



# Department of Energy Development and Independence

## Records Retention Schedule

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



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Department for Energy Development and Independence. **Government records in Kentucky can only be disposed of with the approval of the State Archives and Records Commission (the Commission).** If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records. This agency-specific schedule was drafted by Department for Energy Development and Independence personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department for Energy Development and Independence to destroy the records listed, after the appropriate retention periods have passed.

Department for Energy Development and Independence personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Department for Energy Development and Independence.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

This retention schedule covers the content of records created by the Department for Energy Development and Independence, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

### **Audits and Legal Action**

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

### **Confidential Records**

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

### **Copies of Records**

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

### **Updating the Retention Schedule**

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

## **Department for Energy Development and Independence**

The mission of the Department for Energy Development and Independence is to improve the quality and security of life for all Kentuckians by creating efficient, sustainable energy solutions and strategies; by protecting the environment; and by creating a base for strong economic growth.

The Department was formed in 2008 by Executive Order 2008-531. It is headed by a commissioner appointed by the Secretary of the Energy and Environment Cabinet with the approval of the Governor. The department is made up of the following divisions: Efficiency and Conservation; Renewable Energy; Biofuels; Energy Generation Transmission and Distribution; Carbon Management; and Fossil Energy Development.

RECORDS RETENTION SCHEDULE

Signature Page

Department for Energy Development and Independence  
Agency

March 13, 2014

Schedule Date

Unit

Change Date

March 13, 2014

Date Approved By Commission

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APPROVALS

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

Agency Head

2/13/2014  
Date of Approval

Agency Records Officer

2-13-14  
Date of Approval

State Archivist and Records Administrator  
Director, Public Records Division

3/12/14  
Date of Approval

Chairman, State Archives and Records Commission

3/13/14  
Date of Approval

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

Records Analyst/Regional Administrator

February 11, 2014  
Date of Approval

Appraisal Archivist

3/12/14  
Date of Approval

State/Local Records Branch Manager

3/12/14  
Date of Approval

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The determination as set forth meets with my approval.

Auditor of Public Accounts

3-12-14  
Date of Approval

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Energy and Environment Cabinet  
Energy Development and Independence, Department for

Record Group  
Number  
1017

Series	Records Title and Description	Function and Use
06486	<b>Grant Files (V)</b>	This series documents grant projects per authorization of the United States Department of Energy to the Department for Energy Development and Independence for sustainable energy solutions and strategies to promote clean, reliable, affordable energy sources.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) re personal information on application; KRS 61.878 (1) (b) and KRS 61.878 (1)(c)(1) re business practices
	<b>Contents</b>	Series may contain: Grant applications and supporting documentation; authorization records; draw down records; periodic and summary financial and activity reports.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years after final expenditure report has been submitted to U.S. Department of Energy, then destroy after audit.