



Finance and Administration Cabinet

(Includes Administrative Services, Office of the Controller, Department of Facilities and Support Services, General Counsel)

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 Finance and Administration Cabinet. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, 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 Finance and Administration Cabinet personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Finance and Administration Cabinet to destroy the records listed, after the appropriate retention periods have passed.

Finance and Administration Cabinet 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 Finance and Administration Cabinet.

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 Finance and Administration Cabinet, 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.

Finance and Administration Cabinet

The Finance and Administration Cabinet's (FAC) mission is to serve the administrative needs of the rest of State Government. Unlike most agencies, the Cabinet's customers are not so much the general citizenry of the Commonwealth but rather the other state agencies themselves. FAC's core mission is to provide services that will better enable agencies to deliver services and perform their duties on behalf of the general public.

FAC is responsible for the construction and maintenance of state facilities, the leasing of state property, expenditure control, state purchasing, information technology support and resources, debt services, and printing services. FAC provides the administrative support and the facilities to enable agencies to provide the access to government that the public needs and deserves. The Office of Administrative Support oversees the management and maintenance of the State Motor Pool, which assigns permanent and temporary vehicles for cabinets and agencies, and the Division of Postal Services. The Department of Revenue administers the state tax laws and bills and collects the tax revenue necessary to support the operation of our commonwealth.

In 1918, the Budget Appropriation Commission was created. In 1926, it was replaced by the Budget Commission. That same year, the Office of State Budget Officer and the State Purchasing Commission were created. In 1934, two new departments were created: the Department of Finance and Budgetary Control, which assumed the duties of the Budget Commission, and the Department of Public Property, which assumed the duties of the State Purchasing Commission. In 1936, the Department of Finance was created and absorbed the duties of the Department of Public Property and the Department of Finance and Budgetary Control. In 1973, the Department of Finance and the Program Development Office were consolidated into the Executive Department of Finance and Administration. In 1982, the Department became the Finance and Administration Cabinet. The Cabinet operates under KRS Chapter 42.

RECORDS RETENTION SCHEDULE

Signature Page

Finance and Administration Cabinet	September 1983
Agency	Schedule Date
Division of Real Properties	March 11, 2021
Unit	Change Date
	March 11, 2021
	Date Approved By Commission

APPROVALS

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

<small>DocuSigned by:</small> Holly M. Johnson	2/25/2021
<small>49419EB574534E0...</small> Agency Head	Date of Approval
<small>DocuSigned by:</small> Sessani Withers	2/25/2021
<small>14D818683DA2476...</small> Agency Records Officer	Date of Approval
<small>DocuSigned by:</small> Terry Manuel	3/11/2021
<small>7FD4DBCBB1FE4DC...</small> State Archivist and Records Administrator Director, Archives and Records Management Division	Date of Approval
<small>DocuSigned by:</small> Terry Manuel	3/11/2021
<small>7FD4DBCBB1FE4DC...</small> Chairman, State Libraries, Archives, and Records Commission	Date of Approval

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

<small>DocuSigned by:</small> Taylor Metzging	2/25/2021
<small>D51749D3745D428...</small> Records Analyst/Regional Administrator	Date of Approval
<small>DocuSigned by:</small> Jennifer Patterson	3/1/2021
<small>2028204ED5224A2...</small> Appraiser/Archivist	Date of Approval
<small>DocuSigned by:</small> CWO	2/25/2021
<small>316DFCDA76E748D...</small> State/Local Records Branch Manager	Date of Approval

The determination as set forth meets with my approval.

<small>DocuSigned by:</small> Farrak Petter	3/11/2021
<small>59DFC588B1254E8...</small> Auditor of Public Accounts	Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Finance and Administration Cabinet
Controller, Office of the
Financial Management, Office of

Record Group
Number
1060Q

Series	Records Title and Description	Function and Use
00340	Bond Project Issuance Files	This series documents the management of debt issuances for the Commonwealth's debt issuing agencies. The Office of Financial Management (OFM) must procure underwrites and bond counsel for debt issuers. OFM works with these firms to arrive at a financing solution and provide financing for projects. This file is created to document the steps to accomplish the debt issuance process.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: transcript of proceedings, official statements, engagement letters, printer bids, trustee bids, invoices, winning proposals, certification forms, and fee proposals.
	Retention and Disposition	Retain in Agency until after bond issue matures and audit; transfer to State Archives Center for permanent retention.
00341	Bond Debt Service and Management File	This series documents the management of bond debt issues for state agencies, cities, counties, commissions, corporations, or other entities of or representing the Commonwealth of Kentucky. Agencies must submit all proposed bond issues and debt financing to the Office of Financial Management for approval. This file is then created and is used to track the progress of the project from start to finish, which is usually three to five years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Bond registration, maturity schedules, correspondence, loan applications, project expense documents, closing papers on projects, official statements, trust indentures, agent contract, financial reports, expenditure voucher on debt service costs, trustee/paying agent contracts, maturity schedules, bond registration, and financial reports on debt service.
	Retention and Disposition	Retain twenty-five (25) years, then destroy.
003498	Rejected Proposals for Bond Issuance Services	This series documents the proposals that are rejected after solicitation from underwriters and/or bond counsel firms. The Office issues bonds to finance various capital projects and to refinance existing bond issues.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Fee quotes for services rendered, hourly rates, printing costs, type of issue; date
	Retention and Disposition	Retain in Agency one (1) year; transfer to the State Records Center for one (1) year; destroy. Total retention is two (2) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Controller, Office of the
Financial Management, Office of
Turnpike Authority, Kentucky

**Record Group
Number
1060Q**

Series	Records Title and Description	Function and Use
01387	Bond Closing Documents/Transcripts	This series documents the date of issuance of the bonds and related proceedings of turnpike and other road projects from beginning to end.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: certified list of names of members of the Turnpike Authority, by-laws of the Turnpike Authority of Kentucky, participants, verification report, series resolution, rating letters, counsel opinions, tax documents, approval of issuance, disbursement authorizations, and supplemental lease agreements.
	Retention and Disposition	Transfer to State Archives Center after all financial records are completed for permanent retention.
01388	Bank Trust Statements of Transactions	This series documents the monthly transactions of each bond issue and reports on the road construction fund.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: cost of issuance, debt service, bank statement of each bond issue account, quarterly reports from the Kentucky Transportation Cabinet, and summary of expenditures and balances for economic development revitalization road projects.
	Retention and Disposition	Transfer to State Records Center one (1) year after audit. Destroy after audit and five (5) years after bond redemption.
06950	Arbitrage Report	This series documents the computation of each bond issue using current tax laws and regulations to determine rebate liability. Certain monies associated with the bonds are used to acquire investments. When the investment results in a profit, the proceeds are called arbitrage earnings. Certain arbitrage earnings must be paid to the US Treasury.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: unconditionally payable receipts, unconditionally payable payments, Form 8038-T, and journal entries.
	Retention and Disposition	Retain until five (5) years after bond redemption and audit, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Controller, Office of the
Procurement Services, Office of

**Record Group
Number
1060Q**

Series	Records Title and Description	Function and Use
00433	Solicitation File	This series documents the request for quotes, bids, and proposals for purchasing commodities and non-professional services for state agencies in excess of their small purchase authority.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: request, vendor submission, and requisitions.
	Retention and Disposition	Retain until eight (8) years after completion, expiration, termination, or audit, whichever is longest, then destroy.
00438	Master Agreement File	This series documents the contract entered into with public or private agencies or individuals that sets out agreed terms for future transactions. The master agreement must be renewed annually.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: request, vendor submission, requisitions, contract, and approval.
	Retention and Disposition	Retain until eight (8) years after completion, expiration, termination, or audit, whichever is longest, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Controller, Office of the
State Risk and Insurance Services, Division of

**Record Group
Number
1060Q**

Records Title Series and Description	Function and Use
03660 Appraisal File (V)	This series documents all pertinent data for state-owned buildings, structures and facilities throughout Kentucky as pertains to the replacement or actual cash value of the property (structure, size, design, type of occupancy, internal and external photos), and information relative to the agency that occupies the building. Appraisers are assigned buildings by certificate numbers to update or complete appraisals on property. The program began in 1969, pursuant KRS 56.080. Prior to that, the Division of Real Properties, Finance and Administration Cabinet, had responsibility for an original appraisal upon acquisition of the property. If an agency makes a construction change in a building, or purchases a new building, it files an agency report, which will initiate a new appraisal. The file is referenced each time a new appraisal is completed, or when a claim is filed. All appraisal information concerning a building, structure or facility can be found in this series.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Name of building, name of agency, agency correspondence, correspondence relative to construction of a building, calculator cost form, building appraisal master worksheet, photographs, inspection reports, agency report (for updates or changes), diagram of building, State Risk and Insurance Services System (SRISS) Evaluation Report, SRISS Detail Appraisal Report, Corelogic Appraisal, and eRIMS documentation.
Retention and Disposition	Retain in Agency for six (6) years after last appraisal; transfer to State Archives Center for permanent retention.
03663 Commercial Policy - Except Liability File (V)	This series documents the insurance coverage in effect for all state agencies for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). It is a commercial policy created upon request of an agency. The policy provides additional, optional coverage, whereas the SFTIF is mandatory (with basic coverage). This is a policy that once it has expired, the coverage or protection it provided no longer exists. The types of policies this insurance provides coverage for would be bonds for public officials, crime, marine, aviation, and fidelity/surety.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Copy of policy (name of agency, amount of coverage, amount of premium, policy terms and number, class/type of insurance, payment plan, expiration date), correspondence with agency, name of agent, and recap sheet.
Retention and Disposition	Retain in Agency three (3) years; transfer to the State Records Center for two (2) years. Destroy after audit. Total retention is five (5) years.
03664 Commercial Liability Policy File (V)	This series documents the insurance coverage with liability in effect for all state agencies for perils not included in the State Fire and Tornado Insurance Fund (SFTIF). It is a commercial policy created upon request of an agency. The policy provides additional, optional coverage, whereas the SFTIF is mandatory (with basic coverage). There is potential for claims to be filed against this policy after the expiration of the policy. The types of policies this insurance provides coverage for would be commercial general liability, which is coverage on the public while on state premises; professional liability, airport/aircraft/hangar keepers, professional and public officials.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series contains: Copy of policy (name of agency, amount of coverage, amount of premium, policy terms and number, class/type of insurance, payment plan, expiration date); correspondence with agency; name of agent; and recap sheet.
Retention and Disposition	Retain in Agency five (5) years; transfer to the State Records Center for forty five (45) years. Destroy after audit. Total retention is fifty (50) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Controller, Office of the
State Risk and Insurance Services, Division of

**Record Group
Number
1060Q**

Series	Records Title and Description	Function and Use
03665	State Fire and Tornado Reinsurance Policy File (V)	This series documents the reinsurance (excess limits) coverages of the Commonwealth's State Fire and Tornado Insurance Fund (SFTIF), the state's self-insured fund. This type of policy insures the solvency of the SFTIF, in the case of a catastrophe. It is an all-risk policy that provides protection against all risks of direct physical loss of or damage to the property insured, with the exception of normal exclusions. Floods and earthquakes are covered by the policy. It defines coverages and interprets terms and conditions of the policy against future litigation.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Policy (with terms, conditions, limits), and correspondence (between Office and insurance agent).
	Retention and Disposition	Retain ten (10) years, then destroy after audit.
03667	Bid Specification File for Insurance Policies	This series documents the needs and required coverages, terms, conditions, cancellation or alteration of a policy that is to be issued to a state agency. It is initiated by the Office, then sent to Division of Purchases, Finance and Administration Cabinet, to bid. Once a contract is awarded, a policy is issued. With each renewal, premiums may be negotiated. The series provides information when other agencies have a request or need to purchase insurance.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name of agency, deductible, terms and conditions (negotiable, annual premiums, number of days notice before cancellation, items or equipment to be added to policy), requirements, coverages, loss experience, bid sheets/rate, name of contact person, and copy of purchase order requisition.
	Retention and Disposition	Retain in Agency six (6) years; destroy.
03670	State Risk Claims File (V)	This series documents that a property loss has occurred, and the proper papers or reports have been completed and filed to repair or reconstruct damaged property insured under the Fire & Tornado Self-insurance Policy. It is the history of a property claim describing damage that has occurred to state property. An agency that has had a loss will contact the Office using a Notice of Loss form. Estimates are gathered, the property is repaired, and the claim file is closed. The Division handles property losses and vehicle accidents involving State Agencies insured under the KY Self-insurance Auto Policy (KSAP). This series provides a loss history for agencies which, in turn, provides information for determining insurance premiums.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Notice of Loss, proof of loss documents (breakdown of loss, settlement agreement, signatures of authorized agency personnel to transfer funds in State Fire and Tornado Insurance Fund Account), police report, estimates, photographs, correspondence.
	Retention and Disposition	Retain in Agency two (2) years after claim is settled; transfer to State Records Center for three (3) years. Total retention is five (5) years.
05341	Fire and Tornado Underwriting Policy File	This series documents the Division underwriting of changes made within the state's Fire and Tornado self-insurance property fund. For example, coverage is updated when values for buildings and contents are added, changed, or deleted. The series documents policy creation, premiums paid or refunded, rates charged, and schedules for building values and locations. The Division has the responsibility to determine which state property is to be insured against loss by fire and other causes of loss, as provided under the authority of KRS Chapter 56. The Division fixes upon each public building, and upon each class of business or personal property owned by or under the care, custody and control of the state, the rate of premium that the Division deems to be the average rate charged by responsible insurance companies doing business in the Commonwealth against damage by fire or other causes of loss.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: State fire and tornado work file, state fire and tornado schedule, state properties specific rate file, billing documents, changes in coverage, schedules, and related correspondence.
	Retention and Disposition	Retain five (5) years, then destroy after audit.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Controller, Office of the
Statewide Accounting Services, Office of

**Record Group
Number
1060Q**

Series	Records Title and Description	Function and Use
00360	Comprehensive Annual Financial Report	This series documents detailed information on each state agency's and state university's financial activity for each fiscal year. The report is published after each fiscal year and lists expenditures, revenues, allotments, etc.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Combined balance sheet, all fund types and account groups, combined statement of revenues, expenditures, changes in fund balance-all government fund types and expendable trust funds, statements of all allotments and expenditures summaries by fund.
	Retention and Disposition	Retain one copy in agency permanently. Transfer two copies to the Archives and Records Management Division when issued to be retained permanently.
00373	Account Maintenance Form - SAS-14 Form	This series documents the request by state agencies to establish new accounts, delete obsolete accounts and to provide the reason for such changes. It is a one-part form completed by the Office of the State Budget Director and then sent to the Office for approval and processing.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date, establish/delete/change title, fund, cabinet, department, program/project, capital projects, descriptive title, controls, control override, allotment, capital construction, reference document number, and approval.
	Retention and Disposition	Retain in Agency eight (8) years; destroy after audit.
00376	Legislative Claims File	This series represents claims made by state agencies to the State Treasurer that are older than two fiscal years. Invoices submitted for payment that are two fiscal years old must be submitted to the General Assembly every two years in the form of a legislative bill. Upon approval by the General Assembly, the claims are paid. Claims can be for any goods or services received by an agency.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Transaction code, fund, cabinet, department, program/project, object code, division, branch, section, unit, function code, location, vendor number, vendor suffix, funding, source, budget unit, department name, division/district, project name and number, invoice number, grant number, grant fiscal year, subgrant agency object code, agency reference number, vendor name and address, purchase type, payment due date, voucher number, audit reference, description, quality, unit price, and amount.
	Retention and Disposition	Retain in Agency three (3) years; transfer to the State Records Center for five (5) years. Destroy after audit. Total retention is eight (8) years.
04240	Request for Approval of Bank Account	This series documents the establishing of a bank account by state agencies. KRS 41.070 (3) requires the approval of the State Treasurer and the Finance Cabinet Secretary for all agency bank accounts. This request is completed by the agency and submitted to the State Treasurer to establish a bank account, change a bank account number, or to close a bank account and then sent to the Division of Accounts for their approval.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date (month/day/year); name of agency, purpose of account, name of account, name of bank, address of bank, custodian, date account needed, estimated monthly balance, Is this a new account?, name of old account, signature of agency head, approved State Treasurer, approved Finance and Administration Cabinet.
	Retention and Disposition	Retain permanently in Agency.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Buildings and Mechanical Services, Office of

**Record Group
Number
1060R**

Series	Records Title and Description	Function and Use
00596	Emergency Evacuation Procedures - (State owned buildings)	
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	
	Retention and Disposition	Retain in Agency and destroy when superseded
00600	Space Alteration Request (SAR)	This series documents the request for interior alteration to Finance and Administration Cabinet owned or leased buildings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Purchase order, invoice, work request.
	Retention and Disposition	Retain until three (3) years after the SAR request is completed, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Facility Development and Efficiency, Office of

**Record Group
Number
1060**

Series	Records Title and Description	Function and Use
00565	Tracings and Reproducible Drawings - (All state buildings, except those delegated to other state agencies) (V)	This series reflects the physical make-up of buildings, including mechanical, electrical, and heating and air conditioning systems. The drawings are produced by professional architects and engineers for the purpose of seeking bids on capital construction projects. After the structure is built, the tracings remain valuable as they are one-of-a-kind and are used to produce blueprints or whiteprints, for the purpose of maintenance, renovation, or reference by future architects or engineers.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Complete drawing of project; engineering file number; set number; date; name of architect; schedule of drawing; site plan; structural details; plumbing details; electrical details
	Retention and Disposition	Retain in Agency and destroy eight (8) years after termination of ownership of the facility
00566	Capital Construction Project Files	This series documents the planning, designing and construction of capital construction projects within the state, such as hospitals, stadiums, park lodges, utility systems, etc. A project is considered capital construction when funds for the project come from the governor's budget (02 money) rather than an agency's budget (01 money). These records reflect an interchange of information between architects, engineers, accountants and other professionals as related to the project for sealed bidding, awarding of contracts, specifying, testing and reporting of information. Bids are submitted to the Cabinet for construction projects by interested contractors. The file is then used to document the activities of the project, until its completion. Contractors and bonding companies are held liable for construction problems for two years after the completion of most projects.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Contract specifications, project correspondence, inspection reports, material testing records, change orders, site and subsurface investigation reports, photos, negatives, and periodical estimates.
	Retention and Disposition	Retain until eight (8) years after termination of ownership and audit, then destroy.
03628	Central Project Log - (Index to Capital Construction Project Files)	This record documents the log book used by the Department for Facilities and Support Services. This series serves as an index to the Capital Construction Project File (00566) to quickly find and verify account numbers and cost information on all capital construction projects.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: File number, title of project, name of contractor, amount of bid, bid invitation number, date/year, cost of project.
	Retention and Disposition	Retain in Agency and destroy each update after eight (8) years.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Mechanical Services, Division of

**Record Group
Number
1060**

Series	Records Title and Description	Function and Use
00610	Vehicle Mileage Report	
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	
	Retention and Disposition	Retain in Agency eight (8) years; destroy
00611	Fuel Oil Log	
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	
	Retention and Disposition	Retain permanently in Agency.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Real Properties, Division of

**Record Group
Number
1060**

Records Title Series and Description	Function and Use
00586 Land Acquisition File	This series documents the interests of land acquired by the state
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Land acquisition form, deed, title, surveys, appraisals, payment information, land contract, official order, and correspondence.
Retention and Disposition	Retain until sold, then transfer file to series 00587, Land Sold File.
00587 Land Sold File (V)	This series documents the disposition of all state-owned surplus interests of real property. Surplus real property is excess property that has been maintained by an agency and disposed of after a determination by the maintaining agency that is no longer needed or required. These properties include real property sold or otherwise disposed of by this Cabinet for all agencies.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Land acquisition form, bid documents, bid responses, deed, title, surveys, appraisals, payment information, land contract, official order, and correspondence.
Retention and Disposition	Retain until eight (8) years after disposition of property, then transfer to State Archives for permanent retention.
00590 Lease Agreements (V)	This series documents the leasing of real property interest including private property, state property, and inter-agency agreements.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Lease, lease modification, lease renewal, invitation to bid, responses to solicitations, official orders, correspondence, advertisements, vendor information, detailed plans, tenant improvement fund request, and solicitation documents.
Retention and Disposition	Retain until eight (8) years after lease termination, then destroy.
00595 Parking Applications	This series documents reserved parking space assignments at any Finance and Administration Cabinet owned or leased property per 200 KAR 3:010.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Parking application form, agency correspondence.
Retention and Disposition	Retain for duration of assignment or until notification of termination received, then destroy.
00597 Building Record Information - (Duplicate) - (Includes agency assignment; rental rate; available space; floor plans)	
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	
Retention and Disposition	Retain in Agency and destroy when superseded

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Real Properties, Division of

**Record Group
Number
1060R**

Series	Records Title and Description	Function and Use
04542	Federal/State Energy Reporting Program File	Closed Series: This series documented a joint federal/state program to report energy usage in each of Kentucky's state-owned buildings. Kentucky's program was patterned after similar programs in other states, with the exception being that Kentucky's measured or accounted for all energy consumption in each of its 5,200 state-owned buildings. In this regard, Kentucky's program was unique. The program required that each building report monthly energy usage by specific categories, i.e., gas, electric, coal, fuel oil, steam, etc. This information was then entered into an electronic application for ease of reporting monthly, quarterly and yearly statistics. The program was expanded to include corrective action reports, if energy consumption in a particular building fell outside acceptable ranges. Based on information gathered, the Division of Energy, Environmental and Public Protection Cabinet, was developing an energy conservation plan for state government, to make buildings more energy efficient. The plan would require legislative approval. Currently, the cost of energy consumption by state government averages between \$40 and \$42 million annually. The federal government opted to discontinue funding of the program in 1992. As a result, a final report was not issued.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Related correspondence, summary reports, sample collection form, financial reports. Specific information gathered by category of energy usage included: cost/quantity; electricity in KWHs; natural gas in MCF and CCF; coal in tons; fuel oil in gallons; steam in 1,000 pounds; chilled water in tow hours; totals; building's square footage. All categories reported in month, quarter and year to date
	Retention and Disposition	Transfer to the State Archives Center for permanent retention.
04502	Space Alterations File	This series provides information to the Division regarding interior alterations and intermittent use of Finance and Administration Cabinet administered buildings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Floor plans, special projects, space alteration form, facilities use form, agency correspondence.
	Retention and Disposition	Retain three (3) years after the Space Alteration Request is made or completed, whichever is longer, then destroy.
06968	Transportation File	This series documents right of way sales and Acquisition-State Employee Certification/Non-Undue Influence documentation received by the Transportation Cabinet as reviewed by the Division of Real Properties. The Division initiates approval process and makes a recommendation to the Finance and Administration Cabinet Secretary.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Appraisal information, negotiation records, survey, title information, adjoining property owner purchase waiver, related property agreements such as easements or leases, Transportation Cabinet and Finance and Administration Cabinet Official Orders, Transportation Cabinet purchase of right-of-way deed, sale of right-of-way deed, Acquisition-State Employee Certification/Non-Undue Influence documentation, correspondence.
	Retention and Disposition	Retain until three (3) years after approval is sent to Transportation Cabinet, then destroy.
06988	Demolition Orders	This series documents demolition orders for structures on state-owned properties.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Demolition order, pictures, environmental studies/reports, correspondence.
	Retention and Disposition	Retain until five (5) years after completion of demolition, then destroy.

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Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Real Properties, Division of

**Record Group
Number
1060**

Series	Records Title and Description	Function and Use
06989	Unsuccessful Projects File	This series documents construction projects that have been unsuccessful in completion. Projects include: Request for Proposal (RFP), Request for Bids (RFB), Request for Information (RFI), P3 Projects, lease, land acquisition or land sold, and/or Build-to-Suit.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Request documents, invitation to bid, advertisements, bids, responses, official orders, land contract, title acquisition, source deed, correspondence.
	Retention and Disposition	Retain for eight (8) years after last date of activity, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Facilities and Support Services, Department for
Surplus Property, Division of

**Record Group
Number
1060**

Series	Records Title and Description	Function and Use
00464	Public Auction Sales of Surplus Personal Property	This series documents the sale of state-owned surplus property through spot bid sales or live auctions. A spot bid sale is like a silent auction. Most spot bid sales are held at Division of Surplus Property. Live auctions may be held in different locations depending on the surplus property being sold. A notice of the sale will be provided to inform the general public.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: declared surplus form B217-2, copy of official order, advertising information, bidder sign-in sheet, sale list, sale tickets, check list, sale recapitulation, deposit documentation, sales tax journal voucher, correspondence.
	Retention and Disposition	Retain in Agency eight (8) years, then destroy after audit.
00465	Sealed Bid Sales of Surplus Personal Property	This series documents the sale of state-owned surplus property through a sealed-bid auction. All bidders submit sealed bids to the auctioneer simultaneously. A notice of the sale will be provided to inform the general public. Sealed bids are usually only for unique items with a very limited market.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: declared surplus form B217-2, advertising information, descriptions of property, mailing lists, sealed bid forms, checks or money orders, bid tabulations, deposit documents, sales tax journal voucher, related correspondence, copy of official order, bidder list.
	Retention and Disposition	Retain in Agency eight (8) years, then destroy after audit.
00466	Restricted Purchase Sales of Surplus Personal Property	This series documents the sale of state-owned surplus property to 501(c)(3) nonprofit organizations. Unless the organization is an educational institution or public welfare agency, they do not qualify for Federal Surplus.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: direct transfer form B217-42A, declared surplus form B217-2, copy of 501(c)(3) tax exemption certification letter, deposit documentation, related correspondence.
	Retention and Disposition	Retain in Agency eight (8) years, then destroy after audit.
00469	Declared Surplus Form File - Form B217-2	This series documents surplus inventory. An agency wishing to dispose of state-owned personal property shall file with the Division of Surplus Property a State-Owned Personal Property Declared Surplus Form, B-217-2, prepared by the agency's property officer and approved by the agency head.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: agency information, property description, property original value, property present value, reason for surplus, recommended disposal method, inventory officer signature, agency property representative signature, agency head signature, division of surplus property director signature, police report, insurance settlement, agency explanation of loss or destruction
	Retention and Disposition	Retain in Agency eight (8) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Finance and Administration Cabinet
Facilities and Support Services, Department for
Surplus Property, Division of

Record Group
Number
1060

Series	Records Title and Description	Function and Use
00470	Requisition of Surplus Personal Property Form File - Form B217-3	This series documents the trade-in of a state agency item.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: organization information, name, address, account number, type property, authorized individual name, correspondence.
	Retention and Disposition	Retain in Agency eight (8) years, then destroy
06866	Federal Surplus Eligibility Determination File	This series documents the application to participate in the Federal Surplus Property Program. In order to be eligible for the program, an organization must be a nonprofit organization, educational institution or organization, public health institution or organization, or public body funded by tax dollars. The donee agrees that: 1. The property is needed and will be used only for the intended purpose(s) for which acquired and no other purpose(s); 2. Funds are available to pay all costs and charges incident to donation; 3. Items will not be disposed of during the period of restriction; 4. The property acquired is on an "as is/where is" basis, without warranty of any kind; 5. Reports will be made, as required, to this Agency on the use condition and location of the property.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application for eligibility; authorized representative; nondiscrimination assurance; certification regarding debarment, suspension, ineligibility and voluntary exclusion -- lower tier covered transactions; correspondence.
	Retention and Disposition	Retain in Agency three (3) years after expiration date, then destroy.
06867	Federal Surplus Compliance Report File	This series documents restricted items that have been transferred to eligible donees. Items subject to restriction are: any item that is transferred to an eligible donee is restricted for 12 months; vehicles and items whose original acquisition amount is greater than \$5000 are restricted for 18 months; firearms, aircraft, and vessels over 50 feet in length have perpetual restrictions.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: property type, organization name, contact person, date and end of compliance period, transfer document.
	Retention and Disposition	Retain in Agency three (3) years after end of compliance period, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Secretary, Office of the
Administrative Services, Office of
Fleet Management, Division of

**Record Group
Number
1060**

Series	Records Title and Description	Function and Use
06504	Navigational and Tracking Data (State Vehicles)	This series represents data from navigational and tracking devices, including Global Positioning System (GPS) information, for Division of Fleet Management's (DFM's) state owned vehicles that are equipped with automatic tracking devices. This includes Motor Pool vehicles and/or vehicles assigned to agencies through DFM. The information from these devices assists in ensuring efficient vehicle operation. The Finance and Administration Cabinet contracts with vendors providing this service. DFM maintains and provides access to this data for all vehicles assigned to agencies through the Division. Agencies that procure their own vehicles and install tracking devices have the responsibility for retaining this information.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Vehicle license plate number; date and time of vehicle usage; locations by longitude and latitude; speeds; starting and stopping times
	Retention and Disposition	Retain in Agency five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Secretary, Office of the
Administrative Services, Office of
Human Resources

**Record Group
Number
1060S**

Series	Records Title and Description	Function and Use
00275	Unemployment Insurance Report File	This series documents unemployment benefits to eligible workers who become unemployed and meet certain eligibility requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: reason for termination, hire date, and salary.
	Retention and Disposition	Retain five (5) years, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Finance and Administration Cabinet
Secretary, Office of the
General Counsel, Office of

**Record Group
Number
1060S**

Series	Records Title and Description	Function and Use
00306	Legal Actions Regarding Property Records	This series represents the working file which is created at the Finance and Administration Cabinet Office of Legal Services when a case related to property acquisition or other property-related litigation is assigned to an attorney. This series excludes property-related negligence actions filed before the Claims Commission, inclusive of any related appeals of a Commission determination. The series represents the working files created and maintained by Finance Cabinet attorneys and employees during the litigation process and is updated each time additional information is received regarding a particular case.
	Access Restrictions	KRE 503 - attorney client privilege; CR 26.02 - work product materials; KRS 61.878(1)(i) - preliminary drafts; KRS 61.878(1)(j) - preliminary recommendations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pleadings; summonses; correspondence; memoranda; complaint forms; petitions; transcripts; briefs; findings; orders of the Cabinet; orders of other adjudicatory bodies, copies of court testimony; case information, investigation material, affidavits, legal research, notes, notices, discovery, appeals, and other documentation or attorney work-product related to litigation.
	Retention and Disposition	Retain in Agency twenty (20) years, then transfer to the State Archives Center for permanent retention.
00307	Litigation Case Folders	This series represents the working file which is created at the Finance and Administration Cabinet Office of Legal Services when a case is assigned to an attorney. Suits may be before the Personnel Board, Office of the Attorney General, or Commonwealth Courts. This series also represents legal files involving procurement disputes brought before the cabinet under KRS 45A. The series represents the working files created and maintained by Finance Cabinet attorneys and employees during the litigation process and is updated each time additional information is received regarding a particular case.
	Access Restrictions	KRE 503 - attorney client privilege; CR 26.02 - work product materials; KRS 61.878(1)(i) - preliminary drafts; KRS 61.878(1)(j) - preliminary recommendations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Pleadings; summonses; correspondence; memoranda; complaint forms; petitions; transcripts; briefs; findings; orders of the Cabinet; orders of other adjudicatory bodies, copies of court testimony; case information, investigation material, affidavits, legal research, notes, notices, discovery, appeals, and other documentation or attorney work-product related to litigation
	Retention and Disposition	Retain in Agency until five (5) years after final decision and all appeals have been exhausted, then destroy.
00309	Board of Claims Cases	This series represents the working file which is created at the Finance and Administration Cabinet Office of Legal Services when a case is assigned to an attorney. Suits may be before the Board of Claims regarding damaged that are alleged to have been caused by the negligence of the Finance Cabinet. Claims typically involve allegations involving the use of state facilities or operation of state-owned vehicles. The series represents the working files created and maintained by Finance Cabinet attorneys and employees during the litigation process and is updated each time additional information is received regarding a particular case.
	Access Restrictions	KRE 503 - attorney client privilege; CR 26.02 - work product materials; KRS 61.878(1)(i) - preliminary drafts; KRS 61.878(1)(j) - preliminary recommendations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Claim filings, pleadings; summonses; correspondence; memoranda; petitions; transcripts; briefs; findings; orders of the Claims Commission, copies of court testimony; case information, investigation material, affidavits, legal research, notes, notices, discovery, appeals, and other documentation or attorney work-product related to litigation.
	Retention and Disposition	Retain in Agency until five (5) years after final board decision and all appeals have been exhausted, then destroy.

Electronic System With Included Records Series

Finance and Administration Cabinet

Office of the Secretary

Division of Administrative Support Services

System Description: The Financial Management System (FMS) was developed by the Commonwealth Office of Technology (COT) to serve as a database housing crucial COT billing information. FMS processes and combines monthly billing statements based on charges assessed to Function and Pass Through codes, in addition to monthly Fixed Costs. The Finance Cabinet's Division of Administrative Support Services (DASS) receives monthly spreadsheets from COT that are manually entered by DASS staff into FMS. After all manual entries are entered into FMS, DASS transfers the information from FMS into the Mainframe by direct upload. Once there, the information from FMS is combined with billing information that was entered directly into the Mainframe by COT. DASS verifies the Mainframe records are complete and accurate, then all Mainframe billing information is transmitted back into FMS to create the COT bills. After verification by staff, billing statements are created to remit to internal (state) agencies and external agencies. An .xml document is uploaded into eMARS to bill and collect from internal agencies and PDF copies of the bills are uploaded into Sharepoint for internal agencies to review. At the time of billing, FMS records the full payment received from internal agencies since payments are collected via an eMARS funds transfer. Billing statements for external agencies are sent via email. When payments are received from external agencies, DASS staff key the payment information into FMS to record the transaction for credit on future billing statements.

System Contents: The Financial Management System may contain: billing account numbers, agency and contact information, eMARS funding information for state agencies, billing rates, monthly billing cycle information, and payments received

General Schedule Items:

- F0140 - Data Transfer Files - Destroy after completion of audit for the fiscal year in which the file is created.
- F0141 - Accounts Receivable Records - Destroy eight (8) years after transaction, end of contract or end of liability, or after audit, whichever is longest. Destroy Legal Claim Files eight (8) years after settlement closure.
- F0142 - Procurement Records - Destroy eight (8) years after expiration of authority to purchase; date of transaction; termination or award of contract; or after audit; whichever is longest.
- F0143 - Accounts Payable Records - Destroy eight (8) years after payment; termination of contract; end of project; end of liability; or after audit, whichever is longest.

System Title: Financial Management System

Alternate Title: FMS

Series #: Series Title:

Disposition Instructions:

F0140 Data Transfer Files

Destroy after completion of audit for the fiscal year in which the file is created.

System Title: Financial Management System

Alternate Title: FMS

Series #: ***Series Title:***

Disposition Instructions:

F0141 Accounts Receivable Records

Destroy eight (8) years after transaction, end of contract or end of liability, or after audit, whichever is longest. Destroy Legal Claim Files eight (8) years after settlement closure.

F0142 Procurement Records

Destroy eight (8) years after expiration of authority to purchase; date of transaction; termination or award of contract; or after audit; whichever is longest.

F0143 Accounts Payable Records

Destroy eight (8) years after payment; termination of contract; end of project; end of liability; or after audit, whichever is longest.

Electronic System With Included Records Series

Finance and Administration Cabinet

Office of the Secretary

Division of Administrative Support Services

System Description: The Fleet Operating System (FOS) was designed to maintain information concerning vehicle specifications, maintenance, and lease information for Fleet Management's approximately 5,000 vehicles. This system allows employees to quickly access vehicle information and history for proper vehicle care. Monthly mileage may also be entered by authorized individuals in the lease owner's office. All other information is entered into FOS by Fleet Management employees at their central office or service garage.

System Contents: The Fleet Operating System may contain: information on vehicle parts (engine, tires, etc), mileage, maintenance history, and the agency or employee currently leasing the vehicle.

General Schedule Items: F0141 - Accounts Receivable Records

System Title: Fleet Operating System

Alternate Title: FOS

Series #: ***Series Title:***

Disposition Instructions:

06504 Navigational and Tracking Data (State Vehicles)

Retain in Agency five (5) years, then destroy.