



# Office of Film and Tourism Development

## 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 Office of Film and Tourism Development. **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 Office of Film and Tourism Development personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Office of Film and Tourism Development to destroy the records listed, after the appropriate retention periods have passed.

Office of Film and Tourism Development 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 Office of Film and Tourism Development.

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 Office of Film and Tourism Development, 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.

**RECORDS RETENTION SCHEDULE**

*Signature Page*

Office of Film and Tourism Development  
Agency

June 8, 2017  
Schedule Date

\_\_\_\_\_  
Unit

\_\_\_\_\_  
Change Date

June 8, 2017  
Date Approved By Commission

\*\*\*\*\*

**APPROVALS**

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

[Signature]  
Agency Head

May 22, 2017  
Date of Approval

[Signature]  
Agency Records Officer

May 22, 2017  
Date of Approval

[Signature]  
State Archivist and Records Administrator  
Director, Archives and Records Management Division

6/8/17  
Date of Approval

[Signature]  
Chairman, State Archives and Records Commission

6/8/17  
Date of Approval

\*\*\*\*\*

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

[Signature]  
Records Analyst/Regional Administrator

May 24, 2017  
Date of Approval

[Signature]  
Appraisal/Archivist

6/8/17  
Date of Approval

[Signature]  
State/Local Records Branch Manager

05/30/2017  
Date of Approval

\*\*\*\*\*

The determination as set forth meets with my approval.

[Signature]  
Auditor of Public Accounts

6/8/17  
Date of Approval

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

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Tourism, Arts and Heritage Cabinet  
 Secretary, Office of the  
 Film and Tourism Development, Office of

**Record Group**  
**Number**  
**0575F**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
01260	<b>Motion Pictures or Multi-Media Presentations (Produced with state facilities or funds)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Forward one (1) copy to State Archives Center for Permanent retention. Destroy excess copies when no longer useful.
01261	<b>Project Records (Information on each film made in Kentucky)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain Permanently.
01262	<b>Estimates of Revenue and Economic Impact of Productions Made in Kentucky</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain Permanently.
01263	<b>Resumes of Available Actors, Technicians, and Support Staff</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Destroy when no longer useful.

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Tourism, Arts and Heritage Cabinet  
Secretary, Office of the  
Film and Tourism Development, Office of

Record Group  
Number  
2748

Series	Records Title and Description	Function and Use
06453	<b>Tourism Development Loan/Incentive File (V)</b>	This series documents tourism development projects for which companies receive loans or incentives for the projects. These may fall under the Tourism Development Act (KRS 139.536 and KRS 148.851 to 148.860), the Tourism Development Loan Program, or Film and Entertainment Incentives (KRS 148.542 to 148.548). Once it receives an application for a project, the Office collects information on the company (e.g., financial statements, tax returns, business projections). Applications for incentives are subject to a preliminary approval, while loans and film industry incentives are subject to only a single approval. An independent consultant then reviews the potential project and makes a report, after which final approval is given or denied. Incentives can take the form of tax breaks or cost recovery.
	<b>Access Restrictions</b>	
	<b>Contents</b>	Series contains: Application; company tax returns, financial statements, business projections; preliminary analysis; independent consultant report; final decision; periodic and annual company reports; records of expenditures; correspondence; loan documentation; press releases. A film industry incentive file will include a script or synopsis and production expenditure documentation.
	<b>Retention and Disposition</b>	Retain the Office's preliminary analysis and independent consultant's report permanently. Retain the remainder of the file until ten (10) years after application denial, date of last project activity, or completion of any related litigation, whichever is latest, then destroy.