses, estimated expenses for current year
	Retention and Disposition	Destroy at end of current fiscal year and audit
L6109	**Budget Work papers (V)**	This series documents the budget process and helps in the preparation of the proposed budget for submission to the approving legislative body.
	Access Restrictions	None
	Contents	Correspondence, working budget requests, computations, previous budget totals.
	Retention and Disposition	Destroy at the end of current fiscal year and audit
L6110	**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 contains the projected revenues and expenditures for each agency, date, narrative, reconciliation and signature.
	Retention and Disposition	Retain 1 copy permanently

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6134	**Payroll Register -Year End (V)**	This record series is used to document 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.. This record series documents the earnings of individual employees for the duration of their employment.
	Access Restrictions	None
	Contents	This record series contains the run date, name of employee, directory information, gross pay, net pay, withholdings, rate of pay, each pay period with year to date totals, total deduction, vacation and sick leave, pay scale, payment date, payroll check #, and related information.
	Retention and Disposition	Retain 70 years from date first employed
L6135	**Payroll Register - Pay Period (V)**	This record series is used to document the earnings and withholdings of employees for each pay period. This is used to compile the year end Payroll Register. This record series is created each pay period for all employees to document the gross pay, withholdings and net pay. This may be combined with the year end payroll register.
	Access Restrictions	None
	Contents	This record series contains the run date, name of employee, gross pay, withholdings, rate of pay, year to date totals, total deductions and payroll vouchers.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6136	**Time and Attendance Record File (V)**	This record series is used to document the official time worked by the employees during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees.
	Access Restrictions	None
	Contents	This record series contains the payroll sheet which is a cumulative record of employees and the time they worked during the pay period. This data is collected from the time sheets. This record series also contains the time sheet for each individual employee. Each of these contain the name of employee, time worked, name of department, authorized signature, payroll beginning date, payroll ending date, dates worked, hours worked, t totals and certifications.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6137	**Leave Requests**	This record series is used to document requests for leave by local government employees. This information may be forwarded to the payroll section which will use it to compile attendance. These requests may be for personal leave, sick leave, absent from duty, professional meeting attendance, field trip or vacation.
	Access Restrictions	None
	Contents	Data elements in these records include: name of applicant, school, date of absence, reason for requested leave, attachments when necessary, signature of the employee and that of the physician and/or notary when required.
	Retention and Disposition	Retain 3 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6138	**Benefits File (V)**	This record series is used to document the benefits offered by a Louisville Metro Government to the employees and the application for those benefits. This file is used to verify beneficiary changes to insurance and other plans and to document what benefits an employee has elected to take.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the application, benefits offered, copies of benefit changes and employee information.
	Retention and Disposition	Destroy 3 years after termination of employment
L6139	**Family and Medical Leave Record File (V)**	This record series is used to document those who apply for leave under the Family and Medical Leave Act (FMLA). Covered employers must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12 month period for maternity, for adoption, to care for an immediate family member, or because of a serious health condition. This file is maintained separately from other payroll and personnel records.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the application, approval or denial letter, doctor's statements, payroll information and leave records.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6140	**Disability Leave Files (V)**	This record series is used to document those who apply for leave because of an existing disability. This disability may have been job related or other circumstances. This is a separate file and is used as a reference when doing payroll and to denote that this is a special disability case. These applicants may apply under the Americans with Disabilities Act.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the leave request, doctor's statements, P1 to restore the time missed and employee directory information.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6141	**New Hire Report**	This record series is used to document any employees that are newly hired, rehired, or who return to work after a separation of employment. This mandated by the Social Security Act. The information that is reported is used in assisting the state in locating parents who owe child support or to identify recipients of public assistance and unemployment compensation who fail to report earnings. This report must be submitted no later than 20 days after an employee is hired, or returns. This report is transmitted electronically.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the employee's name, address, SS#, employer's name, payroll address, federal id #, date of hire, date of birth, and other information.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6142	**Monthly Summary of Wages Earned**	This record series documents the monthly summary of wages for Louisville Metro Government employees contributing to the Kentucky Retirement System. Attached to the summary report is a check to cover both the employee contribution rate of 5% and the employer contribution rate of 7.95%. Unlike other wage statements submitted to state and federal agencies, this agency (Ky. Retirement System) does not require an annual reconciliation. However, the monthly summary has a listing of individual employees attached to it.
	Access Restrictions	None
	Contents	This record series contains the agency #, period covered, total wages reported, employee's installment payment, employee contributions at 5%, total of installment payment and employee contribution, employer contribution at 7.95%, grand total for installment, employee and employer contribution, plus added payment for late reporting, city name, contact person, address, and phone #, certification that persons listed in report are full-time employees, date report filed, signature of reporting official followed by a listing of employees names with social security number, gross wages previous month, gross wages current month, installment purchase previous month, and installment purchase for the current month.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6143	**Individual Payroll Authority File (V)**	This record series is used to document the authorization to produce a payroll for each employee for a given pay period. This file is used for payroll purposes only and is maintained for each employee. Included in this are all authorizations needed in order to produce the payroll.
	Access Restrictions	None
	Contents	This record series contains the 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	Destroy 3 years after termination of employment or 3 years after superseded and audit
L6144	**Wage and Tax Statements/W-2 (V)**	This record series is the annual statement of wages and taxes paid an employee for federal and state tax purposes. The Internal Revenue Service requires an employer to prepare such a statement for each employee. The employee uses the statement in the preparation of the federal and state tax return. The Louisville Metro government maintains a copy in its file.
	Access Restrictions	None
	Contents	This record series contains employer's I.d. number, control number, name, address, employees social security number, employee's name, address, wages and tips, federal income tax withheld, FICA, social security wages, Medicare wages and tips, Medicare tax withheld, social security tips, allocated tips, advance EIC payment, dependent care benefits, non-qualified plans, other, type of employee, employers state I.D. # state wages and tips, state income tax, locality name, local wages and tips, local income tax.
	Retention and Disposition	Retain 5 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6145	**Tax Payment Report Worksheet**	This record series is used to authorize the payment of all federal withholding from the bank. This is done telephonically with the actual payment sent electronically to the IRS. This takes the place of the Federal Tax Deposit Coupon Book and the written check. This is done after each pay period. Additional information is requested on this worksheet for Tax Form 720, 941, and CT-1 FTD Payment. If total deposits of income tax withheld and social security, Medicare, and railroad retirement taxes are more than $50,000 an employer must make electronic deposits for all depository tax liabilities that occur. This was started as of January 1, 1998.
	Access Restrictions	None
	Contents	This series contains the steps necessary to send in the federal withholding to the IRS. This includes the federal phone #, taxpayer I.D. #, PIN #, menu selections to initiate a tax payment, tax type #, tax payment type, tax filing period, payment amount, verification code, tax payment settlement date, acknowledgement #, settlement date.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6146	**Employee Direct Deposit Authorization**	This record series is used by the employee to authorize the direct deposit of their paycheck in the bank by the city.
	Access Restrictions	None
	Contents	This record series contains the name of employee, name of bank, bank routing number, bank account number and signature of employee.
	Retention and Disposition	Destroy when superseded or termination of employment
L6147	**Transmittal Register of Direct Deposits**	This record series is used to document that the direct deposit has occurred. This is routed through the automated clearing house and run each pay period. The employee receives the payroll check stub.
	Access Restrictions	None
	Contents	This record series contains the originating point, receiving point, date of transfer, time, type of service, name, entry count, amount, credits, debits, savings credits and file totals.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6148	**Annual Return of Withheld Federal Income Tax (Form 945)**	This record series is used to report income tax withheld from nonpayroll payments. This includes pension, annuities, and IRAs, military retirement, gambling winnings, indian gaming profits, voluntary withholding, and backup withholding. All income tax withholding reported on Forms 1099, 1099R, 1099 Misc, or Form W-2G are reported on this form,
	Access Restrictions	None
	Contents	This series contains the name of employer, address, I.D. #, federal income tax withheld, total taxes, total deposits, balance due, overpayment, monthly summary of federal tax liability, signature of employer and date.
	Retention and Disposition	Retain 7 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6149	**Form 1099**	This includes forms 1099-Miscellaneous and 1099-G. Form 1099 - Miscellaneous documents the income earned by vendors for supplies, service, equipment, office building rentals. City property tax and income tax and city 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	Form 1099-Misc contains Payer's name, street address city, state and zip, account #, 2nd TIN not., rents, royalties, prizes, award, federal income tax withheld, fishing boat proceeds, medical and health care payments, nonemployee compensation, substitute payments in lieu of dividends or interest, payee made direct sales of $5,000 or more of consumer products 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 4 years. Destroy after audit.
L6150	**Employer's Monthly Return of Income Tax Withheld**	This record series documents the monthly withholding of state income tax for local government employees by the local government. The return is filed with the Ky. Revenue Cabinet and a check with the total amount due is a attached to the return. This return provides only grand total for all employees and does not list individual employee names and individual withholding amounts.
	Access Restrictions	None
	Contents	This record series contains the employer name and address, time period covered, return due date, account number, total wages for period, Kentucky income tax withheld for period, previous period adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature, title and date line.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6151	**Employer's Annual Return of Income Tax Withheld**	This record series documents the annual withholding of state income tax from the wages of local government employees. Included on the return is an annual reconciliation for the months January to December. The return also serves as the monthly return for December. Unlike the monthly return, this document will have K-2's Employee Wage Statements attached at the time of submission, in addition, the return has the December withholding check attached to it.
	Access Restrictions	None
	Contents	This record series contains the employer name and address, period beginning, period ending, return due, account number, total number of employees this period, total withholding payments processed for the period January 1 to September 30 as of December 13, Annual Reconciliation providing total wages for the year, Kentucky Income Tax Withheld as shown on K2's, a Ky. Income tax withheld, previous adjustments or credits, net tax due, penalty, interest, total penalty and interest, total amount due, signature line, title line and date line, plus a statement of adjustments and credits, Attached to the return are the individual employee K2's (Wage Statements).
	Retention and Disposition	Retain 7 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6152	**Employer's Quarterly Federal Income Tax Return**	This record series documents the quarterly payment of federal income taxes plus Social Security and Medicare taxes paid to the IRS by a local government. Attached to the return will be a check to cover these payments.
	Access Restrictions	None
	Contents	This record series contains the federal ID #, name of local government office and local government, address, number of employees, total of wages subject to withholding plus other compensation, total income tax withheld from wages, tips, pensions, annuities, sick pay, etc., adjustment of withheld income tax for preceding quarters of the calendar year, adjusted total of income tax withheld, taxable Social Security wages and tips, taxable Medicare wages and tips, total Social Security and Medicare taxes, backup withholding, adjustment of backup withholding, total taxes, advance earned income credit made to employees, net taxes, balance due, overpayment, followed by a listing of tax liability by pay period and by months in each quarter with grand totals, plus signature line, job title and date.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6153	**Reimbursing Employer's Quarterly Unemployment Wage Report**	This record series documents the quarterly payment of unemployment insurance contributions by a local government to the Division of Unemployment Insurance. At minimum the report may be one page in length but could be far longer depending upon the number of employees. A check may or may not be attached to the report depending on whether the Louisville Metro government decides to file it with the report or separately.
	Access Restrictions	None
	Contents	This record series contains the KY employer ID number, federal employer ID number, employee name, social security number, gross wages, total for the pages, totals for all pages, number of employees by quarter with monthly totals, previous amount due, total amount due, number of pages in the report, remittance attached yes or no, signature line, title line, address and telephone number, date.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6154	**Terminate/Warning List**	This record series is used to document those employees who are scheduled to leave employment in the upcoming month. This may be those who have given notice to leave, those who are retiring or those who are terminated for other reasons. Some are on probation and will be terminated. This series is used to make the appropriate changes to the employment records.
	Access Restrictions	KRS 61.878.(1)(a)
	Contents	This record series may have the name of employee, work status, directory information, classification, date of hire and information concerning why the person is leaving.
	Retention and Disposition	Destroy 1 year after update
L6155	**Child Support Orders**	This record series are orders issued by the court for employees to pay child support. When these orders are received the information is put into the employees record for deduction from their pay.
	Access Restrictions	None
	Contents	This record series may contain employee information, amount to be paid, when to be paid and directory information.
	Retention and Disposition	Destroy when employee leaves or the order is terminated

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6156	**Domestic Relations Report**	This record series is used to document the amount of money is paid to the Division of Child Support for each employee. This is done through payroll deduction and is completed each pay period. Some of these employees are court ordered to do this and others do it as a convenience.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain the name of employee, directory information, amount of payment.
	Retention and Disposition	Retain 3 years, then destroy.
L6157	**Classification Report**	This record series is used to document the exact classification of employees by Division. This is a reference in doing payroll.
	Access Restrictions	None
	Contents	This record series may contain the name of employee, division, classification #, title, hire date, employee #, account #, grade, totals of each Division and totals of all employed by Urban County Government.
	Retention and Disposition	Retain 2 years, then destroy.
L6158	**Garnishment Register**	This record series is used to document those who have had wages garnished. The appropriate notation is made concerning the payroll deduction and where the amounts are to be forwarded. This file is updated as garnishments come and go. Used to as a reference for inquiries from the IRS and state revenue.
	Access Restrictions	None
	Contents	This record series may contain the amount of garnishment, employee's name, and time period.
	Retention and Disposition	Retain 2 years, then destroy.
L6159	**Employment Verification File**	This record series is used to document that a person is employed by Metro Government. There are requests from financial institutions when an employee is borrowing money and for background checks. This is only a statement that says a person actually works for Metro Government.
	Access Restrictions	None
	Contents	This record series may contain the employee's name, salary, time employed and directory information.
	Retention and Disposition	Destroy when copied to employee's payroll file
L6160	**Payroll Edits**	This record series is created to use as a double check when changes are made to employee's records. Using the P1 and other entry documents changes are made on a bi-weekly basis. This documents all adjustments and changes that may be made to an employees payroll on pay period basis.
	Access Restrictions	None
	Contents	This record series may contain the changes made, direct deposit information, w4/k4 information, new p1 information, name of employee, directory information.
	Retention and Disposition	Retain 2 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6161	**Vacancy Report**	This record series is used to list all of the jobs that are authorized and filled at any given time. This report gives the salary and classification of each vacancy. This report is used primarily by the Director of Human Resources to keep track of vacancies. This report is by position number and does not include names.
	Access Restrictions	None
	Contents	This record series may contain classification #, position title, civil service positions and those that are deemed unclassified.
	Retention and Disposition	Destroy when updated
L6162	**Life Insurance Death Claims File (V)**	This record series is used to document information that is prepared to send to the insurance company when an employee or retiree dies.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain a copy of the death certificate, beneficiary forms and application for the life insurance.
	Retention and Disposition	Destroy after claim is settled
L6163	**Health and Dental Claims Payment (V)**	This record series is used to document claims made by employees for medical and dental services. This is done bi - weekly and a the claims are submitted to the appropriate insurance company.
	Access Restrictions	None
	Contents	This record series may contain invoices, proof of claims draft, claims register, and disbursement requests. It will contain the name of employee and insurance information.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6164	**Life Insurance Payment File (V)**	This record series is used to document the proof of payment of the group term life insurance premium to the insurance company. This is for both current employees and retirees.
	Access Restrictions	None
	Contents	This record series may contain pay period, date, payroll reports, payments by employees, and total.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6165	**401K Reports**	This record series is used to document payment into a 401K fund by employees. This report is used as a reference when inquiries are made and as proof that a payment has been made. This is done each pay period.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	This record series may contain employee name, position, amount, payroll reports, check copies.
	Retention and Disposition	Retain 1 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Payroll

Record Group Number

Series	Records Title and Description	Function and Use
L6166	**Comp - Time Report**	This record series is used to document the amount of comp time accrued by each employee. This report is only used as a quick reference. Comp time will be a part of the time and attendance record and will also be on the year end payroll register.
	Access Restrictions	None
	Contents	This record series may contain the name of employee, amount of comp time, pay period, and directory information.
	Retention and Disposition	Retain 1 year, then destroy.
L6167	**Bi-Weekly Absentee Report**	This record series is used to document the absences for a pay period. This is used as a quick reference by staff when inquiries are made or there is a need to answer payroll questions.
	Access Restrictions	None
	Contents	This record series may contain the name of employee, type of absence, amount of time taken and employee information.
	Retention and Disposition	Retain 1 year, then destroy.
L6261	**Garnishments**	This record series is used to document that there will be removal of money from an employee's salary to satisfy a court-ordered repayment to a creditor. This is issued by the court and sent to Metro payroll section and implimented until satisfied.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	May include: Court order, pay documents, Court release, Removal calculation, correspondence.
	Retention and Disposition	Destroy 5 years after date of last action

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Purchasing

Record Group Number

Series	Records Title and Description	Function and Use
L6127	**Accounts Payable File**	This record series is used to document 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. 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. 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. This series is used to document the requisitioning, purchasing and remitting process.
	Access Restrictions	None
	Contents	This record series contains the requisition, purchase order, travel requests, receipts, vendor invoices, check copy, receiving order and supporting documentation.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6128	**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. This record series is used to document the authorization to pay for purchases or services.
	Access Restrictions	None
	Contents	This record series contains the date, voucher #, purchase order #, invoice #, and amount.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6129	**Purchase Order/Requisition Reference and Tracking Instruments**	This record series is used to document the issuance of purchase order numbers when a requisition is received. This is an easy tracking system for the life of the purchase order. 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. Each of the instruments may contain the purchase order #, date of issuance, date of report, name or requesting agency or department, vendor name, vendor #, amount requested for each purchase order and the total amounts. This record series is used primarily for the tracking and referencing of the purchase order.
	Access Restrictions	None
	Contents	This record series contains the 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 3 years. Destroy after audit.
L6130	**Contracts and Agreements (V)**	This record series is used to document the terms by which items and/or services were purchased and the responsibilities of each party.
	Access Restrictions	None
	Contents	This record series contains the names of the parties involved, date issued, terms, expiration date, signatures and date signed.
	Retention and Disposition	Destroy 15 years after completion or termination and audit (KRS 413.090)

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Purchasing

Record Group Number

Series	Records Title and Description	Function and Use
L6131	**Bid Files - Successful (V)**	This record series is used to document 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. May include the invitation to bid, legal notice for newspaper, bid specifications, bid proposal, notice to bidders, list of bidders, bid sheets of bidders, administrative orders, draft copies of contracts/agreements, pre-construction information, copies of minutes of progress meetings, correspondence, and purchase orders. This record series is used to document vendors that have successfully bid on goods and services.
	Access Restrictions	None
	Contents	This record series contains 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	Destroy 3 years after specifications met or completion of contract or agreement and audit
L6132	**Bid File - Unsuccessful**	This record series documents those bids by vendors which were unsuccessful. This includes the invitation to bid and the specs and the bid submitted by the vendor.
	Access Restrictions	None
	Contents	This record series contains the invitation to bid, bid specifications, vendor bid, notice of rejection, recommendations and correspondence.
	Retention and Disposition	Retain 1 year. Destroy after audit.
L6133	**List of Bidders**	This record series is used as a 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 contains the name of bidder, project description, date and whether successful or unsuccessful.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Revenue Commission

Record Group Number

Series	Records Title and Description	Function and Use
L6104	**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 contains the 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 3 years. Destroy after audit.
L6105	**Quarterly Insurance Premium Tax Return (V)**	This record series is used to report quarterly 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 contains the 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 30 days after annual reconciliation report is reviewed and information verified for accuracy and audit.
L6106	**Insurance Premium Tax Annual Reconciliation (V)**	This record series is used to report annually 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	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 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Revenue Commission

Record Group Number
6168

Series	Records Title and Description	Function and Use
L6107	**Occupational License Fee Refund File**	This record series documents the refund process for the overpayment of the occupational license fee by businesses and employees of those businesses. A refund may be requested within a three year window. Those requesting refunds are those with unreimbursed business expense or have and over 65 exemption. The individual employee refund requests are filed under the business name and account number.
	Access Restrictions	KRS 413.120
	Contents	This record series contains the application for refund, individual work schedules, W-2s, general correspondence.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6125	**Bond Record File (V)**	This record series documents each bond issue and subsequent activity. It is a record of when the bonds are issued and when they mature. This gives a history of debt service. This record series may contain the Bond Transcripts, Bond Register, Bond Coupon Redemption Register and Certificate of Disposal for Bonds and Coupon.
	Access Restrictions	None
	Contents	This record series contains the name of issuer, name of series, date, denomination, numbers, interest rate, first interest coupon payable on, coupon payable thereafter on, at which bank payable, amount issued, bond numbers, number of bonds due, denomination of bonds due, maturity dates, funds sent paying agent(date fund sent, amount sent, including agents charges). Record of interest coupons: bond numbers, date cancelled, interest coupon numbers and the certificate of disposal.
	Retention and Disposition	Retain permanently.
L6126	**Cancelled and Redeemed Bonds and Coupons File**	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 contains the issuer, purpose, amount, interest rate, trustee, date of issue, payable date, description, certification, the coupon statement, date number and amount.
	Retention and Disposition	Destroy 3 years after maturity and audit
L6382	**Investment Files (V)**	This record series is used to document cash transfers related to incoming cash and investments and cash transfers. This series is used to track all investments made by Metro Government.
	Access Restrictions	None
	Contents	May include, but not limited to: Journal vouchers for investments, daily transactions sheets, backup info including bank statements, memos, notes.
	Retention and Disposition	Destroy 3 years after closing of account.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6168	**Workers' Compensation File (V)**	This record series is used to document those employees who have applied for workers' compensation. This file documents job related injuries or infestations from which workers' comp is requested by employees.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the injury report, medical determinations, log of injuries and claim to the insurance company.
	Retention and Disposition	Retain 5 years. Destroy after claim settled.
L6169	**Liability Claims File (V)**	This record series is used to document those claims by a third party against the Metro Government or its employees. This may be any claim other than the ones listed that are brought by a third party, including those involving government employees. Includes claims where a Metro Government vehicle has damaged or injured a third party.
	Access Restrictions	KRS 61.878 (a)
	Contents	This record series contains the injury/complaint report, medical determinations, summary of claim, police report if necessary, medical determinations, type of damage or injury, date, time, and other supporting documents.
	Retention and Disposition	Destroy 5 years after claim is settled. If third party is a minor when third party reaches 23 years of age.
L6170	**Damage Claims (V)**	This record series is used to document claims where a Metro Government vehicle has been damaged or has damaged 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 2 years, then destroy.
L6171	**Accident Review Committee Report (V)**	This record series is used to document the reviews of accidents that may be in question. This committee determines fault issues and what procedures should be taken in particular accidents. This committee meets as needed.
	Access Restrictions	None
	Contents	This record series contains the issues involved, summary of claim, type of damage, date, time, police report, if needed, recommendations and other supporting documents.
	Retention and Disposition	Retain 2 years, then destroy.
L6172	**Third Party Administrator (TPA) Contracts (V)**	This record series is used to document an agreement between Metro Government and a third party, which is an outside agency or individual responsible for claims adjustment and administration for the self insured government. Metro Government has contracted with two TPAs, one for worker's comp. and one for auto and general liability claims.
	Access Restrictions	None
	Contents	This record series may contain the name of the third party, name of insured party, agreement details and duration of agreement.
	Retention and Disposition	Destroy three (3) years after termination of agreement.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6173	**Claim File Audits and Responses**	This record series is used as quality control to make sure that all claims are maintained and serviced according to best practices. This is done annually and is only used by Risk Management to police themselves.
	Access Restrictions	None
	Contents	This record series may contain a general overview of the claims, how they were handled, who was responsible for the audit, and the responses made.
	Retention and Disposition	Retain 3 years, then destroy.
L6174	**Training Records (Employees)**	This record series is used to document training given to employees from the first time employed and throughout their employment. This training is stressed by OSHA and should be done to outline all contingencies that may occur in a work environment. These training procedures are defined for the areas of employee orientation, blood borne pathogens, infectious disease, confined spaces, lockout/tagout, hazard communication and hot work permit.
	Access Restrictions	KRS 61.878 (k)(3)
	Contents	This record series may contain the training procedures, name of employee, training, date, time, and supporting documentation.
	Retention and Disposition	Retain 3 years, then destroy.
L6175	**Environmental Training Records**	This record series is used to document the training given by the Safety and Health section to offices throughout Metro Government. This program is conducted to make sure that all areas of Metro Government are being trained according to environmental best practices.
	Access Restrictions	None
	Contents	This record series may contain the name of training, date given, audience and certification.
	Retention and Disposition	Retain 10 years, then destroy.
L6176	**Occupational Safety & Health Administration (OSHA) Annual Summary**	This record series is completed annually to report to OSHA the number of cases, number of days away from work, and the injury and illness involved. This is a statistical report and must be completed and signed.
	Access Restrictions	None
	Contents	This record series may contain the number of cases, total number of deaths, number of days missed, injuries, skin disorders, respiratory conditions, poisonings, facility info, employment information and a certification.
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6177	**Occupational Safety & Health Administration (OSHA) Logs**	This record series is used to document work related injuries and illnesses and is mandated by the U.S. Department of labor. This is to be maintained by all Metro Government agencies. All work related injuries or illnesses are documented.
	Access Restrictions	None
	Contents	This record series may contain the case number, employee name, job title, date of injury or onset of illness, where the event occurred, description of illness or injury, classification of the case, number of days on the job or away from work, establishment name, date and city.
	Retention and Disposition	Retain 5 years, then destroy.
L6178	**OSHA Inspections & Investigations**	This record series is used to document OSHA inspections of facilities and if there are special investigations into possible safety violations the documentation is in this file.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, overall evaluation, violations, conclusions of investigations, remedies, deadlines and signature of inspector.
	Retention and Disposition	Retain 5 years, then destroy.
L6179	**OSHA Surveys**	This record series is used to document routine surveys taken to satisfy OSHA requirements. This may be for special injury or illness causing problems such as workplace hazards or air contaminations. These are conducted by Metro Government at the request of OSHA.
	Access Restrictions	None
	Contents	This record series may contain the date, time, overall evaluation, description of survey, where surveyed and by whom.
	Retention and Disposition	Retain 5 years, then destroy.
L6180	**Job Hazard Analysis File**	This record series is used to document that there has been an inspection of an area looking for possible hazards that may result in injury of health. This is a summary of information received from different areas in Metro Government. This is mandated by OSHA and is done annually.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, listing of hazards and what was done to remedy.
	Retention and Disposition	Destroy when updated or no longer applicable
L6181	**Personnel Protective Equipment File**	This record series is used to document the protective equipment that certain employees have to use in their jobs such as construction, fire, ems etc. This updated periodically to make sure all are in compliance with OSHA standards.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	Retention and Disposition	Destroy when updated or no longer applicable

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6182	**Loss Prevention Surveys, Audits, Evaluations and Inspections File**	This record series is used to document the a physical plant audit of a facility for the purpose of fire protection. This would include the checking of fire extinguishing equipment and anything that is involved in fire protection.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, equipment inventoried and discrepancies.
	Retention and Disposition	Retain 5 years, then destroy.
L6183	**Safety Inspections**	This record series is used to document that there has been an inspection of areas for all safety issues. This is done on the division level periodically to make sure they are compliant with those safety guidelines issued by Risk Management.
	Access Restrictions	None
	Contents	This record series may contain the date, time, inspector name, area inspected, and any safety areas that are not in compliance.
	Retention and Disposition	Retain 3 years, then destroy.
L6184	**Asbestos Exposure File**	This record series is used to document personnel who have been exposed to possible high levels of asbestos. Usually the exposure to asbestos is at the time the abatement team is cleaning out asbestos in government owned buildings. It may take a long period of time (estimated by OSHA to be 25 to 30 years) for the contamination to have an adverse on ones health.
	Access Restrictions	None
	Contents	This record series may contain the date, time, hazard exposed to , duration and where it happened.
	Retention and Disposition	Destroy 30 years after termination of employment
L6185	**Hazardous Materials Exposure File**	This record series is used to document any personal or environmental monitoring of exposure to hazardous materials, lead, chemicals, toxic substances, blood borne pathogens, biological agents, bacteria, virus, fungus, radiation or other related conditions.
	Access Restrictions	None
	Contents	This record series contains date of exposure, amount, time, type of exposure and actions taken.
	Retention and Disposition	Retain 30 years, then destroy.
L6186	**Material Safety Data Sheets (MSDS)**	This record is used to document that a data sheet has been submitted for each hazardous chemical received by employers and must maintain it on file. These must be readily available to the employees. This record documents where the chemicals are used and where they were used and for how long.
	Access Restrictions	None
	Contents	This record series contains name of employer, address, chemical, quantity, summary of use, where they were used, date, and certification.
	Retention and Disposition	Retain 30 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6187	**Tier II Emergency and Hazardous Chemical Inventory Submittals(Community Right to Know)**	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	Access Restrictions	None
	Contents	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.
	Retention and Disposition	Retain 3 years, then destroy.
L6188	**Noise Exposure File**	This record series is used to document exposure to unhealthy level of noise as determined by OSHA. When there is a complaint that there is excess noise in the workplace, measurements are taken and charts supplied by OSHA are used to determine if levels are harmful. If it is determined to be a health risk it must be remedied.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	Retention and Disposition	Destroy 2 years after termination of employment
L6189	**Sampling and Testing File**	This record series is used to document that there has been testing and sampling of areas in the government buildings. The sampling and testing is initially done by the Division of Building Maintenance and Construction staff. They are responsible for asbestos abatement and when this is done in an area the sampling and testing information is forwarded to Risk Management. When all the government buildings were initially checked in 1988 to see if there was asbestos contamination, samples were taken and areas designated as being contaminated. All of the areas showing high levels of asbestos were abated. When property is acquired samples are taken and tested. The findings of the Division of Building Maintenance is often cross checked by Risk Management. The areas are spot checked to see if they are within safety limits. This testing and sampling is also done for radon, particulates.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings, tests, persons involved and area taken.
	Retention and Disposition	Destroy 30 years after building demolished or asbestos abatement
L6190	**Toxic or Flammable Gases/Vapor Sampling and Monitoring File**	This record series is used to document that continuous testing of areas for any toxic or flammable gases. These do not have chronic consequences as determined by OSHA.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings and area taken.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

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Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6191	**Indoor Air Quality File**	This record series is used to respond to complaints from workers in areas where there may be a problem with the air. This involves the testing for CO2, humidity, temperature, and mold.
	Access Restrictions	None
	Contents	This record series may contain the date, time, amounts, readings and area taken.
	Retention and Disposition	Retain 10 years, then destroy.
L6192	**Ergonomic Evaluation File**	This record series is used to respond to complaints from workers in areas where there may be a ergonomic problem. The situation is surveyed and recommendations are made. This record is used when claims are made by employees that because of their work they have sustained back, wrist, or other physical chronic ailments.
	Access Restrictions	None
	Contents	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	Retention and Disposition	Retain 10 years, then destroy.
L6193	**Job Site Inspections and Audits**	This record series is used to document overall inspections of job sites. These are done periodically and may result in action being taken. This is done as a preventive measure.
	Access Restrictions	None
	Contents	This record series may contain the date, time, division, area, description, summary, conclusions and remedies.
	Retention and Disposition	Retain 5 years, then destroy.
L6194	**Facility/Site Records**	This record series is used to document all Metro Government facilities and sites and possible environmental problems. These are layouts of these facilities and the history of problems or improvements made. These are essentially facility files which contain the environmental history of that facility.
	Access Restrictions	None
	Contents	This record series may contain the name of facility, address, function, drawings, any complaints registered, environmental work completed, and issues concerning air quality and work environment.
	Retention and Disposition	Retain permanently.
L6195	**Federal Energy Efficiency Partnerships**	This record series is used to document those federal programs that promote energy proficiency. They include the Energy Star Partnership which is a program managed by the EPA and Dept. of Energy. It is a labeling program designed to identify and promote energy efficient products, in order to reduce carbon dioxide emissions. Also the Rebuild America Partnership which is a US Dept of Energy program to build partnerships among communities, states and the private sector to improve building performance.
	Access Restrictions	None
	Contents	This record series may contain the procedures, agreement, federal guidelines and assistance, correspondence and informational material.
	Retention and Disposition	Destroy when new agreement is initiated

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6196	**Petroleum Underground Storage Tanks (UST)**	This record series is used to document the Metro Government's underground storage tanks for hazardous chemicals. This is the registration file and is used to document any changes in the facility. This also documents what type of chemicals are stored and the maintenance on those facilities.
	Access Restrictions	None
	Contents	This record may contain the address, capacity, registration with the state, type of chemical, and maintenance.
	Retention and Disposition	Destroy 3 years after tank is removed
L6197	**Government Wide Environmental Initiatives**	This record series is used to document those government wide programs that promote better environmental policies with the private sector. These include recycling and the universal waste program. The records are maintained by Risk Management for informational purposes and to document all policies and procedures.
	Access Restrictions	None
	Contents	This record series may contain the procedures, periodic reports, program initiatives, and those who participate.
	Retention and Disposition	Destroy when no longer useful
L6680	**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 (L6096).
	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 L6096.
L6681	**Insurance Policy File (Property and Casualty)**	This record series documents a contract between Metro 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 five (5) year period. These are primarily property and casualty policies.
	Access Restrictions	None
	Contents	This record series may contain: Policy, correspondence, and supportive claim documents.
	Retention and Disposition	Retain property policy documentation for five (5) years after cancellation or expiration. Retain casualty/liability policy documentation for nineteen (19) years after cancellation or expiration.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Management and Budget
Risk Management

Record Group Number

Series	Records Title and Description	Function and Use
L6682	**Performance Bonds (Public Official)**	This record series documents surety bonds which the state requires and metro government aquires. Surety bonds insure faithful performance of duties. Metro Government aquires bonds for the following offices: Alcohol Beverage Control Administrator, Metro Council Clerk, County Clerk, Coroner, Deputy Coroner, Constable, Surveyor, County Judge Executive and Sheriff's Revenue Bond.
	Access Restrictions	None
	Contents	This record series may contain: Names of principal and surety, date, number and amount of bond, signatures of principal and surety, attestation by authorized official, and sworn statement of surety.
	Retention and Disposition	Retain permanently.
L6683	**Workers' Compensation Self-Insured Files**	This record series documents workers' compensation self-insured certification, compliance and quarterly premiums paid to the KY Department for Workers' Claims by Metro Government to insure and keep insured its liability for works' compensation pursuant to KRS chapter 342.
	Access Restrictions	None
	Contents	This record series may contain: Certification, compliance and quarterly payment documents.
	Retention and Disposition	Retain certification/compliance documentation for five (5) years after expiration, then destroy. Retain quarterly payment documentation for five (5) years after payment, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Mayor

Record Group Number

Series	Records Title and Description	Function and Use
L6372	**Executive Orders (V)**	This series documents orders issued by the Mayor but not requiring Metro Council action and/or approval. It may also document appointments to boards, commission and others not required by statute.
	Access Restrictions	None
	Contents	This record series may contain the title, narrative, date, signatures, recommendations and other data necessary.
	Retention and Disposition	Retain permanently.
L6373	**Speeches by the Mayor**	This record series documents speeches created and generated the Mayor's office with the assistance of various aides and staff. Speeches may be typed and printed. Copies may be dispersed to the media or others that may request it, depending on the topic or issue. A speech will focus on the directions or actions the Mayor and staff will take for causes that he feels need attention, such as the budget/Metro Government spending, health care, education among many others. Speeches may also be retained in audio or video format, or may be disseminated on the Internet.
	Access Restrictions	None
	Contents	This record series may contain the speeches, which may be in written, audio or video format with the time, date and place given.
	Retention and Disposition	Retain permanently.
L6374	**Press Releases (Mayor)**	This record series documents Metro Government events, appointments to positions, activities to be announced, or notices of public interest. It may be that some of these announcements are executed by Executive Order. Releases may be provided to the news media electronically, by paper or by a public announcement by the Mayorr or executive staff member, dependent on the public interest on a particular issue.
	Access Restrictions	None
	Contents	This record series may contain a narrative, date, time, place, event, activity, item being publicized, information sought, etc.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Mayor

Record Group Number

Series	Records Title and Description	Function and Use
L6375	**Open Records Act and Open Meeting Act Information File**	This record series is used to document 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 contains the 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 AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Mayor
Ethics Code Enforcement

Record Group Number

Series	Records Title and Description	Function and Use
L6272	**Code of Ethics (V)**	This series documents compliance with the requirements of KRS 65.003(1), which states that the governing body of each city and county, including urban county and charter counties, shall adopt by ordinance, a code of ethics which shall apply to all elected officials of city or county, and to appointed officials and employees of the city or county government as specified. KRS 65.003 (4) requires that code of ethics may be amended but not repealed. Failure to comply may result in suspension of all services or funds to the governing body by state government.
	Access Restrictions	None
	Contents	May include standards of conduct, requirements for creation of financial disclosure statements, employment policies, designation of responsibility for ethics code enforcement, instructions for distribution.
	Retention and Disposition	Retain permanently.
L6273	**Ethics Commission Financial Disclosure File (V)**	This series documents the source of income of the filer and the filer's immediate family members exceeding a predetermined amount during the preceding calendar year and the nature of the income. It also documents the name and the address of any business located within the state in which the filer or any member of the filer's immediate family had at any time during the preceding calendar year an interest of a predetermined amount, or whether the governing body conducted business transactions with the filer/filer's immediate family during a prior three year period. Failure to file the financial disclosure statement may result in a charge of civil offense or filing a false financial disclosure statement may result in a charge of a misdemeanor offense.
	Access Restrictions	None
	Contents	May include the name, address, telephone number, title of filer's office, office sought or position of employment, occupation of filer and filer's spouse, income, names and addresses of business/government related activities, designation of real property held by filer, plus name and address of gift sources and name and address of business government creditors owed a predetermined amount.
	Retention and Disposition	Destroy 2 years after termination of office or employment
L6274	**Ethics Commission Advisory Opinions**	This series documents the written advisory opinions rendered concerning matters under local ethics code enforcement jurisdiction, based upon real or hypothetical facts and circumstances, upon its own initiative, or when requested by any officer or employee of the governing body who is covered by the ordinance.
	Access Restrictions	None
	Contents	The narrative opinion providing a response to the requestor.
	Retention and Disposition	Retain permanently.
L6275	**Ethics Commission Orders**	This series documents a formal action summarized in writing by the local ethics code enforcement authority to require persons to comply with the request outlined in the order. Examples of requests may be for the persons to submit in writing and under oath reports and answers to questions relevant to the proceedings, to order testimonies to be taken by deposition, to require attendance and testimony of witness, and to require a person to cease and desist violations.
	Access Restrictions	None
	Contents	A written narrative outlining a required action to be taken by the recipient.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Mayor
Ethics Code Enforcement

Record Group Number

Series	Records Title and Description	Function and Use
L6276	**Ethics Commission Hearing File (V)**	This series documents the activities of the local ethics code enforcement authority in response to a formal complaint instituted under the provisions of KRS 65.003 (3) (d). Formal complaints must be filed within one year. If the authority finds no violation the subject of the complaint and party who filed the complaint are sent written notices. However, if the authority finds a violation it may issue an order to cease and desist, in writing, reprimand the violator and provide a copy to the governing body with which the violator serves. Further, the authority may recommend to the governing body that the violator be disciplined, dismissed or removed from office or impose a civil penalty or refer evidence of criminal violations to the appropriate jurisdiction for prosecution. Appeals may be made to the Circuit Court.
	Access Restrictions	None
	Contents	Copy of complaint, hearing notice, orders, hearing transcript, correspondence, research notes, and disposition of case.
	Retention and Disposition	Retain 25 years, then destroy.
L6277	**Ethics Commission Complaint/Investigative File**	This series documents the investigation of any local elected official and or local government employee. Pursuant to KRS 65.003 (3) (d) the local code enforcement authority is responsible for the receipt of any complaints alleging possible violations of the code of ethics and or investigation of said violations as well as imposing penalties for verified violations. Each complaint must be in writing and the local ethic enforcement begins a preliminary inquiry into the investigations. After inquiry, the accused may respond. Until a final determination is made all proceedings and records are confidential per KRS 61.878. If Grounds for further action are found necessary a hearing is initiated or allegations could be pursued by appropriate authorities. If none are found, the complainant and the subject are notified.
	Access Restrictions	KRS 61.878 (h) (until settled)
	Contents	Complaint, summary of investigative finds, relative evidence, correspondence.
	Retention and Disposition	Retain 6 years, then destroy.
L6278	**Ethics Commission Expense File -- (Duplicate)**	This series documents the request for reimbursement for expenses incurred by a designee of the local ethics code enforcement authority in an official capacity. These documents may be maintained as a separate file or as part of an expenditures file.
	Access Restrictions	None
	Contents	Travel vouchers, invoices, and receipts.
	Retention and Disposition	Retain 3 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metro Council

Record Group Number

Series	Records Title and Description	Function and Use
L6357	**Official Minutes**	This series is used to document the official actions and decisions of the Metro Council and its committees and previous legislative bodies, including Board of Alderman and Fiscal Court. The information contained in the minutes is of continuing historical and legal value.
	Access Restrictions	None
	Contents	May include: time and place of meeting; members present; agenda; actions taken; signature of presiding officer.
	Retention and Disposition	Retain in agency 10 years then transfer to the Metro Archives for permanent storage.
L6358	**Index to Official Minutes (V)**	This record is used as a finding aid for Official Minutes of Metro Council.
	Access Restrictions	None
	Contents	May contain subject, cross reference, book number, page number, date of meeting
	Retention and Disposition	Retain permanently.
L6359	**Notes and/or Recordings (Audio/Video) of Meetings**	This series is either written notes or an audio or audio/video recording of the official meetings of the Metro Council and is used in preparation of the narrative minutes of a given meeting. The series is used to provide a more comprehensive version of meeting activity.
	Access Restrictions	None
	Contents	A sound or sound/video record (tape, cd, dvd, video cassette or any recording technology) of an individual meeting.
	Retention and Disposition	Destroy or re-use 30 days after minutes have been transcribed and approved, unless challenged. If minutes are challenged, recordings should be retained until resolution.
L6360	**Ordinances (V)**	This record series documents an official action of the Metro Council, which is a regulation of a general and permanent nature and enforceable as a local law or is an appropriation of money. The ordinance shall embrace only one subject and shall have a title that clearly states the subject. No ordinance shall be enacted without two separate readings and publication in the local newspaper unless there is an emergency. The ordinances are to be recorded in a minute book or an ordinance book in the order adopted and indexed in a composite index or maintained in a code of ordinances.
	Access Restrictions	None
	Contents	This record series contains the date, title of the ordinance, subject of the ordinance, members present, the body of the ordinance, # of the ordinance, signatures of the presiding officer and the person responsible for the safe keeping of the record.
	Retention and Disposition	Retain permanently.
L6361	**Index to Ordinances**	This record series is used as a finding aid for the ordinances and may be by subject or key word identification. This series is maintained as part of the ordinance file.
	Access Restrictions	None
	Contents	This record series may contain the subject of the ordinance, # of ordinance, name of ordinance, date passed, and where found.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metro Council

Record Group Number

Series	Records Title and Description	Function and Use
L6362	**References to Ordinances**	This record series is used as a finding aid to ordinances and sometimes resolutions. These are abstracts of the ordinances and are linked to the ordinance by number. These are used in the advertisement of ordinances in the paper.
	Access Restrictions	None
	Contents	This record series may contain the # of the ordinance, abstract of the ordinance, date passed.
	Retention and Disposition	Retain permanently.
L6363	**Code of Ordinances (V)**	This record series documents the ordinances passed by Metro Council. A code of ordinances is a re-enactment of the body of positive local government law, read and interpreted as a whole, with the text arranged by subject matter and properly indexed.
	Access Restrictions	None
	Contents	This record series contains the text of the ordinances, index by subject, date of passage, indexed alphabetical.
	Retention and Disposition	Retain permanently.
L6364	**Resolutions/Orders (V)**	This series documents administrative history of appropriations, personnel actions, and board appointments. Orders may have a pre-assigned number and are indexed. These are synonymous with Resolutions. These are official acts of the Metro Council and is binding upon the officers and employees of Metro Government and its agencies. These do not have to be advertised in the paper in order for action to be taken.
	Access Restrictions	None
	Contents	Order number, title, narrative, supporting documents, effective date, reading dates, mayor's signature, city clerk certification
	Retention and Disposition	Retain permanently.
L6365	**Index to Resolutions/Orders**	This record series is used as a finding aid for the resolutions or orders issued by Metro Council. It is used in accessing the resolution or order file and book.
	Access Restrictions	None
	Contents	This record series may contain the number of the resolution/order, date passed, subject and abstract.
	Retention and Disposition	Retain permanently.
L6366	**Annual Report/Annual Report to Metro Council (V)**	This documents activities and progress of each agency or department within Metro 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.
	Access Restrictions	None
	Contents	Annual compilation of department activities and statistics, cover letter.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metro Council

Record Group Number

Series	Records Title and Description	Function and Use
L6367	**Proclamations**	This series documents special recognitions of Metro Government events and/or persons. If action is taken by the Metro Council the information is covered in the official minutes. Sometimes a proclamation is only issued verbally and no certificate is created.
	Access Restrictions	None
	Contents	Date, narrative of proclamation, signatures
	Retention and Disposition	Retain permanently.
L6368	**Legislation Preparation Work Papers**	This series is used to document preliminary work for pending legislation that will be brought before the Metro Council and may contain correspondence, preliminary studies, drafts, notes and other documentary material that is used in the legislative process. These files contain information gathered by fiscal analysts in preparation for legislative subcommittees' budget analyses.
	Access Restrictions	None
	Contents	This series may contain correspondence, budget information, preliminary studies, drafts, analyses, and notes.
	Retention and Disposition	Destroy when no longer useful
L6369	**Council Member Official Administrative Subject Files**	This series is used to document the legislative process for each Metro Council Member. This file is used as a reference for conducting business by each council member. The information contained in this file is vital for council members when preparing and understanding legislation that is initiated by Metro Council.
	Access Restrictions	Preliminary material - KRS 61.878(1)(h)(i)
	Contents	May include: drafts, internal memos, information about a particular subject, preliminary studies, statistics and other documents needed for an informed analysis.
	Retention and Disposition	Retain in Agency 10 years then transfer to Metro Archives for permanent retention.
L6370	**Zoning Case Files**	This record series is information from the Planning Commission and details the facts and reports recommendations of the planning commission. These are for zoning changes, street name changes and other matters of land use. This information is used by the Metro Council in making decisions concerning zoning issues. The Metro Council is the final authority for zoning issues.
	Access Restrictions	None
	Contents	This record series may contain maps, reports, correspondence, survey, petitions and findings.
	Retention and Disposition	Retain 5 years, then destroy.
L6371	**Professional Contracts Log**	This record series summarizes every professional service contract sent by the Executive Branch to the Metro Council for acceptance and approval. The Metro Council is the final authority for these contract. This log is a listing and is used as a quick reference.
	Access Restrictions	None
	Contents	This record series may contain the contract number, name of contractor, Metro agency requesting contract, date of introduction of resolution approving the contract, date of adoption of resolution, resolution number, amount of contract and brief description.
	Retention and Disposition	Destroy when no longer useful

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Classification

Record Group Number

Series	Records Title and Description	Function and Use
L5167	**Inmate Grievance Form**	KAR 501,Chapter 3:140, Section 2, which relates to procedures for the protection of inmate rights provides for the necessity of a policy for written communication to and from an inmate, including jail staff and outsiders. This record is a communications document between the inmate and Jefferson County Corrections officials regarding something of concern to the inmate. This series thus documents information on a grievance an inmate files while in custody.
	Access Restrictions	None
	Contents	Contains the name of inmate, date, complaint, investigation and response.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Correctional Services

Record Group Number

Series	Records Title and Description	Function and Use
L3138	**Classification Folder (V)**	This record series documents the classification of an inmate by the Correctional Center staff in a number of areas including types of convictions, health and services needed. It is used to assist determination of program placement and type of confinement while in custody.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name, alias, id. no, sex, age, race, d.o.b., city of birth, height, weight & s.s. no., current res., arrest description, current cases, felony convictions, education claimed, length at current address, res. in L-ville, lives with, phone no., alt. phone, marital status, spouse's name, spouse's employer, length of marriage, drivers lic., employed, how long, employer name & address, military service, pers. ref., religion, gen. health, medical problems, medications, physician, comments, missed ct. dates, escaped, on bond, est. arrests, on probation/parole, parole off. name, sig. line & date for inmate & atty. plus comments of interviewer & adjustment & classification committee re. treatment plan w/dates on incidents & their disposition, and related information.
	Retention and Disposition	Retain for five (5) years after date of arrest, then destroy.
L3152	**Privilege List**	This record series documents the names and level of privileges available to inmates in the custody of Metropolitan Correctional Services on a daily basis. Since privilege status is subject to daily change the use of the list is quite limited and subject to frequent change. Used as control document to determine inmates daily status.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Property number, inmate name, race and sex, age, privilege note, dae classified to area and related information.
	Retention and Disposition	Retain for one (1) day, then destroy.
L3153	**Single Cell Assignment Sheet**	This record series documents the assignment of inmates to single cells for a variety of reasons based on medical and personal safety considerations. It is a control document to determine the inmates location within the correctional facility. Like the privilege list, the assignment sheet is subject to daily changes.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date, inmate's name, reason for single cell, moved, date moved and related information.
	Retention and Disposition	Retain for one (1) month, then destroy.
L5191	**Monthly Classification Reports**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently.
L5192	**Monthly Inmate Statistics**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Correctional Services

Record Group Number

Series	Records Title and Description	Function and Use
L5193	**Disciplinary Log Book**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently.
L5195	**Jail Incident Investigations**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 3 years after release of inmate
L5196	**Disciplinary Board Results**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 3 years after release of inmate
L5198	**Telephone Use Lists**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 5 years, then destroy.
L5199	**Move Lists**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 1 year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Correctional Services

Record Group Number

Series	Records Title and Description	Function and Use
L5200	**Community Treatment Center Mover Lists**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 1 years, then destroy.
L5202	**Daily County Sheets**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 30 days, then destroy.
L5203	**Chaplain and Priest Work/Time Sheet**	This series documents the official time worked by corrections clergy during a specific pay period. It is used to input data and as an instrument to calculate payroll for employees. This begins the payroll process.
	Access Restrictions	None
	Contents	This series may contain: Name, employee number, social security number, dates and hours worked, days and hours not worked, holiday, and other time not worked, pay period dates and other related information.
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Court Monitoring

Record Group Number

Series	Records Title and Description	Function and Use
L5168	**Court Monitoring Folder**	Metro Corrections often monitors individuals whom courts have ordered to complete a given program. These individuals are not necessarily inmates of the Corrections facility. This series documents the individual's completion of the program. There is no standard form kept in the folder.
	Access Restrictions	None
	Contents	Name of individual; record of program(s) completed.
	Retention and Disposition	Retain 2 years, then destroy.
L5171	**Court Monitoring Money Receipt Book**	Individuals who go through court-ordered programs have to pay fees. On behalf of the courts, Metro Corrections monitors people completing the programs. As part of its monitoring function, Metro Corrections collects money that ultimately is received by the courts. This series is a records of money received by Metro Corrections in this capacity.
	Access Restrictions	None
	Contents	Name of individual; amount; name of program; receipt number.
	Retention and Disposition	Destroy 3 years after last entry

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Facilities
Security

Record Group Number

Series	Records Title and Description	Function and Use
L3126	**Visitor Log Book**	This record series documents visits made to inmates at the Correctional Center. It can function as a control document to know who is visiting inmates and where they may reside both for protective reasons and for sources of items in possession of the inmate.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name of visitor, address, social security number and related information.
	Retention and Disposition	Retain for three (3) years after last entry, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Home Incarceration Program

Record Group Number

Series	Records Title and Description	Function and Use
L3131	**Client Folder - Home Incarceration Program (V)**	This record series documents a myriad of social, employment and court charge data about an inmate participating in the home incarceration program with Metropolitan Correctional Services. It compiles in one place all basic information about the program participant including a statement regarding escape, fees and equipment which the participant must sign. Under KRS 532, 220 participants may be charged a home incarceration fee.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: A Home Incarceration Interview and Record Card detailing a document number, equipment number, date, return date, accepted by, date, court number, judge, disposition, officer, checklist for type of release, date, violation, return to jail, awol, date, counseling notice, plus a participant job verification card with name, social security number, employer, address, phone number, occupation, supervisors name, salary schedule, home incarceration officer, verification date, scheduled release date. Also includes Home Incarceration Rules with signature line for participant as well as comments/counseling section signed by participant and officer. Other documents are photographs of the participant, copies of the court order, wheel card, ID card and related information.
	Retention and Disposition	Retain for two (2) years after date of arrest, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Identification

Record Group Number

Series	Records Title and Description	Function and Use
L3150	**Arrest Ledgers (V)**	This record series documents the record of bookings and releases for the Metropolitan Correction Center. It serves as an administrative tool to determine the location of an inmate at a given period of time, their status and expected date of release.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Inmate identification number, booking date, name, race and sex, age, charge, arresting officer, arresting agency, release date, days, release type and related information.
	Retention and Disposition	Retain for ten (10) years after last arrest date record in ledger, then destroy.
L3151	**Cleared Latent Fingerprint Cases-Investigations Complete (V)**	This record series documents the request for a latent fingerprint examination accompanied by the latent fingerprint analysis report and supplmental reports as needed. It is important in determing suspects and identifying their possible location at the crime scene and provides evidence for criminal prosecution.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Complaintants name,address, time of report, offense and location,identification number, types of latent lifts including identifiable, not identifiable, fingerprint,palmprint, and impression, identification made, name of examiner, date, time, analysis by supervisor, suspects and related information.
	Retention and Disposition	Retain for twenty (20) years, then destroy.
L5180	**Fingerprint Index Card -- (Filed by name giving biographical information)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after known death of arrestee or 100 years after date of birth.
L5181	**Master Fingerprint Card -- (Includes prints and physical description)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after known death of arrestee or 100 years after date of birth.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Identification

Record Group Number

Series	Records Title and Description	Function and Use
L5182	**Master Palm Print Cards -- (Prints taken on request)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after known death of arrestee or 100 years after date of birth.
L5183	**Specialized Crimes Fingerprint Cards -- (Prints taken upon request for certain types of crimes)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after known death of arrestee or 100 years after date of birth.
L5184	**Criminal Abstract File -- (FBI Rap Sheet)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy when superseded, 5 years after known death of arrestee, or 100 years after date of birth.
L5185	**Background Check of Correctional Employees -- (Compiled from local, state and FBI files)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Forward to Administration upon termination of employment

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Identification

Record Group Number

Series	Records Title and Description	Function and Use
L5187	**Marijuana and Narcotics Incineration Log -- (Includes where taken, state reports, disposition of case)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after final action of last remaining case
L5188	**Submitted Latent Fingerprint Cases -- (Cases open for investigation)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Upon close of investigation transfer to the appropriate Cleared or Closed Fingerprint Case Files
L5190	**Closed Latent Fingerprint Cases -- (Cases for which the fingerprints were useless)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Property

Record Group Number

Series	Records Title and Description	Function and Use
L3127	**Property Receipt File**	This record series documents the personal property on/with an inmate upon entering the Corrections Center. It serves as a receipt or inventory so that inmate has the correct property returned to them at the time of release. Entries/Items may be added if inmate is incarcerated for substantial period of time. Corrections requests that all property be claimed within 90 days of release from custody.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date, account number, inmate, location, cash total, and a list of items with their quantity noted. A signature line is provided for inmate released from custody, Personal Clothing Receipt, Personal Package Receipt, Confiscation Slip, Money Release, Property Release and related information.
	Retention and Disposition	Retain for two (2) years after date of release, then destroy.
L5166	**Grill Video**	This series is a video record of activity and behavior of inmates and officers upon arrest and intake of inmates.
	Access Restrictions	None
	Contents	Video of actions in the intake area.
	Retention and Disposition	Retain 2 years. Then destroy.
L5170	**Money Register Log**	Inmates of Metro Corrections often obtain money from visitors. Each inmate has an account for use in monetary transactions. This series documents debits and credits undertaken by inmates during incarceration.
	Access Restrictions	None
	Contents	Name of inmate, date, amount of debit or credit.
	Retention and Disposition	Retain 2 years. Destroy after final entry.
L5172	**Property Check Stub Book**	Inmates in Metro Corrections have an account funded with money they receive from visitors. Tthey may use that account for transactions while they are incarcerated at Metro Corrections. Upon release, the inmate receives a check for the balance remaining in the account. This series documents checks allotted to inmates for the balance they have in their account upon leaving Corrections' facility.
	Access Restrictions	None
	Contents	Date; party to whom check was written; number of check; amount of check.
	Retention and Disposition	Destroy 3 years after final entry

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Records and Information

Record Group Number

Series	Records Title and Description	Function and Use
L3125	**Shift Report**	This record series documents any activity that occurs on any shift such as incidents, staff working and security checks. Compiled on a daily basis the series profiles a given day's activities in summary form. It confirms staff on duty, their work breaks, specific actions taken and an equipment inventory.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date, shift, floor, names of staff on duty, prisoner counts, visits granted, hospital runs, inmate discipline,special program attendance, time log beginning and ending, shakedowns, break times initialled by officers on duty, a checklist of equipment inventory, a narrative of shift information, supervisor signature and related information.
	Retention and Disposition	Retain for two (2) years, then destroy.
L3129	**Inmate Record Folder (V)**	This record series documents the basic administrative control records for inmates while in custody. Records relating to treatment and classification are maintained separately in other operating units of the Corrections Center.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Court Commitment Order, and status (wheel) card relating criminal charges, court dates and related information.
	Retention and Disposition	Retain for two (2) years, then destroy.
L3149	**Criminal Court Docket (V)**	This record series documents a copy of the court docket for use by corrections officials in determing when an inmate should be brought to the courtroom. Its use is administrative and acts as a control document in terms of scheduling staff and related personnel.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name of inmate, identification number, race and sex, court assignment, charges, time of court appearance and related information.
	Retention and Disposition	Retain for two (2) months, then destroy.
L5173	**Order to Expunge**	As mandated in KAR, an individual must go through a legal process to have his/her record expunged. Once a court has ordered an individual's record expunged, orders are sent to the appropriatet law enforcement agencies. Metro Corrections is the last agency to receive the order, after which, the individual's record is cleared.
	Access Restrictions	None
	Contents	Name of individual; Date of Arrest; Charges; Case Number; Judge's Signature.
	Retention and Disposition	Retain 3 years, then destroy.
L5174	**Law Library Receipts**	KAR 501, Chapter 3:130 Section 3 provides that library services may be made available to all inmates. The receipt is a control mechanism to record that law books have checked out to the inmate and when they were returned.
	Access Restrictions	None
	Contents	Name of inmate, date books checked out, date books checked in, inmate signature, date of return, officer's signature.
	Retention and Disposition	Destroy 1 year after inmate is released

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Records and Information

Record Group Number

Series	Records Title and Description	Function and Use
L5176	**Breathalyzer Results**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after close of case.
L5177	**Breathalyzer Log**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Destroy 5 years after final entry
L5178	**Inmate Time-out Book**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 2 years, then destroy.
L5179	**District Court Dockets**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain 30 days, then destroy.
L5205	**Courtesy Book -- (Register of visiting prisoners)**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Records and Information

Record Group Number

Series	Records Title and Description	Function and Use
L5206	**Escape Book**	
	Access Restrictions	None
	Contents	
	Retention and Disposition	Retain permanently.
L6538	**Inmate Medical Folder (V)**	This series documents inmate medical records. Pursuant to 501 KAR 3:020 Section 5(2), medical records of inmates shall be maintained. The records can follow inmates if they are transferred to another facility. The folder is used to record the medical history and medical treatment of jail inmates as required by KAR 501 3:090.
	Access Restrictions	KRS 196.280, 197.025, 610.320, 610.340
	Contents	Series may contain: Medical request form, health history, medical information release, medication log sheet, medical test results, correspondence, memorandum of treating physician or hospital, prescription information, medical evaluations and related information.
	Retention and Disposition	Destroy five (5) years after release of inmate.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Security

Record Group Number

Series	Records Title and Description	Function and Use
L3124	**Pass Down Log**	This record series documents occurrences taking place on each shift in the Corrections Center. Generally, the log makes a brief statement for every half-hour segment of the day. The log is passed on to the next shift to make them aware of activity in the cells. Correction officers then can monitor the health and behavior of prisoners more effectively.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date, shift number, floor location, brief narrative statement of activity preceded by the hour and minutes when activity observed or completed followed by signature of officer in charge of shift and related information.
	Retention and Disposition	Retain for three (3) years after last entry, then destroy.
L5169	**Gymnasium Use Records**	This series documents the use dates and times of the gymnasium facilities at Corrections by inmates.
	Access Restrictions	None
	Contents	Inmate's name; date; activities; incidents; injuries; times of use.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Metropolitan Correctional Services
Training

Record Group Number

Series	Records Title and Description	Function and Use
L5175	**Employee Training Records**	KAR 501, Chapter 3:020 Section 4(5) requires that each jail shall maintain records on the types and hours of training completed by each employee and that a current and accurate record shall be maintained on each employee. Chapter 3:040 Section 4(2) requires that sixteen hours annnually of in-service training be provided to deputy jailers and correctional officers. The form is used to record training received by Metro Corrections employees, both officer and civilian. This training is done to acquaint employee with the facility and prepare them to handle a variety of situations. This particular form is kept by the Training unit of Corrections. A record of the completed training will also be kept in the employee's personnel folder.
	Access Restrictions	None
	Contents	Employee's name; results of test scores; list of completed classes.
	Retention and Disposition	Retain 20 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Parks and Recreation

Record Group Number

Series	Records Title and Description	Function and Use
L6008	**Report of Chemical Applications**	This record series is used to document that certain chemicals have been applied to grassy areas, including golf courses, ball fields and other park areas. This application report is sent to the Division of Water periodically. This documentation is provides information about the chemicals used in case there is ground water contamination.
	Access Restrictions	None
	Contents	This record series may contain the name of the date, applicator, certification #, chemical name, type of fungicide, insecticide and fertilizer used, rates, acres or footage, locations, notes, weather, temperature, reason used, and total products.
	Retention and Disposition	Retain 6 years, then destroy.
L6009	**Altercation File**	This record series is used to document altercations that result in the permanent and non-permanent suspension of a spectator, fan, coach, or player from attending or participating in a parks supervised sponsored event. A physical and verbal altercation policy has been adopted by the Division of Parks and Recreation with the purpose of defining sportsmanship expectations of the department and to serve above and beyond the rules of the game. When certain rules are breached by any of the above participants. The rules address the issues of fighting, verbal abuse, harassing, use of racial/gender epithets, unsportsmanlike conduct, and procedures followed. There are definite penalties for 1st, 2nd and 3rd offenses. The suspensions can be for one year, three years or permanent.
	Access Restrictions	None
	Contents	This record series may contain the incident report, correspondence, policy violation, disposition of the case.
	Retention and Disposition	Destroy when suspension is no longer active
L6010	**Departmental Loss/Incident Reports**	This record series is used to document any loss, theft, or vandalism that involves park property. It is used as a reporting and request for reimbursement document for the company that is insuring the public property involved.
	Access Restrictions	None
	Contents	This series may contain correspondence, insurance company claim forms, uniform offense report completed by local law enforcement, estimates for repair and/or replacement
	Retention and Disposition	Retain 3 years, then destroy.
L6011	**Accident Reports-Public (V)**	This series is used to document any accident that occurs on parks property. It is an administrative document that aids in gathering statistics concerning injuries for each year. The information is also used to settle any liability claims that result from the accident.
	Access Restrictions	None
	Contents	This record series may contain correspondence, accident form, supporting documents
	Retention and Disposition	For adults destroy 1 year after accident. For juveniles destroy 1 year after 18 years of age.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Parks and Recreation

Record Group Number

Series	Records Title and Description	Function and Use
L6012	**Release of Liability by Participant**	This record series is used to document that the local government and recreation department will not be held liable for injuries and other accidents that may befall participants in recreational activities. This is signed by the parent or guardian at the beginning of the activity and is in force for the duration of that activity. This may also act as a reference if there is an injury to find medical information/insurance. This gives permission by the parent or guardian to the recreation department to utilize doctors/insurance when needed for the participant. This release may also contain the name of contact people in case of emergency.
	Access Restrictions	None
	Contents	This record series may contain the release, dates of activity, name of participant, name of guardian/parent, names of emergency contacts, medical insurance documentation, and signature of parent/guardian.
	Retention and Disposition	Retain 2 years, then destroy.
L6013	**Facilities Rental Agreement (Reservation)**	This record series is used to document the rental of parks and recreation facilities. These facilities are reserved for specific times during the year. This may be buildings, ball fields, swimming pools etc.
	Access Restrictions	None
	Contents	This record series may contain the name of renter, date, phone number, dates rented, facility, type of activity, and any compensation.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6014	**Final Closeout Reports (V)**	This record series is used to document the year end receipts and expenditures as reported in the balanced budget. This is a report which is done at the end of the year and is the expenditures and receipts for the current year and this information is used to prepare the budget for the upcoming year. It is broken down into distinct accounts which are used in the general ledger.
	Access Restrictions	None
	Contents	Revenue and Expense By Reporting Area; Departmental Summary - Revenue and Expense; Departmental Balance Sheet; General Ledger.
	Retention and Disposition	Retain permanently.
L6015	**Financial Records File**	During the course of any fiscal year, many documents are created to chart and explain the receipts and expenditures of a health department operation. These documents include (but are not limited to) purchase documents, invoices, receipts, transactions of bank account, contracts, travel vouchers, payroll, time reports, and various monthly, interim and annual reports. A copy of the Financial Management Manual prepared by the Division of Local Health, Dept. for Health Services, is attached to further explain local health department operations. All these records are used in administering federal grant monies and are filed together and audited as one unit.
	Access Restrictions	None
	Contents	In addition to items listed in #18: Statement of Income & Expenses by Cost Project Reporting Area - Current month & yr. to date; Statement of Income & Expenses for entire Health Department - Current month & yr. to date; Balance Sheet of all assets, liabilities and fund balances; Expenditure by Function Code.
	Retention and Disposition	Retain 6 years. Destroy after audit.
L6017	**Vaccine Activity Worksheet & Order Record**	This record series is used to document the required vaccine inventory by antigen and number of doses/vials on hand. The report is to be tabulated at the close of each month. At that time, an order for Biologicals, drugs, and x-rays should be prepared in order to insure that an adequate supply of antigens is available at all times to properly immunize children and adults within the county.
	Access Restrictions	None
	Contents	Name of Health Center; Date inventory completed; Name of Private Physician/clinic if other than health department; name of individual completing inventory; number of vials/doses of each antigen; expiration date of each antigen; number of doses transferred outside of county which received the antigen or to local private physicians - and where. Number of doses wasted - broken vials, expired vials, etc.; number of doses on hand of each antigen at the end of month.
	Retention and Disposition	Retain 1 years, then destroy.
L6019	**Official Budget**	This record series is used to document the final approved budget that is used during the fiscal year. Each budget must be approved by both the local board of health and the Div. of Local Health Dept. for Health Services. Each health department budget must include all estimated receipts andall estimated expenditures. Each health department is responsible for making any budget changes necessitated by deviations in financial position or the adding or deletion of any program.
	Access Restrictions	None
	Contents	Health Dept. Project Receipts Budget; Health Dept. Project Salaries & Fringe Benefits Budget; Health Dept. Project Independent Contract Expenditures Budget; Health Dept. Project Other Expenditures, i.e. travel, space occupancy, office operating, administrative charges, medical supplies & equipment, automotive, furniture & equipment, data processing equipment, land & bldgs.; Health Dept. Project Expenditures - i.e., leave time & holiday pay, fringe benefits, independent contracts.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6020	**Establishment of Public Health Tax Rate**	This serves as the official document establishing the annual public health tax rate in the county in accordance with KRS 212.720 thru KRS 212.755. Local taxes are imposed in order to support the programs of the local health department. Taxes are assessed in the amount of the assessed valuation of all property in the district. In the event an appropriate amount sufficient to meet the public health needs of the county is not received, a resolution is presented by the County Board of Health for additional public health dollars.
	Access Restrictions	None
	Contents	Name of county. Date and location of the meeting. Members present. Tax rate per $100 of assessed valuation of property. Signature of all board members. Signature of the Secretary of the Board of Health. Signature of the Commissioner, Dept. for Health Services.
	Retention and Disposition	Retain permanently.
L6021	**Board of Health Minutes (V)**	Each local governing board of health shall hold a regular meeting at least once every three months and such other special or regular meetings as are necessary to conduct business of the local health department. The local board elects one of its members as the chairman to serve for a term of one year. Minutes of board meetings shall be signed by the Board Secretary (or the person so designated in the absence of the Board Secretary) and by the Chairman of the Board. Every official action of the Board of Health shall be made a part of the permanent record of the County or District Board of Health.
	Access Restrictions	Mtgs. open to public; Sub. to Ky. open mtg. laws
	Contents	Members present; members absent; and all others present. Reading and approval/corrections of minutes of last meeting. Presentation of year to date financial report; Presentation of year to date program report; Presentation of Old Business; Presentation of New Business; Establishment of date of next meeting; Motion to Adjourn.
	Retention and Disposition	Retain permanently.
L6025	**Audit Report**	Beginning with the 1985-1986 fiscal year, the Division of Local Health mandated that each local health department be audited by a certified public accountant after the close of each fiscal year. The auditor will express an opinion on internal controls, the financial statements, and management's conformity with established laws, regulations and policies. Audits must be finalized no later than 180 working days after the close of fiscal year. The audit report must be prepared in accordance with generally accepted auditing standards which will include tests of the accounting records. The auditors must notify the Division of Local Health within ten days if records are determined to be inauditable. The auditors must immediately notify the Division of Local Health if evidence of possible fraud is discovered. There were audits prior to 1986, but they were not done on a yearly basis.
	Access Restrictions	None
	Contents	Management letter; Statement on accounting control; Financial statement; Detailed reports (restricted state and federal funds).
	Retention and Disposition	Retain permanently.
L6026	**Certification of Eligibles**	The Local Health Department Merit System has established rules and regulations and all employment and personnel practices are governed by these rules and regulations. All vacancies are filled from a listing of individuals eligible by appropriate tests and/or education for the position. The Certification of Eligibles is the list from which employees are selected.
	Access Restrictions	None
	Contents	Name; Address; Position on Register as determined by test and/or educational background.
	Retention and Disposition	Retain 1 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6027	**Internal Management Reports Other than Financial (e.g., Patient Appointments, Staff Schedules, Monthly Patient/Client Statistical Computer Reports)**	Staff schedules, patient appointments and other computer generated patient count reports (monthly reports not part of budgeting or financial accounting) used for internal management of the clinics and health centers. These internal reports could be used for improving staff scheduling, work /management planning, problem identification and promoting efficiency.
	Access Restrictions	KRS 194A.060; KRS 61.878(1)(a)
	Contents	Appointment lists contain the names of all persons for whom appointments were made, birthdates, gender, race, date and time of appointment, appointed provider or provider discipline. Monthly statistical reports contain patient counts by race, gender, and age.
	Retention and Disposition	Destroy when obsolete or no longer useful.
L6028	**Reportable Disease Records**	The reportable disease record is used by health professionals to report individual cases of diseases specified in the Kentucky Disease Surveillance Administrative Regulations 902 KAR 2:020. The Regulation states that the disease be reported to the local health department serving the jurisdiction in which the patient resides.
	Access Restrictions	KRS 194A.060; KRS 61.878(1)(a)
	Contents	The record includes: the disease or condition being reported; patient name and demographic information; physician's (or reporting institution's/person's) name, address and telephone number; clinical, epidemiological and laboratory information pertinent to the disease.
	Retention and Disposition	If the individual has a medical record, file the report in the medical record. If the individual does not have a record, destroy when no longer useful to the local health department.
L6029	**Inventory of Equipment**	Catalog of property/goods on hand within local health department. Each local health dept. must keep an equipment inventory; however, a form is not provided for this purpose.
	Access Restrictions	None
	Contents	Date of Inventory Listing; Site; Description of Item; Date Item Purchased; Original Cost of Item; Assigned Inventory Number; Expected Life of Item; Replacement Value.
	Retention and Disposition	Destroy 3 years after update is completed and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6030	**Applications for Permit to Operate**	Original or renewal applications for a permit to operate and any required fees are mandatory by regulation, prior to issuance of the permit. All original applications are completed by representatives of the local health department. Renewal applications are computer generated at data entry sites throughout the state. Original applications are approved by local health department environmentalists based upon an inspection of the facility and receipt of any required fee payment. Records are based upon compliance of facility at time of last routine inspection and receipt of any required fee payment. Payments are process and forwarded to the Division of Public Health and Safety for deposit to the Kentucky State Treasurer (mandated). Programs requiring applications to operate are food service, vending machine companies, temporary food establishments, or fee exempt establishments, youth camps, septic tank cleaning companies and vehicles, mobile homes and recreational vehicle park construction, mobile home parks, sewage disposal, salvage processing plant, hotels, carbonated beverage plant, frozen food lockers, onsite sewage, and registration to conduct perk test. Fees collected are utilized to affect the cost of programs. See Environmental Health Management Information System Maual.
	Access Restrictions	None
	Contents	Applications. Page H2 and Page H3 of the Environmental Health Management System Manual Lists all possiable file contents. Information includes District name, county name, number of seats, spaces, bedroom, etc. (whenever applicable), permit number, amount of fee required (whenever applicable), invoice number, and the name and address of the facility.
	Retention and Disposition	Retain 2 years. Destroy after audit.
L6031	**Onsite Sewage Files**	The onsite sewage program was implemented by the Division of Food and Sanitation in 1984. The program certifies the installers and persons to conduct percolation tests, conduct site evaluations on the property, issues permits to construct an onsite sewage disposal system, assists installers and property owners in designing a proper system for their specific site, and provides surveillance of the installation. The onsite sewage files are documentation of all such activities.
	Access Restrictions	None
	Contents	Detailed specifies relative to site for a sewage disposal system, type of system approved, layout of system and inspection records.
	Retention and Disposition	Retain permanently.
L6032	**Establishment Files (Businesses which have obtained operating permits)**	Establishment files are the official documentation of services provided by the health department and a compliance record for the facility. Regulated facility types include: food services, vending machine companies, frozen food lockers, retail food markets, food manufacturing, schools, youth camps, mobile homes and recreational vehicle parks, public buildings, and recreational facilities, hotels/motels, septic tank cleaners, on-site sewage, nuisance control, private water supplies, swimming pools, and confinement facilities. Documents are reviewed by state during district and county surveys and program evaluations.
	Access Restrictions	None
	Contents	Listing of all forms included in the establishment files are attached.
	Retention and Disposition	Destroy 2 years after last date of activity.

Series	Records Title and Description	Function and Use
L6033	**Environmental Health Management Information System Reports**	The Environmental Health Management Information System is an on-line system designed to collect data on 30 environmental programs carried out by local health departments. The system consists of the following components: facility master file, accounts receivable, inspections, and environmentalists activity reporting. Renewal applications and invoices are generated, all fees are processed and permits are generated. In addition to daily audit trails the twice monthly roster of inspections to be conducted, and monthly collection sheets detailing all funds collected, quarterly and annual statement reports are also generated. These reports are utilized for evaluation of programs by state and local health departments and as a management tool by directors/administrators of local health departments. Data is entered from 19 sites throughout the state. Quarterly reports are accumulative and are maintained until updated by the next quarter. All generated reports are not required to be maintained. The annual reports which are maintained for five years is listed in Item #19. See Environmental Health Management Information System Manual.
	Access Restrictions	None
	Contents	Reports: Current facility profile listing (Report. 40); Annual Inspections Report (Report 68); Monthly Cash Entry Register (Report 49); Report of Cash Receipts (Report 50). Data Elements: record of all services provided, activities conducted, enforcement actions taken, cash receipts by program area, by sanitarian, by district, by county.
	Retention and Disposition	Retain 5 years. Destroy after audit.
L6034	**Plats, Maps, Surveys, Blueprints and Plan Review Sheets -- (other than onsite)**	Prior to construction of public facilities, a copy of the blueprint is submitted to the local health departments for approval and a plan survey sheet is completed. Approval by the Div. of Plumbing and the local health department results in issuance of a permit to construct (if mandated by law) or authorization to proceed. Also, submitted to the health department are copies of real estate plans and maps for their review, information and/or approval submitted by owners or builders. Original residential maps and surveys are maintained at the county courthouse or by the county planning commission (if established). A copy is submitted to the local health department for their review, information and/or approval. The purpose for these documents is to determine compliance with appropriate regulations and zoning restrictions (when applicable) for public and residential buildings.
	Access Restrictions	None
	Contents	Copies of submitted real estate plats, maps, surveys and blueprints for construction of public or residential buildings. A copy of the construction plan review sheets, which was completed by the local health department is also included. Information is detailed drawings of building, subdivision, mobile home park, etc., which is to be constructed. The plan review sheet is utilized to record comments of deficiencies in the proposal.
	Retention and Disposition	Retain 3 years, then destroy.
L6035	**Adult Patient Home Health Medical Record**	The record is the documentation maintained on the home health care of patients 18 years of age and older. It provides information and communication necessary for the continuity of care for the patient as well as documentation necessary to justify the home health care as required by the Medicare and Medicaid rules and regulations.
	Access Restrictions	KRS 194A.060; KRS 214.420; KRS 61.878(1)(a)
	Contents	Included in the record is patient identifying/demographic information, health insurance information, consent for home health services, Outcome Assessment Information Set (OASIS), pertinent past and current findings, name of physician, physician's plan of treatment, medication, dietary, treatment and activity orders, provider's progress notes, summary reports sent to the physician and hospital discharge summary (when applicable).
	Retention and Disposition	Destroy 6 years after last date of service.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6036	**Minor Patient Home Health Medical Record**	The record is the documentation maintained on the home health care of patients less than 18 years of age. It provides information and communication necessary for the continuity of care for the patient as well as documentation necessary to justify the home health care as required by the Medicare and Medicaid rules and regulations.
	Access Restrictions	KRS 194A.060; KRS 214.420; KRS 61.878(1)(a)
	Contents	The record includes patient identifying/demographic information, health insurance coverage information, consent for home health services, Outcome Assessment Information Set (OASIS), pertinent past and current findings, name of physician, physician's plan of treatment, medication, dietary, treatment and activity orders, provider's progress notes, summary reports sent to the physician and the hospital discharge summary (when applicable).
	Retention and Disposition	Destroy 5 years after the patient reaches 18 years of age or 6 years from last date of service whichever is greater.
L6037	**Home Health Advisory Committee Minutes**	The Home Health Advisory Committee consists of a group of professional personnel, which includes at least one practicing physician and one registered nurse, that meets frequently to advise the Home Health Agency on professional issues, to participate in the evaluation of the agency's program, and to assist the agency in maintaining liaison with other health care providers in the community and in its community information program. Its meetings are documented by dated minutes. Each Home Health Agency is required by Medicare's Federal Regulations to establish a Home Health Advisory Committee. The committee is required to meet frequently and to keep minutes of each meeting.
	Access Restrictions	None
	Contents	The Home Health Advisory Committee Minutes are a record of the activity of each meeting which includes, but is not limited to: establishing and annually reviewing the agency's policies governing scope of services offered, admission and discharge policies, medical supervision and plans of treatment, emergency care, clinical records, personnel qualifications and program evaluations.
	Retention and Disposition	Retain permanently.
L6038	**HIV/AIDS Care Coordinator Client Record**	The record documents services rendered and costs incurred for clients receiving services. They are used for care coordination, budgeting, case management, referrals, facilitation of medical care and follow-up.
	Access Restrictions	KRS 214.420; KRS 61.878(1)(a); KRS 194A.060
	Contents	The record contains: intake, eligibility information to include identifying information, income and HIV status; care coordinator's progress notes, referrals, client budgeting information, care plan and updates, documentation of services rendered, billings, and receipts
	Retention and Disposition	Retain 3 years, then destroy.
L6039	**Perinatal Hepatitis B Prevention Form for Infants**	The Perinatal Hep B Prevention Form for Infants is 1) a record of treatment given to infants born to Hepatitis B positive mothers immediately following delivery. 2) The record provides a mechanism to track household contacts of Hepatitis B positive women. 3) The record provides information which increases awareness of Hepatitis B and specific needs of high-risk infants in comparison with infants born to HBsAg negative mothers.
	Access Restrictions	KRS 214.420; KRS 194A060
	Contents	The form contains: Name of patient (infant), Date of Birth, Time of Birth, Name, address, county of residence of parents, weight at vaccination of Infant, Obstetrician and Pediatrician Name, Immunizations given, I.e., Hepatitis B and/or HBIG with date, time, manufacturer & lot number with the signature of person who administered. HBsAg test; Mother's HBsAg Status and date of lab work; Name and phone number of Birthing Facility.
	Retention and Disposition	File the form in the infant/child's chart if a chart is created. If the infant/child never becomes a patient of the LHD destroy in 2 years.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6040	**Chest X-Rays for Tuberculosis Infection and/or Disease**	Tuberculosis chest x-rays are made on patients with tuberculosis to provide physicians with an image and information on the lungs which facilitates the determination of diagnosis and treatment of the disease.
	Access Restrictions	KRS 194A.060; KRS 61.878(1)(a)
	Contents	Patient Name, patient identification number, sex, race, birthdate, date of X-ray and the X-ray film.
	Retention and Disposition	The TB post-treatment chest x-ray is to be maintained permanently in the agency.
L6041	**Patient Drug and Device Log**	The Patient Drug and Device Log is used to track and account for medication and devices provided in the clinics. If there is a drug/device recall, the log identifies the patients who received the specific drug or device.
	Access Restrictions	KRS 194A.060; KRS 61.878(1)(a)
	Contents	The log contains the patient's name and ID number, the date provided, the name of the specific drug/device, lot number, amount provided, provider's signature, date and local health department county/clinic name.
	Retention and Disposition	Retain 5 years, then destroy.
L6042	**Incident/Accident/Complaint Reports**	This 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.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	The reports contain: Name, address, phone number, age, sex, and Social Security of person involved, Date, time and exact location of incident, type of accident, safety, medical device failure, adverse drug reaction, vehicle accident, needlestick, clerical/data entry error, communications problem, testing process, result reporting, exposure to hazardous substance, policy/procedural violations and medication error. 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, is so, how.
	Retention and Disposition	Destroy 5 years after accident/incident occurred for adults. For children keep until age 18 years plus 5 years or until ligitation is complete whichever time period is longer.
L6043	**Pap Smear, Mammogram and Abnormal CBE Logs**	The logs are used by clinic staff to track and account for Pap Smears and mammograms and to followup on abnormal clinical breast exams (CBEs) of all female patients who have had the cancer screenings. Each of these cancer screening procedures must be logged to assure that reports are received and all recommended follow-up steps are completed.
	Access Restrictions	KRS 194A.060; KRS 214.420; KRS 61.878(1)(a)
	Contents	Each log contains: patient name; patient ID number; birthdate; date of scheduled screening or diagnostic mammogram; date and results of the Clinical Breast Exam (CBE); date the Pap Smear was taken and date mammogram was done; date results received; results of test/procedure; supplementary evaluation of breast cancer screening (date of surgeon appointment, further views, ultrasound, biopsy); final diagnosis; date patient was contacted; date of colposcopy appointment; date diagnostic/treatment records received, Month/year next Pap and/or mammogram due.
	Retention and Disposition	Destroy 1 year from followup service date.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6044	**Immunization Record (Master Record)**	The record provides permanent documentation of all vaccinations as well as tests and treatments the patient has had for Tuberculosis. This information is essential for the patient, the health care provider as well as for the public health of the total population.
	Access Restrictions	KRS 194A.060; KRS 61.878(1)(a)
	Contents	The record consists of one single document of card stock. The record includes patient identifying information, vaccine type, date, site of injection, lot number, manufacturer, dosage, signature of vaccine administrator, adverse reactions and allergies. Tuberculin skin tests/results, completed/recommended treatment regimen, medications, sensitivities, and reactions. This record may also be used as the Master Patient Index. When used for the Patient Master Index it includes the location of the medical record.
	Retention and Disposition	Retain permanently.
L6045	**Master Patient Index**	The master patient index is an index/locator system for the patients' medical record at each service delivery site. Each patient served by the health center for which a medical record was established is to be included in the index. The index provides the mechanism for locating the record.
	Access Restrictions	KRS 194.060.KRS 61.878(1)(a)
	Contents	Includes the patient's name, sex, race, birthdate, a unique id number and the location of the medical record.
	Retention and Disposition	Retain permanently.
L6046	**Minor Patient Medical Record**	The minor patient medical record is the documentation kept on the medical/health care of patients less than 18 years of age. Documentation contains sufficient information to identifiy and assess patients and to furnish evidence of the course of the patient's health care by the provider responsible for the delivery of the care. The record includes documentation of assessments, tests, results and treatment. The record contains a description of services rendered, the date rendered, and the service provider's signature. The record also contains documentation of eligibility determination and other required documentation for certification of WIC participation.
	Access Restrictions	KRS 194A.060; KRS 214.420; KRS 61.878(1)(a)
	Contents	The medical record contains all the documentation ncecssary for the personal health care provided the patient by the health department. Information consists of patient identifying and demographic data; financial eligibility and case management data; social and medical histories; documentation of all nursing, medical, social, educational, nutrition, laboratory and radiology services.
	Retention and Disposition	Destroy 5 years after the patient reaches 18 years of age or 10 years from last date of service whichever is longer. Exception - if the patient has had tuberculosis infection and/or disease, and the treatment regimen, allergies, sensitivities and reactions have not been extracted and documented on the Immunization/Mastercard, the record must be kept permanently.
L6047	**Adult Patient Medical Record**	The adult patient medical record is the documentation kept on the medical/health care of patients 18 years of age and older. Documentation contains sufficient information to identifiy and assess patients and to furnish evidence of the course of the patient's health care by the provider responsible for the delivery of the care. The record includes documentation of assessments, tests, results and treatment. The record contains a description of services rendered, the date rendered, and the service provider's signature. The record also contains documentation of eligibility determination and other required documentation for certification of WIC participation.
	Access Restrictions	KRS 194A.060; KRS 214.420; KRS 61.878(1)(a)
	Contents	The medical record contains all the documentation ncecssary for the health care provided the patient for/by the health department. Information consists of patient identifying and demographic data; financial eligibility and case management data; social and medical histories; documentation of all nursing, medical, social, educational, nutrition, laboratory and radiology services.
	Retention and Disposition	Destroy 10 years after the last date of service. Exception - if the patient has had tuberculosis infection and/or disease such as HIV/AIDS, STD and the treatment regimen, allergies, sensitivities and reactions have not been extracted and documented on the Immunization/Mastercard, the record must be kept permanently.

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Louisville/Jefferson County Metro Government
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Record Group Number

Series	Records Title and Description	Function and Use
L6048	**Laboratory Records for CLIA**	For laboratory services provided by or through the local health departments, there are three types of records which must be maintained. First, there are laboratory test requisitions which are individual laboratory requests for each type of test conducted. The requisition provides authorization for the test to be conducted. Second, documentation and records of all quality control activities for the laboratory procedures must be maintained. Third, records must be maintained for all quality assurance activities of laboratory services including identification of problems and corrective actions taken.
	Access Restrictions	KRS 214.420; KRS 194A.060
	Contents	(1) Laboratory test requisitions contain: patient's name /identifier, name and address or identifier of authorized person requesting the test, name and address of the individual ordering or responsible for utilizing test result, name and address of submitter of specimen, the test to be performed, and date of specimen collection. (2) Quality control records contain: instrument charts, graphs, printouts, transcribed data, manufacturer's assay information sheets for control and calibration materials. (3) Quality assurance (QA) records contain proof that there are monitoring and evaluation activities conducted of laboratory services to include identification of problems and any corrective action taken.
	Retention and Disposition	Retain 2 years, then destroy.
L6049	**Notice and Order to Vaccinate Dog Against Rabies**	Official notice to dog owner to have his dog(s) vaccinated against rabies.
	Access Restrictions	None
	Contents	Date, name and address of owner and signature, name of dog, license number, age, sex, breed, color. County health department, signature of person authorizing notice and title.
	Retention and Disposition	Retain 1 year, then destroy.
L6050	**Animal Quarantine Notice**	Kentucky Revised Statutes Chapter 258, KRS 258-085. A health officer or his agent shall have the authority to quarantine for a period not to exceed 10 days any animal which has bitten a human being or which exhibits symptoms of rabies. An animal so quarantined by be confined by the health officer at a designated place at the owner's expense. At the owner's expense if the dog dies or is suspected of having rabies the head is sent to the laboratory for testing.
	Access Restrictions	None
	Contents	Name of animal, species, breed, sex, color, date of rabies vaccinatin, tag number, name of owner, address, telephone number. Reason for quarantine and place animal is to be quarantined, date quarantine, quarantine period, release date, name of health department, by and date.
	Retention and Disposition	Retain 1 year, then destroy.
L6052	**Application for Permit to Disinter and Reinter in Same Cemetary (V)**	Documents the applicant has made or will make, a reasonable effort to contact and obtain written permission from the next-of-kin for the removal of the remains and that he is familiar with and will abide by all applicable laws, regulations, and policies relating to the establishment and abandonment of cemeteries and the custody, handling, and disposal of human remains.
	Access Restrictions	None
	Contents	Date of application, name of deceased, place and date of death, burial site, date of removal, name, address, signature and license number of person making application for removal, permit number.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6053	**Certificate of Live Births (V)**	Provides birth verification to local residents as needed for driver's license, etc. Resource for county offices to collect data regarding number of births for county and to plan health programs beneficial to each community in providing adequate prenatal care. Used to project future needs of community as to housing needs projected, number of schools needed in future, etc. Back-up copy to the original retained in Office of Vital Statistics.
	Access Restrictions	None
	Contents	Child's name, date of birth, hr. of birth, sex, single or multiple birth, co. of birth, city of birth, within city limits, hospital other place where birth occurred, maiden name of mother, age of mother at baby's birth, state of mother's birth, mother's soc. sec. #, mothers state, co. & city of residence at time of birth, within city limits, father's name, father's age at time of baby's birth, father's state of birth, father's soc. sec. #, informant, relationship of informant to baby, signature of certifier of birth, date certifier signed, type of attendant at birth, certifier's typed name & mailing address, signature of local registrar, date registered at co. office, race of mother, race of father, baby's birthweight, legitimacy of birth, mailing address of mother, pregnancy history as to previous live births now living and now dead, other pregnancy terminations under and over 20.
	Retention and Disposition	Retain permanently.
L6054	**Certificate of Stillbirth (V)**	To aid in planning prenatal care and to collect data to implement health programs within hte community. To collect data to study possible causes of fetal deaths. To determine the number of fetal deaths within the community. To act as back-up for the original certificate filed in Frankfort.
	Access Restrictions	None
	Contents	Name of fetus, date & hr. of delivery, sex of fetus, single or multiple births; co. of delivery; city of birth; within city limits, hospital or other place where delivery took place, maiden name of mother, age of mother at time of delivery, state of birth of mother, soc. sec. # of mother; state, county and city of mother's residence, name of father, age of father at time of delivery of fetus, state of birth of father, soc. sec. # of father, cause of death, other significant conditions of fetus or mother, when fetus died (before, during labor or unknown), autopsy, gestational weeks, signature of certifier, date certified, speciality of attendant at delivery, mailing address of certifier, authorized official if not attended by physician, method of disposition of remains, name of cemetery or crematory, location of femetery or crematory, signature of funeral director or person acting in that capacity.
	Retention and Disposition	Retain permanently.
L6055	**Death Index-Report 677 (V)**	1. To locate year, certificate and volume number of original death certificate in order to destroy the provisional report of death and to notify state office if death certificate is not filed. Used to study genealogy. Note: From 1911 until 1993, the Death Index was stored on microfiche and has a permanent retention in local health departments. In 1993 the microfiche was discontinued and we now use Report 677 computer printouts.
	Access Restrictions	None
	Contents	Name of deceased, date of death, county of death, age at time of death, volume number, certificate number, year filed, county of residence and social security #.
	Retention and Disposition	Retain permanently.

Series	Records Title and Description	Function and Use
L6056	**Provisional Certificate of Death (V)**	Allows local registrar to monitor deaths within county and assure a legal certificate of death is filed accurately and timely. Acts as tickler to notify state office if certificate is not filed in accordance with the laws of the State of Kentucky.
	Access Restrictions	None
	Contents	Name of deceased, date of death, attending physician, address of physician, county of death, hospital or other place of death, residence at time of death, sex and age of deceased, name and person assuming responsibility for remains, name of funeral home involved, signature of person making removal, signed statement of person making removal to file a certificate with the registrar of county in which death occurred. Signature of person issuing certificate and where issued.
	Retention and Disposition	Destroy when death appears on Death Index Report 677
L6057	**Permit for Disinterment and Reinterment in the Same Cemetery (V)**	To document a removal of human remains and establish where and when the remains were reburied.
	Access Restrictions	None
	Contents	County health department, name, age, race, sex and date of death of the deceased, name of firm/person making disinterment and making agreement to reinter, the name of the cemetry where the disinter and reinterment took place, permit number, signature of registrar (local) date permit given, date disintered and reintered, person in charge of disinterment and reinterment signature of sexton or other cemetery official, signature showing local registrar has received permit back in and the date she received same back.
	Retention and Disposition	Retain permanently.
L6058	**Birth Index by Name of Child (V)**	To locate copy of certificate of live birth; to give verification of birth to local residents and for genealogy studies.
	Access Restrictions	None
	Contents	Name of child, date of birth, county of birth, mother's full maiden name, volume number, certificate number, and year filed.
	Retention and Disposition	Retain permanently.
L6059	**Birth Index by Maiden Name of Mother (V)**	To give verification of birth to local residents. To locate copy of certificate of live birth. For genealogy studies.
	Access Restrictions	None
	Contents	Name of child, date of birth, county of birth, mother's full maiden name, volume number, certificate number, year filed.
	Retention and Disposition	Retain permanently.

Series	Records Title and Description	Function and Use
L6060	**WIC Revalidation Information**	Provides a record of WIC Food Instruments which have been approved for payment by the local agency.
	Access Restrictions	None
	Contents	Agency, vendor name, vendor number, serial number of food instrument, date of revalidation, reason for revalidation.
	Retention and Disposition	Retain 3 years, then destroy -pending written notification of resolution of state/federal audit.
L6061	**WIC Vendor File**	Vendor files provide documentation of: (1) an agreement between the local health department and a participating WIC Vendor for the provision of supplemental food to women, infants and children as qualified to participate in accordance with federal and state regulations; (2) any problems and resolutions to problems dealing with food instruments and the vendor; and (3) a review conducted of the qualifications of all authorized food vendors at least biannually in accordance with Federal Regulations.
	Access Restrictions	None
	Contents	The file contains: The agreement with date, health dept. name, vendor name, clauses of agreement, health dept. , vendor and state agency signatures. Store name, owner of store, contact person and position, price list, review of inventory, valid Ky. Retail market permit, review of revalidation problems, participant complaints, review of checkout procedures, review of food instruments, review of vendor stamp, name of reviewer and date, vendor correction forms. All documentation as listed in the requirements from the state and federal agencies to participate as a WIC vendor.
	Retention and Disposition	Retain 3 years, then destroy after written notification of resolution of State/Federal audit.
L6280	**Medical Screening Record**	This record series is used to document the medical history and present medical state of a person coming to the Health Department for possible medical attention. The screening is done to ensure that the patient gets the appropriate medical assistance, and it will be used as a reference for future assistance that may be needed for the patient.
	Access Restrictions	KRS 61.878 (1)(a); KRS 214.420
	Contents	This record series may contain the patron's name, address, directory information, date, medication, medical history and present medical condition.
	Retention and Disposition	Retain 5 years, then destroy.
L6281	**STD(Sexually Transmitted Disease) Record**	This record series is used to document those patients who come to the Health Department and are tested for possible STDs and those that have been diagnosed by physicians or other medical facilities. These records are required by the Department of Public Health. Physicians and medical facilities must report any STDs to either the local health department or the Department of Public Health. KRS 214.410 defines "sexually transmitted disease" and includes syphilis and HIV.
	Access Restrictions	KRS 61.878 (1)(a); KRS 214.420
	Contents	This record series may contain the patient's name, address, date, birth, gender, phone #, parents' name and medical condition. Also the physician's name and directory information and any medical facility that is involved.
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Health and Wellness

Record Group Number

Series	Records Title and Description	Function and Use
L6282	**Immunization Permission Slips**	This record series is used to document the okay given by parents, guardians and adult patients for the Health Department to administer vaccinations for certain diseases. This record is used to verify that permission has been given and must be signed by all those receiving vaccinations.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	This record series may contain the name of parent/guardian, name of patient, name of adult patients, directory information for each type of vaccine given and the date.
	Retention and Disposition	Retain 10 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Emergency Management Agency/Metrosafe

Record Group Number

Series	Records Title and Description	Function and Use
L5903	**Inventory for Facility File (V)**	This record series is used as a finding aid for the facility files. Used to locate certain documents. This record series is updated regularly to reflect the changes made in the facility files. Maintained as an electronic record but may be printed out as well.
	Access Restrictions	None
	Contents	This records series may contain the name of facility, document name, summary information along with dates and other information.
	Retention and Disposition	Retain permanently.
L5904	**Facility Files - Non Residential (V)**	This record series is used to document non residential facilities that may be a source of environmental concern. The facility may be keeping hazardous materials either as an inventory or that may be used in their daily business. It may be underground storage, storage above ground, kept in a building or kept in an open lot. These files may be representative of complaints received or may be maintained because a facility is in the business of using, storing or selling hazardous materials or they are underground storage facilities. This file is used to assess the situation and to provide information if there is an emergency. Some of these files may be confidential because of trade secrets or as part of the super fund cleanup.
	Access Restrictions	None
	Contents	This record series may contain the name, address, hazardous material, amounts, inspection reports, complaints, correspondence and other reference materials.
	Retention and Disposition	Retain permanently.
L5905	**Facility File - Residential (V)**	This record series is used to document reports of hazardous materials being stored in a residence. This record may reflect what was found at the residence and what was done to remedy the situation.
	Access Restrictions	None
	Contents	This record series may contain the name, address, materials, summary of action, date and time.
	Retention and Disposition	Destroy 3 years after last activity
L5906	**Emergency Response Plan (V)**	This record series is used to document how the community responds to chemical accidents. The plan must identify facilities/transportation routes, describe emergency response procedures, designate a community coordinator and facility coordinator, outline emergency notification procedures, determine the affected area and populations, describe local emergency equipment and facilities and the persons responsible, outline evacuation plans, provide training program for responders, provide methods and schedules for exercising emergency response plans. The Local Emergency Planning Committee develops this plan. This committee is made up of representatives from police, fire, ems, public health, transportation, and environmental specialist.
	Access Restrictions	None
	Contents	This record series contains the guidelines for dealing with a chemical spill. Includes names of responders, phone numbers, notification procedures, evacuation plans, training component, list of potential problems.
	Retention and Disposition	Maintain one copy permanently. Destroy all other copies when superseded.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Emergency Management Agency/Metrosafe

Record Group Number

Series	Records Title and Description	Function and Use
L5907	**Tier II Emergency and Hazardous Chemical Inventory File (V)**	This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	Access Restrictions	None
	Contents	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments.
	Retention and Disposition	Retain 3 years, then destroy.
L5908	**Transformer Incident File**	This record series is used to document when electricity transformers explode and emit certain hazardous chemicals. The incident is reported by the electric company (KU) for the purpose of informing those in the vicinity that there may a hazard. PCBs are the most prominent of the hazardous materials. This incident report is followed up by what action KU has taken to clean up and make the area safe.
	Access Restrictions	None
	Contents	This record series may contain the location, address, how the situation was handled and if there was any damage to surrounding area.
	Retention and Disposition	Retain 3 years, then destroy.
L5909	**Hazardous Waste Incident File (V)**	This record series is used to document one time spills of emissions of hazardous chemicals or materials. This may be a tanker spill or an emission from a facility. This initiates a response which includes the fire department.
	Access Restrictions	None
	Contents	This record series may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	Retention and Disposition	Retain 3 years, then destroy.
L5910	**Training and Exercise File**	This record series is used to document training and exercises that are given which requires implementation of the major provisions of the emergency plan. Items considered are threat, training programs completed by response personnel, assignment of personnel, equipment available to responders, funding, exercise frequency, and experience commensurate with the type and stress of the exercise. Must be conducted on a four year cycle.
	Access Restrictions	None
	Contents	This record series may contain, exercise/training materials, guidelines, scenarios, time, date and list of responders.
	Retention and Disposition	Retain 5 years, then destroy.
L5911	**Natural Disaster File**	This record series is used to document natural disasters such as tornado, ice storms, floods and others. These are maintained to document the procedures followed, the consequences, the details of the disaster. This is used for future reference.
	Access Restrictions	None
	Contents	This record series may contain the time, date, photos, summary of the disaster, response and damage done.
	Retention and Disposition	Retain permanently.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Emergency Management Agency/Metrosafe

Record Group Number

Series	Records Title and Description	Function and Use
L6090	**Emergency Communications**	This record series documents all incoming and outgoing communications dealing with all emergencies. This documents the start of all possible emergency runs that metrosafe may be involved with.
	Access Restrictions	KRS 61.878(1)(a) Agencies should consult legal counsel regarding open records matters.
	Contents	This series may contain: Names, addresses, and explicit content of all communications with patrons.
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Emergency Medical Services

Record Group Number

Series	Records Title and Description	Function and Use
L5896	**State EMS Run (Patient Care) Report (V)**	This record series documents emergency medical services rendered, medical assessment and serves as the primary billing record. A copy of this record is frequently provided at patient's written request or upon court order, for legal and insurance purposes.
	Access Restrictions	KRS 311A.190(5), (8)
	Contents	Series contains: 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 5 years. Destroy after audit. For minors, destroy five (5) years beyond the age of eighteen (18).
L6088	**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	None
	Contents	Series contains: Drug and dosage used, patient name, time and date of dosage and person administering drugs.
	Retention and Disposition	Retain for ten (10) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L3933	**Internal Fire Memoranda and Bulletins**	This record series documents official information from the Fire Chief to other personnel in the Division of Fire and Rescue. The series is necessary due to the number of work sites.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Written memoranda and bulletin from Chief to personnel at non-contiguous work site and related information.
	Retention and Disposition	Retain 5 years, then destroy.
L3934	**Investigations File -- Fire of Suspicious or Undetermined Origin**	This record series documents Arson Bureau investigations of fires of suspicious or undetermined origin. These are used in the prosecution of arson criminal cases and insurance investigations.
	Access Restrictions	KRS 61.878 (1)(h)(i) - Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Original incident report, correspondence, arson investigator notes,interoffice memos, final arson investigators report and related information.
	Retention and Disposition	Retain 75 years, then destroy.
L3935	**Building Records and Plans**	This record series documents the Division of Fire and Rescue review of plans for construction of city-owned buildings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Plans, specifications, schematic drawings plus remarks or recommendations of Division and related information.
	Retention and Disposition	Destroy upon demolition of building.
L3936	**Operational Report on Multiple Alarm Fires**	This record series documents the response of all fire companies to a multiple alarm fire as a post incident critique of operations and is reviewed by the Assistant Chief for Operations. The series is used for training purposes.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Record lists specific fire company assignments and duties at a fire incident and related information.
	Retention and Disposition	Retain permanently. When no longer useful, transfer to Metro Archives for permanent retention.
L3937	**Engineer's Run Report**	This record series documents notes taken by the Fire Apparatus Operator at the scene of an incident. Notes are handwritten and informal and used in the creation of an incident report.
	Access Restrictions	KRS 61.878 (1)(i)(j) Preliminary working papers- Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Notes regarding date and time of the incident, what company/ies responded to incident, other safety personnel requested and type of building and related information.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L3938	**Company School Records and Index**	This record series documents training bureau attendance files for agency personnel.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Lists individual employee or trainee list of training components successfully completed and related information.
	Retention and Disposition	Retain 75 years, then destroy.
L3939	**Hazard File and Index**	This record series documents and identifies buildings or use of buildings that pose a significant fire danger or problem. Examples may be high-rise buildings, schools, churches, hospitals, senior citizen residential centers, airports plus buildings used for the manufacture and storage of chemicals or explosives.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Lists phone numbers of owners, type of construction, number of floors, type of fire supression in place, hazardous materials present, blueprints, drawings and narrative on past problems and related information.
	Retention and Disposition	Destroy 2 years after building is demolished.
L3940	**Company and Bureau Log Books**	This record series documents the daily activity of each fire company and fire bureau in the division excluding incident reports.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: May include roster of firefighters assigned, other city employees assigned, any visitors, classes, training or any other activity that is conducted at that company or bureau during a 24 hour day and related information.
	Retention and Disposition	Retain 3 years, then destroy.
L3941	**Fire Hose Maintenance**	This record series documents the regular maintenance of fire hoses throughout the division used in the supression of fire. It can serve as a tool to determine replacement or repair.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Record provides purchase number of hose, inspection date, and person inspecting hose and related information.
	Retention and Disposition	Destroy 2 years after retirement of equipment
L3942	**Incident Reports**	This record series documents any emergency run made by the Division of Fire and Rescue. Runs may include fire, illness, accident, personal injury, chemical leak or spill, or any other event which may put people or property in active or immediate danger. Initiated at the Fire Communications Bureau, the series is gathered at the company/bureau level.
	Access Restrictions	KRS 61.878 (1)(h)(i) - Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: May include alarm report form,incident form,company form, fire service casualty report form,civilian fire casualty report form, and basic life support report form and related information.
	Retention and Disposition	Retain 23 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L3943	**Building Inspections**	This record series documents the inspection of buildings in the City of Louisville for compliance or violation of the fire code. Exempted are one and two family dwellings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date of inspection, type of building, building use, address of building, cross streets for reference and related information.
	Retention and Disposition	Destroy 2 years after building is demolished.
L3944	**Company Stores Requisitions**	This record series documents the request for cleaning and other supplies by fire company/bureau for each location operated by the Division of Fire and Rescue.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Name of company/division, list of items requested,date,signature of requestor and related information.
	Retention and Disposition	Retain 3 years, then destroy.
L3945	**Training Bureau Attendance Files**	This record series documents an individual employees or trainees list of training components successfully completed. Fire and Rescue employees receive state incentive pay based upon participation in this continuing education.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Lists training in fire supression, emergency medical techniques and managerial training and related information.
	Retention and Disposition	Retain 2 years, then destroy.
L3946	**Fire Prevention Bureau Inspection Requests**	This record series documents the request from either a citizen complaint or Fire Service employee for a Fire Prevention inspection.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Letter or phone message from private citizen or a notice of hazard from a Fire Service employee and related information.
	Retention and Disposition	Retain 1 year after all litigation and administrative actions have ceased. Then destroy.
L3947	**Notice of Hazard**	This record series documents a hazardous situation observed by an employee of the Division of Fire and Rescue while undertaking their regular duties. The notice is posted on the property and forwarded to the Fire Marshall for action. The series is merged into the Building Inspection File.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Location of hazard, name of affected property, description of hazard and action taken and related information.
	Retention and Disposition	Destroy when building is demolished.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L3948	**Certified Mail Sheets**	This record series documents the acceptance of certified mail by addressee or of nondelivery of certified mail. The series is used to notify property owner of a violation so that it can be corrected.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	This record series may contain: Date sent, date postal notification received, plus disposition (delivery or non-delivery) and related information.
	Retention and Disposition	Retain 2 years, then destroy.
L3949	**Company Inspection Summary Report**	This series documents a specific inspection activity initiated at the fire company level. The series is compiled monthly and forwarded to the Administration for review and compilation.
	Access Restrictions	None
	Contents	Lists large buildings or target hazards inspected by the company during the month.
	Retention and Disposition	Retain 3 years, then destroy.
L3950	**Fire House Visits**	This series documents a request from schools or civic groups to visit a fire house or for fire prevention personnel to visit a school or organization.
	Access Restrictions	None
	Contents	Name of group requesting visit, date of visit, contact person, person authorizing visit.
	Retention and Disposition	Retain 1 years, then destroy.
L3953	**Major Incident Audio Media**	This series documents through an audio recording major incidents where the Division of Fire and Rescue have been involved. This audio may be all types of media.
	Access Restrictions	None
	Contents	Audio of major incidents involving Divison of Fire and Rescue. This may include all transmissions of what takes place during an incident. May include personnel involved and a chronology of the event.
	Retention and Disposition	Retain 2 years after all litigation and administrative actions have ceased. Then destroy.
L3954	**Employee Medical Records (V)**	This series documents all physical exams, immunizations and other medical information regarding employees of the Division of Fire and Rescue. The information is used to determine eligibility for empolyment in certain positions and the continued ability to function in certain positions.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Certificate of immunization, physicians physical examination results plus other medical test results.
	Retention and Disposition	Retain permanently. Merge into Employee Personnel Folder after termination.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L3956	**Photographic Images**	This series documents photographic images taken at fire investigations for use in the investigatory process.
	Access Restrictions	KRS 61.878(1)(a)
	Contents	Fire investigation photographic negative
	Retention and Disposition	Retain 75 years, then destroy.
L3958	**Home Inspection Summary**	This series documents the fire inspection of homes at the company/bureau level and is compiled monthly and forwarded to Administration for review.
	Access Restrictions	None
	Contents	May inlcude requests for smoke alarms, batteries for smoke alarm plus requests for home inspections and advice regarding fire safety.
	Retention and Disposition	Retain 3 years, then destroy.
L3959	**Vehicle History File**	This series documents all maintenance and repair of vehicles assigned to the Division of Fire and Rescue including Emergency Medical Services.
	Access Restrictions	None
	Contents	Original purchase order, title and registration documents, work authorizations, filling station charges, accident reports, apparatus reports, specifications and performance tests.
	Retention and Disposition	Destroy 10 years after retirement of vehicle.
L3961	**Recordings of Fire Suppression Efforts**	This series documents through video fire suppression efforts of the Division of Fire and Rescue and is used for investigative and training purposes.
	Access Restrictions	KRS 61.878 (1)(a)
	Contents	Videos of randomly selected incidents based on staff availability, size and nature of fire.
	Retention and Disposition	Retain 25 years, then destroy.
L5877	**Administrative Orders (V)**	This record series is used to document the policies and procedures of the fire department. It is an internal document used in the administration and operation of the agency and includes all areas. The chief issues these as needed. The orders may be general, special or training and they apply to everyone in the agency.
	Access Restrictions	None
	Contents	This record series contains the date of issue, page #, order #, subject, order numbers rescinded, signature of authority, purpose, and policy and procedure.
	Retention and Disposition	Retain 1 copy permanently in the Chief's office. Destroy excess copies when superseded or rescinded.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L5878	**Annual Report to the Secretary of State**	This record series is used to report activities of the fire department that has been created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations).
	Access Restrictions	None
	Contents	This record series contains the name of the department, address, name of trustees, current information for the year, and signature of person presenting report.
	Retention and Disposition	Retain permanently.
L5879	**Financial Statement to the State Fire Commission**	This record series is used to document the financial condition of a local fire department. The governing body of each recognized and certified volunteer fire department created pursuant to KRS Chapter 273 (Nonstock, Nonprofit Corporations) must submit a financial statement to the State Fire Commission of all funds received from all sources and expenditures of those funds for all purposes. This becomes a part of the official audit. For a fire department that is designated a special district this financial report is also submitted to the fiscal court of the county or counties where the special district is located.
	Access Restrictions	None
	Contents	This record series contains the name of the fire dept., address, receipts and expenditures, date submitted, person submitting the statement and report.
	Retention and Disposition	Retain permanently.
L5880	**Annual Fire Summary Report**	This record series is used to document the fire runs made during the year and the type of fire. This is a reporting tool for the governing body and becomes a part of the Annual Report to the Governing Body.
	Access Restrictions	None
	Contents	This record series contains the breakdown of false alarms, number of fires, number of civilian casualties, estimated property damage from fire, incendiary and suspicious fires, structure fires, vehicle fires and total for all incidents.
	Retention and Disposition	Retain permanently.
L5881	**Summary Financial Statement**	This record series is used to document the receipts and expenditures of the fire department (special district) on an annual basis for publication in the local newspaper. This is a form provided by the Department for Local Government is for publication and informational purposes only. It is not designed to satisfy, nor does it fulfill the requirements of a comprehensive annual financial statement prepared pursant to generally accepted accounting principals.
	Access Restrictions	None
	Contents	This record series contains the period covered, revenues, receipts and cash, expenditures and address where records are available for inspection.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L5882	**Monthly Fire Summary Report**	This record series is used to document 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 series contains the dates, false alarms, number of fires, number of civilian fire casualties, estimated property damage from fires, incendiary and suspicious fires, structure fires, vehicle fires and total of all incidents. Also included is number of fires in private dwellings, apartments, hotels, residential, public assembly, schools, stores, health care, industry, utilities, fire in highway vehicles, fire outside structures, fire in brush, fire in rubbish, hazard material emergencies.
	Retention and Disposition	Retain 1 years, then destroy.
L5883	**Uniform Financial Information Report (V)**	The 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	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 3 years. Destroy after audit
L5884	**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 contains correspondence (letters and memos) and the surveys and reports. The surveys and reports may include requests for items needed in doing a survey and a contact sheet containing the names of local government employees or officers. Copy of policy for responding to fire alarms outside city/town/district limits, apparatus and equipment checklist may also be in this file. Information collected includes population from the last two census, area size, total number of alarms called for structural fires, number of non-structural fires and training programs.
	Retention and Disposition	Destroy when superseded or becomes obsolete.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L5885	**Notification of Violation (V)**	This record is used to document those facilities that are in violation of a law or ordinance relating to fire prevention and protection and any fire code issued. This notification is sent to the facility that has been inspected and found to have a fire hazard or is not in compliance with the building code sections that relate to fire prevention. The amount of time to come into compliance is listed on this notification. This violation notice may trigger an appeal or the fixing of the problem by the owner of the facility.
	Access Restrictions	None
	Contents	This record series contains the name of the violator, address, party notified, title of party, date, list of violations, time period in which the violation is to be corrected and the name of the inspector.
	Retention and Disposition	Retain 7 years, then destroy.
L5886	**Daily Apparatus Checklist**	This record series is used to document all vehicles, generators, breathing apparatus, chain saws and any other items used in the day to day work of the fire department have been checked for performance capabilities. This is done daily to ensure that the vehicles and other apparatus are in good condition and are being maintained to the highest level of readiness.
	Access Restrictions	None
	Contents	This record series contains the date, shift, operator's name, items checked before apparatus is started, with apparatus running outside, generator checks, and breathing apparatus checks. Each one of these has a list of items to be checked.
	Retention and Disposition	Retain 1 years, then destroy.
L5887	**Hose Test Report**	This record series is used to document that the hoses have been tested according the National Fire Assoc. guidelines and that there are no problems. Tested for pressure adherence and fitting durability. The insurance rating companies use this grading fire districts when issuing insurance rates.
	Access Restrictions	None
	Contents	This record series contains the date of testing, unit# or engine #, officer in charge, description of item tested, hose size, test psi, # of feet tested, # of feet passed, # of feet failed and comments.
	Retention and Disposition	Retain 5 years, then destroy.
L5888	**Ground Ladder Test Report**	This record series is used to document that the ground ladders are tested and inspected, usually on an annual basis and that they are in good repair. The testing is completed according to the National Fire Protection Standards and the results are used not only for repair purposes but are used by the insurance rating company in grading the fire district for setting insurance rates.
	Access Restrictions	None
	Contents	This record series contains test date, inventory #, location, manufacturer name, length, number of sections in ladder, testing of the rails/rungs, hooks, halyards, strength test measurements and person doing the testing.
	Retention and Disposition	Retain 5 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L5889	**Aerial Ladder Test Report**	This record series is used to document the testing of the aerial ladders which are attached to the fire trucks. This is done for UL certification purposes and a certificate of aerial device inspection and test by the American Test Center. Tested to ensure that it is in good working condition. This test may be run more than once a year but usually completed once a year.
	Access Restrictions	None
	Contents	This record series may contain the Certificate of Inspection and Test and the test itself which includes the name of the fire dept. ladder model, test #, horizontal load test, maximum elevation load test, rotation bearing clearance, elevation cylinder drift, throttle control, relief valve psi, trigger cylinder drift test, extension cylinder drift test, operating test, water system test, date of test and tester.
	Retention and Disposition	Retain 5 years, then destroy.
L5890	**Pumper Test Report**	This record series is used to document that the pumper on the truck is in good working condition and is used in the certification process by the National Fire Protection Association. Also used by the insurance grading companies for insurance rates for the district.
	Access Restrictions	None
	Contents	This record series contains date of test, apparatus tested, temperature, time, manufacture date, manufacturer, mileage, fuel used, test site, make, model, serial number, acceleration, vacuum test, pumping data, capacity, and tester.
	Retention and Disposition	Retain 5 years, then destroy.
L5891	**Routine Investigation Files (V)**	This record series is used to document follow up investigations by the fire department personnel of fires that are determined not to be of a suspicious nature and does not result in felonious criminal action. These investigations may produce findings that the fire was caused by accidental or careless acts. They may result in misdemeanor charges for some violation. These may be sent to the state Fire Marshall.
	Access Restrictions	None
	Contents	This record series may contain the location, time, equipment used, hydrant used damage done, firemen involved, summary report, photos and results.
	Retention and Disposition	Retain 5 years, then destroy.
L5892	**Hazardous Material Report (V)**	This record series is used to document those facilities that have an inventory of hazardous materials as determined by EPA. These reports also may be of one time spills or release of these hazardous materials and the response of the fire department. This record series is used to document facilities covered by the Emergency Planning and Community Right to Know Act (EPCRA). They must submit this form to the local emergency planning committee (LEPC), the state emergency planning committee (SEPC) and the local fire department annually. This inventory is used to formulate emergency procedures and to know exactly what types of chemicals the facility has. This information provides the public with important information on the hazardous chemicals in their communities. This information includes the amounts, location and storage conditions of the chemicals.
	Access Restrictions	None
	Contents	This file may contain the facility identification information, owner/operator, emergency contact information, chemical description, physical and health hazards, inventory, container type, pressure, temperature, storage codes and locations, certification, signature, optional attachments. This record series also may contain the date, time, chemicals involved, response team, location, address, name of facility or company and summary of response.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Fire, Division of

Record Group Number

Series	Records Title and Description	Function and Use
L5893	**Knox Box Application File**	This record series is used to document those facilities that have applied for a Knox Box (miniature safe) to be installed outside the building. This is placed on the building and a key to the premises is placed in the safe. If there is fire or the alarm is sounded and the fire department responds they can get a key from this box. The owner of the facility buys the box. The fire department has the only key to the box. Usually used when an alarm is sounded at the facility. This gives the fire department access to see if there really is a fire.
	Access Restrictions	None
	Contents	This records series may contain the name of owner, address of facility, amount paid, type of alarm system, where the box is located. Layout of facility.
	Retention and Disposition	Destroy when no longer active
L5894	**Garage Maintenance Monthly Report**	This record is used to document the work completed on the vehicles and other equipment during a given month. This may be used as a reference of in case there is some question about the operating efficiency of the equipment.
	Access Restrictions	None
	Contents	This record series may include date, time, equipment/vehicle serviced, and what was done.
	Retention and Disposition	Retain 3 years, then destroy.
L5895	**Street Closure/Alarm Systems Out of Service File**	This record series is used to document street closings and alarm systems that are out of order. This file is used as a reference when routing to a possible fire or emergency. Notification of out of order alarms alerts the Department that the alarm must be repaired.
	Access Restrictions	None
	Contents	This record series may contain the name of street, duration of closing, address of facility, name of alarm service.
	Retention and Disposition	Destroy when no longer useful

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Law Enforcement

Record Group Number

Series	Records Title and Description	Function and Use
L4919	**Police Record Check**	This record series is used to document 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 the person requesting, the information requested and the amount paid for the service.
	Retention and Disposition	Retain 2 years. Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L5778	**Adoption, Foster and Rescue Application/Agreement File**	This series documents attempts by private citizens, Animal Services employees, and rescue agencies to adopt, foster or rescue pets kept at Metro Animal Services. The applications are used to screen potential pet owners, fosters and rescues. 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.
	Access Restrictions	None
	Contents	Series 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.
L5779	**Permit/Inspection File**	This series documents the issuance of permits and inspections of kennels, catteries, stables, theatrical exhibitions, animal welfare groups, pet shops, swine and animal dealers. Organizations are inspected, and permits issued annually.
	Access Restrictions	None
	Contents	Series may contain: Permit application, a copy of the permit and the annual inspection.
	Retention and Disposition	Destroy one (1) year after permit expires.
L5781	**Officer Activity Run File**	This series documents officer activity runs which are initiated when dispatch creates initial run activity. Activity runs document in detail dispatch information and officer actions.
	Access Restrictions	None
	Contents	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.
L5782	**Lost/Found Report File**	This series documents lost and/or found animals reported to the Animal Services facility. Owners complete a lost report to redeem their animal and when an animal is found, a report is also completed. Per city ordinance, all unlicensed, unaltered dogs, cats, puppies, kittens and ferrets must be spayed or neutered, microchipped, current on all vaccinations, and licensed before being redeemed by their owner. Fees will vary depending on animal needs.
	Access Restrictions	None
	Contents	Series may contain: Date, Individual's name, contact information, type of animal lost/found, fees paid and other related information.
	Retention and Disposition	Retain for thirty days, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L5783	**Animal Bite Report**	This series documents incidents of animal bites that occur in the community. If Animal Services Officers are called to a scene and there is a bite victim, the officer completes an Animal Bite Report as documentation of the incident which provides information regarding the incident and information regarding the disposition of the animal.
	Access Restrictions	None
	Contents	Series may contain: Incident number, Pen number, Tag number, Quarantine report number, Officer information, date, owner's name and contact info, animal information and quarantine history, incident specifics, victim's name and contact information, confinement form and other related information.
	Retention and Disposition	Retain for three (3) years, the destroy.
L5784	**Animal Intake Form**	This series documents the relinquishing of ownership rights from an animal's owner to Animal Services. The owner brings the animal to Animal Services and fills out the report documenting that he has turned the animal over to the agency. Additionally, this series documents when strays are surrendered to this office.
	Access Restrictions	None
	Contents	Series may contain: Owner's or other name and contact information, Animal Services employee information, animal information (name, age, breed, size, etc.), animal ID information, 3rd party interest information, final disposition, questionnaire/history, pre-euthanasia checklist and other related information.
	Retention and Disposition	Retain for one (1) year, then destroy.
L5786	**Impoundment and/or Confiscation Form**	This series documents the impoundment of animals in the event of a legal case brought against the owner. Animal Services retrieves animals in the event that charges are filed against the owner.
	Access Restrictions	None
	Contents	Series may contain: Location of removal, defendant's name, officer's name, violations, court dates, evidence, animal information, 3rd party interest, disposition and other related information.
	Retention and Disposition	Destroy one (1) year after legal resolution of case.
L5788	**Misdemeanor Notice**	This series documents Class B Misdemeanors (having a possible sentence of 6 months) involving animals' owners. 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 and a late fee on out-of-date tags. Form is in triplicate with a white copy given to the offender; a yellow copy at Animal Services; and a green copy in the police department case file. This form is issued in lieu of a uniform citation, though failure to respond will result in the issuance of a uniform citation and a court appearance. For most Class A offenses, a Uniform Citation is automatically issued.
	Access Restrictions	KRS 61.878(1)(a) - Personal Information
	Contents	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	Destroy after three (3) years or after the disposition of case, whichever is longest.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L5790	**Officer's Daily Report**	This series documents an officer's activity report. When an 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 completes a run sheet detailing the nature of the complaint and its results. The daily report contains a less detailed account of the incident than the Officer's Activity Run and is a summary of the day's activities.
	Access Restrictions	None
	Contents	Series may contain: Date; vehicle #; patrol area; officers names; mileage information; Card #; location; on or off air; incident code; comments and results.
	Retention and Disposition	Retain for two (2) years, then destroy.
L5793	**Vaccination, Microchip and/or Spay/Neuter Voucher**	This series documents the vaccination, microchipping and/or spaying/neutering of animals by an individual who has redeemed an animal. Animal Services automatically vaccinates, microchips and spays/neuters most animals it plans to put up for adoption. Occasionally, animals cannot be vaccinated and/or spayed/neutered by Animal Services. In these instances, it is responsibility of the owner to have the procedures conducted. Animal Services offers a voucher that allows the owner/ adopter to receive a discount on the services by from a veterinarian. The owner pays a fee to Animal Services and presents the voucher to the veterinarian. The veterinarian gives the discount and sends the voucher to Animal Services for reimbursement. Animal Services maintains a copy and sends the original to Finance for veterinary reimbursement. Occasionally, Animal Services will contact an owner if an animal has not been spayed/neutered/ vaccinated/microchipped, but this does not occur very often.
	Access Restrictions	None
	Contents	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.
L5794	**Rabies Vaccination Certificate**	This series documents that animals up for adoption have been given rabies vaccinations by Animal Services. The certificate is in triplicate, with one copy going to the owner, one copy to the Health Department; and one copy to the veterinarian.
	Access Restrictions	None
	Contents	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.
L6266	**Animal Surgery, Vaccination and/or Microchip Consent Form**	This series documents the permission given by pet owners for surgery that will be performed on the animal. These are usually for spaying and neutering of animals but other surgery could be performed as well.
	Access Restrictions	KRS 61.878 (1)(a) -Personal Information
	Contents	Series may contain: Name and address of the owner, owner income verification, driver's license number and the signature of the owner.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L6617	**Felony Investigation Case File (V)**	This series documents all investigative procedures followed when a felony has been committed. These include animal cruelty and torture. This is a compilation of all material gathered in a felony investigation. At some point the case will be suspended. These suspended cases are those which an arrest has been made, the suspect is known, but there has been no prosecution or the case is unfounded. When there has been resolution, either found guilty or dismissed the case is closed. Torture of dog or cat is a Class A misdemeanor for the first offense and Class D felony for each subsequent offense if the dog or cat suffers physical injury as a result of the torture and a Class D felony if the dog or cat suffers serious physical injury or death as a result of the torture.
	Access Restrictions	KRS 17.150 (2)(3)(4)
	Contents	Series may contain: Arrest report/citation, autopsy report, audio interviews, 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, neighbor hood investigation, correspondence, news releases, criminal history data, subpoenas, citations and related information.
	Retention and Disposition	Retain for fifty (50) years, then destroy.
L6618	**Controlled Substance Log**	This series documents the use of controlled substances during sedation, euthanasia and medical treatments by authorized personnel and is maintained to meet federal and state requirements.
	Access Restrictions	None
	Contents	Series may contain: Drug and dosage used, animal ID, time and date of dosage, bottle number, name of person administering drug(s) and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6619	**Material Safety Data Sheets (MSDS)**	This 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	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.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L6620	**Use of Force Form/File**	This series documents those incidents where use of force by an employee has occurred. This is completed by the employee and signed by the supervisor and sent to the director 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 (1)(a)(h)
	Contents	Series may contain: Name of the employee, day/date/time force used, assignment, location of incident, case number, type of incident, assisting/witness employee, suspect information, charges placed against suspect, suspect's condition when first observed, whether treatment was necessary, hospital/physician, nature of injuries. An employee 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, employee signature, supervisors signature and commander signature. Statements by the suspect, witnesses and supervisor and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.
L6621	**Incident/Accident/Complaint Reports**	This 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.
	Access Restrictions	KRS 61.878(1)(a) -Personal Information
	Contents	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, safety, medical device failure, adverse drug reaction, vehicle accident, needle-stick, clerical/data entry error, communications problem, testing process, result reporting, exposure to hazardous substance, policy/procedural violations and medication error. 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.
	Retention and Disposition	Destroy five (5) years after accident/incident occurred for adults. For children, keep until age eighteen (18) years plus five (5) years or until litigation is complete, whichever is longest.
L6622	**Animal Wellness/Medical File**	This series documents daily wellness checks of animals and is completed by veterinary staff during their assigned rounds. Series provides general medical condition of the animals housed at the Metro Animal Services facilities.
	Access Restrictions	None
	Contents	Series may contain: Wellness checklist, medical chart, treatment request, daily-to-do list and related information.
	Retention and Disposition	Retain for five (5) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Metro Animal Services

Record Group Number

Series	Records Title and Description	Function and Use
L6623	**Investigations other than Felony Case Files**	This series documents all information collected and the 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. This file is used in the resolution of the case and the can be active, inactive, closed, open and suspended investigative files. Cruelty to animals in the second degree is a Class A misdemeanor (KRS 525.130). Torture of a dog or cat is a Class A misdemeanor for the first offence (KRS 525.135).
	Access Restrictions	KRS 17.150 (2)(3)(4)
	Contents	Series may contain: 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, citations, pleas, sentences, prosecution data, consent to search forms, confinement forms and related information.
	Retention and Disposition	Retain five (5) years, then destroy.
L6624	**Order to Expunge**	This series documents the order to expunge (seal) records of individuals pursuant to KRS 431. 078. An individual must go through a legal process to have his/her record expunged. Once a court has ordered an individual's record expunged, orders are sent to the appropriate law enforcement agencies.
	Access Restrictions	None
	Contents	Series may contain: Name of individual; Date of Arrest; Charges; Case Number; Judge's Signature and related information.
	Retention and Disposition	Retain for three (3) years, then destroy.
L6625	**Waivers and Agreements File**	This series documents waivers signed by those individuals who wish to ride-along in a Metro Animal Services vehicle with a designated officer. This covenant must be signed by the individual 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 agency.
	Access Restrictions	None
	Contents	This series may contain: Volunteer waivers, agreements and Covenants Not to Sue.
	Retention and Disposition	Retain for two (2) years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Protection
Youth Detention Services

Record Group Number

Series	Records Title and Description	Function and Use
L5651	**Individual Case Folder (V)**	This series documents the intake, detention and release of residents of the Louisville Metro Youth Detention Services. Many of the documents found in this file are also found at District Court or with a Court Designated Worker. Once the resident has reached the age of majority, if time is remaining on the sentence, the resident is transferred to an adult facility. This case folder does not follow the resident; rather, a new folder is started at the adult facility. Incident reports involving residents are maintained separately from the folder for 10 years.
	Access Restrictions	KRS 196.280, 197.025, 610.320, 610.340
	Contents	May contain: Psychiatric Services Assessment Sheet; Staff Alert Form (Incident Report); General Standards of Hygiene Form; Access to Medical and Dental Care Form; Mental and Medical Profile Form; Uniform Citation; Intake Form for Court Designated Worker; Juvenile Profile Form; Resident Property Receipt Form; Pre-Adjudicative Detention Criteria Form; Court Calendar; Release Form.
	Retention and Disposition	Destroy when resident reaches 19 years of age.
L5652	**Medical Record of Resident (V)**	This series documents visits to the Medical Department of the Jefferson County Youth Detention Center by the residents. The residents do not visit the Medical Department as a matter of policy, but are sent based upon the evaluation by a case worker.
	Access Restrictions	KRS 208.340; KRS 199.430 (3); KRS 405.177
	Contents	Each file will contain: Authorization and consent for release of medical records; medical record cover sheet; annual examination; interim examination; medical clinic record (nurse's notes); medical instructions sheet; medication log. Each file may contain: Lab results; eye examination; dental records; referrals.
	Retention and Disposition	Destroy when resident reaches 19 years of age.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Works and Assets
Fleet

Record Group Number

Series	Records Title and Description	Function and Use
L6230	**Vehicle Information File (V)**	This record series is used to document certain information about urban county government owned vehicles. This includes the purchasing documentation and type of vehicle.
	Access Restrictions	None
	Contents	This record series may contain the registration, purchase order, type of vehicle, specifications of vehicle and year put into service.
	Retention and Disposition	Destroy after vehicle is no longer owned by government
L6231	**Fuel Tickets**	This record series is used to document that fuel was gotten from Metro Government fueling places. This is used to track gas usage and the amount used by vehicles. The Metro Government has fueling places that can be accessed by all government vehicles.
	Access Restrictions	None
	Contents	This record series may contain the date, name of driver, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain 2 years. Destroy after audit.
L6232	**Monthly Fuel Report**	This record series is used to document that fuel was purchased from an outside vendor. This report is created to reflect all purchases from a vendor other than Metro Government. It is used to track the fuel usage and to verify the purchases.
	Access Restrictions	None
	Contents	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain 2 years. Destroy after audit.
L6233	**Weekly Electronic Fuel Transaction Report**	This record series is used to document fuel purchases through Fleet One. This fuel is purchased using Fleet One credit cards and the transactions are sent to the fleet services for payment. This is a weekly report.
	Access Restrictions	None
	Contents	This record series may contain the dates, vehicle #, amount of fuel, cost and time received.
	Retention and Disposition	Retain 2 years. Destroy after audit.
L6234	**Vehicle Maintenance Record File**	This record series is used to document repairs and other maintenance that has been performed on certain vehicles. It may also may be a scheduling tool to indicate when certain maintenance is to be done. This file documents this information concerning Metro Government vehicles.
	Access Restrictions	None
	Contents	This record contains the work orders, name of vehicle, make, engine, year, filter, oil change fuel air, power steering, and other maintenance items. This sheet is also dated when the maintenance was done.
	Retention and Disposition	Retain 1 year, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Works and Assets
Fleet

Record Group Number

Series	Records Title and Description	Function and Use
L6235	**Hazardous Waste Annual Report and Assessment Return**	This record series is used to document any site registered as either a large or small hazardous waste generator. Any site that treats, stores or disposes of these waste products must submit this report by March 1 of each year to the Division of Hazardous Waste. The original and one copy is sent to that Division and one copy to the executive authority (Mayor's office). Fleet management documents the used oil, paints and oil filters that are disposed of and how it is done.
	Access Restrictions	None
	Contents	This record series may contain a signature, registration number of facility, description of waste, epa #, the disposal process, generic name of chemical waste, date, time and amount.
	Retention and Disposition	Retain 3 years, then destroy.
L6236	**Underground Storage Registration**	This record series is used to document that Fleet Services has underground storage of hazardous chemicals. This is an annual registration and must be done by July 1 of each year. Fleet services has tanks for gasoline and oil.
	Access Restrictions	None
	Contents	This record series may contain a signature, description of stored chemicals, epa #, capacity, location and access information.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Works and Assets
Solid Waste Management

Record Group Number

Series	Records Title and Description	Function and Use
L6228	**Solid Waste Trip Summary**	This record series is used to document the daily collections completed by a particular vehicle. Data is compiled in onboard computer for the purpose of verifying pickups and for managing the routes of the vehicle.
	Access Restrictions	None
	Contents	This record series may contain the name of driver, fleet address, driver ID, trip number, trip begin date, trip end date, time totals, trip statistics, events, engine on time, time in motion, container stats, stop stas, containers per hour, arrival, departure, weight, return time, any time the route is left, total amount collected, miles gone and other stats.
	Retention and Disposition	Retain 1 year, then destroy.
L6229	**Weight Sheets (Tonnage)**	This record series is used to document the weight of the collection when taken to the landfill. This amount is recorded and used to know how much is collected. The collection is taken to a landfill that is operated by a private vendor. The weight is used in the billing process.
	Access Restrictions	None
	Contents	This record series may contain the truck #, date, time, driver, weight.
	Retention and Disposition	Retain 2 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Works and Assets
Streets and Roads

Record Group Number

Series	Records Title and Description	Function and Use
L6220	**Street Construction Maps & Plans (V)**	This record series is used to document where construction has taken place and the detailed guidelines. This includes the road and street configurations. These records show the route of the street
	Access Restrictions	None
	Contents	This record series may include the streets name, configuration, dimensions, construction dates. These may also have sewer, electrical and water main information.
	Retention and Disposition	Retain permanently.
L6221	**Construction Project Files (V)**	This record series is used to document the evolution and development of new construction of roads, streets, parking garages and other government buildings and facilities except sanitary sewers. These files document not only construction funded solely by the merged government but also grants that are funded by the federal government, state government, local developers. In the case of local developers, the agency approves the construction and acquires operation and maintenance responsibilities by contract. The engineering division, the maintenance and operations departments of the agency and the local developers use these files.
	Access Restrictions	None
	Contents	Plans, shop drawings, materials used, locations, dimensions, as-built plans, specifications, bids & estimates, guarantees, applications, contracts/agreements, bonds, reports; includes periodic inspection reports and final reports, state approval letters and correspondence. This file may include the financial records for this respective project.
	Retention and Disposition	Retain permanently.
L6222	**Improvement Construction Plans (V)**	This record series is used to document roadway construction and other construction that may impact the street or road structure. Used to document improvements made to existing roads.
	Access Restrictions	None
	Contents	This record series may contain the name of project, specifications, cost, time to completion and correspondence.
	Retention and Disposition	Retain permanently.
L6223	**Encroachment Permit File (V)**	This file is started to obtain permission to work on the highway right-of-way or close at least one lane of a state highway. The permit is completed and sent to the Kentucky Transportation Cabinet, Department of Highways Permit Branch, for approval. The type of encroachment is listed and the dates of the encroachment if known. Information is retained in the local office, Dept. of Highways Permit Branch, and District Office. Once the permit has been approved, there are agreements that are signed by the parties that dictate when, how long, and how the project is to be completed. When work has been completed, the applicants forward notice of completion of Encroachment to their district office. The District Office sends an inspector to inspect the worksite for proper completion. If approved, District Office will send a release.
	Access Restrictions	None
	Contents	Encroachment permit application, Encroachment work release, notice of completion, Encroachment permit general notes and specifications, maps and information about the projects.
	Retention and Disposition	Retain 3 years, then destroy.

STATE AGENCY RECORDS RETENTION SCHEDULE

Louisville/Jefferson County Metro Government
Public Works and Assets
Streets and Roads

Record Group Number

Series	Records Title and Description	Function and Use
L6224	**Motor Vehicle Impoundment Record File**	This record series is used to document any towing of a vehicle done at the request of a law enforcement officer. Usually after a period of time, notice will be sent to the owner and if not picked-up it will be salvaged. These autos may be impounded because they have been involved in an accident, been stolen, burned, result of a traffic/parking violation or stolen.
	Access Restrictions	None
	Contents	This record series contains a vehicle inventory, description, condition, officer impounding vehicle, badge #, wrecker driver, date/time impounded, a release(includes name address, released by, date/time, report no., received by, date/time, vehicle description, license #, make model, color, vin., towed from, towed to, vehicle owner, address, driver or person last in possession, address, phone, condition(running, wrecked, burned, stripped, not running), if stolen, reason for impounding, reasons for holding, reasons for releasing.
	Retention and Disposition	Retain 1 years, then destroy.
L6225	**Service Work Orders**	This record series is used to document public works 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 pot holes etc.
	Access Restrictions	None
	Contents	This records series may contain the date of service, name of customer, name of person providing service, address, phone #, materials used, hours of labor, equipment used, date completed and signature of person completing the task.
	Retention and Disposition	Retain 3 years. Destroy after audit.
L6226	**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. This permit is required for any work in the public rights of way. A plan or sketch must be submitted.
	Access Restrictions	None
	Contents	Date, plumber or company name, property owner name, location of property, explanation of project, deposit notation and sketch or drawing.
	Retention and Disposition	Destroy when no longer useful
L6227	**Pavement Management Annual Report**	This record series is used to document the condition of existing paved streets and roads. This is completed for all streets periodically and is used to prioritize jobs.
	Access Restrictions	None
	Contents	This record series may contain survey, list of streets by year, and repairs needed.
	Retention and Disposition	Retain 5 years, then destroy.

Louisville/Jefferson County Metro Government
Records Retention Schedule
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